

Department of Homeland Security
Title V – FY 2010 Explanation of Changes - General Provisions

Proposal to Delete Language from Section 503:

SEC. 503. (a) None of the funds provided by this Act, provided by previous appropriations Acts to the agencies in or transferred to the Department of Homeland Security that remain available for obligation or expenditure in fiscal year [2009] 2010, or provided from any accounts in the Treasury of the United States derived by the collection of fees available to the agencies funded by this Act, shall be available for obligation or expenditure through a reprogramming of funds that: (1) creates a new program, project, or activity; (2) eliminates a program, project, office, or activity; *or* (3) increases funds for any program, project, or activity for which funds have been denied or restricted by the Congress; **(4) proposes to use funds directed for a specific activity by either of the Committees on Appropriations of the Senate or the House of Representatives for a different purpose; or (5) contracts out any function or activity for which funding levels were requested for Federal full-time equivalents in the object classification tables contained in the fiscal year] 2009 [Budget Appendix for the Department of Homeland Security, as modified by the explanatory statement accompanying this Act],** unless the Committees on Appropriations of the Senate and the House of Representatives are notified 15 days in advance of such reprogramming of funds. (b) None of the funds provided by this Act, provided by previous appropriations Acts to the agencies in or transferred to the Department of Homeland Security that remain available for obligation or expenditure in fiscal year [2009] 2010, or provided from any accounts in the Treasury of the United States derived by the collection of fees or proceeds available to the agencies funded by this Act, shall be available for obligation or expenditure for programs, projects, or activities through a reprogramming of funds in excess of \$5,000,000 or 10 percent, whichever is less, that: (1) augments existing programs, projects, or activities; (2) reduces by 10 percent funding for any existing program, project, or activity, or numbers of personnel by 10 percent as approved by the Congress; or (3) results from any general savings from a reduction in personnel that would result in a change in existing programs, projects, or activities as approved by the Congress, unless the Committees on Appropriations of the Senate and the House of Representatives are notified 15 days in advance of such reprogramming of funds. (c) Not to exceed 5 percent of any appropriation made available for the current fiscal year for the Department of Homeland Security by this Act or provided by previous appropriations Acts may be transferred between such appropriations, but no such appropriation, except as otherwise specifically provided, shall be increased by more than 10 percent by such transfers: *Provided*, That any transfer under this section shall be treated as a reprogramming of funds under subsection (b) and shall not be available for obligation unless the Committees on Appropriations of the Senate and the House of Representatives are notified 15 days in advance of such transfer. **[(d) Notwithstanding subsections (a), (b), and (c) of this section, no funds shall be reprogrammed within or transferred between appropriations after June 30, except in extraordinary circumstances that imminently threaten the safety of human life or the protection of property.]** **([e]d) Within 90 days after the date of enactment of this Act, the Secretary of Homeland Security shall submit to the Committees on Appropriations of the Senate and the House of Representatives a report listing all dollar amounts specified in this Act [and accompanying explanatory statement that are identified in the detailed funding**

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table at the end of the explanatory statement accompanying this Act or any other amounts specified in this Act or accompanying explanatory statement: *Provided*, That such dollar amounts specified in this Act and accompanying explanatory statement shall be subject to the conditions and requirements of subsections (a), (b), and (c) of this section].

Explanation: For item (4), language is proposed for deletion to eliminate potential inconsistencies in reconciling House Reports, Senate Reports and the Joint Explanatory Statement. For item (5), language is proposed for deletion to eliminate the restrictions on contracting out functions for which funds have been appropriated for Federal FTEs. Circumstances may warrant from time to time that contracting out functions can be prudent and judicious use of federal funding resources. Item (d) is proposed for deletion to provide the Department with greater flexibility with respect to timing of potential reprogrammings.

Proposal to Delete Language from Section 510:

SEC. 510. Sections [519,] 520, [522,] 528, [530,] and 531 of the Department of Homeland Security Appropriations Act, 2008 (division E of Public Law 110-161; 121 Stat. 2072, 2073, 2074, 2082) shall apply with respect to funds made available in this Act in the same manner as such sections applied to funds made available in that Act.

The sections proposed for deletion are outlined below:

SEC. 519. None of the funds made available in this Act may be used by any person other than the Privacy Officer appointed under section 222 of the Homeland Security Act of 2002 (6 U.S.C. 142) to alter, direct that changes be made to, delay, or prohibit the transmission to Congress of any report prepared under paragraph (6) of such section.

Explanation: This provision is proposed for deletion as it is inconsistent with the President's constitutional authority to coordinate and supervise all replies and comments from the Executive Branch to Congress.

SEC. 522. Section 525(d) of the Department of Homeland Security Appropriations Act, 2007 (Public Law 109–295; 120 Stat. 1382) shall apply to fiscal year 2008.

Explanation: This provision is proposed for deletion because the management directive has been modified.

SEC. 530. None of the funds made available in this Act maybe used in contravention of section 303 of the Energy Policy Act of 1992 (42 U.S.C. 13212).

Explanation: This provision is proposed for deletion because it is already required by codified law.

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Proposal to Delete *Old* Section 512:

[SEC. 512. (a) None of the funds provided by this or previous appropriations Acts may be obligated for deployment or implementation, on other than a test basis, of the Secure Flight program or any other follow-on or successor passenger prescreening program, until the Secretary of Homeland Security certifies, and the Government Accountability Office reports, to the Committees on Appropriations of the Senate and the House of Representatives, that all ten of the conditions contained in paragraphs (1) through (10) of section 522(a) of Public Law 108-334 (118 Stat. 1319) have been successfully met. (b) The report required by subsection (a) shall be submitted within 90 days after the Secretary provides the requisite certification, and periodically thereafter, if necessary, until the Government Accountability Office confirms that all ten conditions have been successfully met. (c) Within 90 days after the date of enactment of this Act, the Secretary of Homeland Security shall submit to the Committees on Appropriations of the Senate and the House of Representatives a detailed plan that describes: (1) the dates for achieving key milestones, including the date or timeframes that the Secretary will certify the program under subsection (a); and (2) the methodology to be followed to support the Secretary's certification, as required under subsection (a). (d) During the testing phase permitted by subsection (a), no information gathered from passengers, foreign or domestic air carriers, or reservation systems may be used to screen aviation passengers, or delay or deny boarding to such passengers, except in instances where passenger names are matched to a Government watch list. (e) None of the funds provided in this or previous appropriations Acts may be utilized to develop or test algorithms assigning risk to passengers whose names are not on Government watch lists. (f) None of the funds provided in this or any other Act may be used for data or a database that is obtained from remains under the control of a non-Federal entity: *Provided*, That this restriction shall not apply to Passenger Name Record data obtained from air carriers.]

Explanation: This provision is proposed for deletion as it restricts the Department's flexibility to execute this program in an effective and efficient manner. The Department has completed rebaselining the cost, schedule and performance goals of the program and plans to satisfy the GAO requirements in 2009.

Proposal to Delete *Old* Section 513:

[SEC. 513. None of the funds made available in this Act may be used to amend the oath of allegiance required by section 337 of the Immigration and Nationality Act (8 U.S.C. 1448).]

Explanation: DHS has stated in the past that the Executive Branch should continue to be responsible for the actual language of the Oath of Renunciation and Allegiance. Through the Immigration and Nationality Act, Congress has already provided a clear mandate on the necessary content and substance of the Oath.

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Proposal to Delete *Old* Section 515:

[SEC. 515.(a) The Secretary of Homeland Security shall research, develop, and procure new technologies to inspect and screen air cargo carried on passenger aircraft by the earliest date possible. (b) Existing checked baggage explosive detection equipment and screeners shall be utilized to screen air cargo carried on passenger aircraft to the greatest extent practicable at each airport until technologies developed under subsection (a) are available. (c) The Assistant Secretary of Homeland Security (Transportation Security Administration) shall work with air carriers and airports to ensure that the screening of cargo carried on passenger aircraft, as defined in section 44901(g)(5) of title 49, United States Code, increases incrementally each quarter. (d) Not later than 45 days after the end of each quarter, the Assistant Secretary shall submit to the Committees on Appropriations of the Senate and the House of Representatives a report on air cargo inspection statistics by airport and air carrier detailing the incremental progress being made to meet the requirements of section 44901(g)(2) of title 49, United States Code.]

Explanation: This provision is proposed for deletion because screening air cargo is already a high priority for the Department. The Department will provide the required information regardless of this provision.

Proposal to Delete *Old* Section 516:

[SEC. 516. Except as provided in section 44945 of title 49, United States Code, funds appropriated or transferred to Transportation Security Administration "Aviation Security", "Administration" and "Transportation Security Support" for fiscal years 2004, 2005, 2006, and 2007 that are recovered or deobligated shall be available only for the procurement or installation of explosives detection systems, for air cargo, baggage, and checkpoint screening systems, subject to notification: *Provided*, That quarterly reports shall be submitted to the Committees on Appropriations of the Senate and the House of Representatives on any funds that are recovered or deobligated.]

Explanation: This provision is proposed for deletion in an effort to provide greater flexibility in the use of appropriated resources and to consider the most pressing needs in the Department's efforts to protect the Homeland.

Proposal to Delete *Old* Section 517:

[SEC. 517. Any funds appropriated to United States Coast Guard, "Acquisition, Construction, and Improvements" for fiscal years 2002, 2003, 2004, 2005, and 2006 for the 110-123 foot patrol boat conversion that are recovered, collected, or otherwise received as the result of negotiation, mediation, or litigation, shall be available until expended for the Replacement Patrol Boat (FRC-B) program.]

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Explanation: This provision has appeared in the last several appropriations acts and previous appropriations acts provide sufficient authority to extend funds for the Replacement Patrol Boat program.

Proposal to Delete Old Section 518:

[SEC. 518. (a)(1) Except as provided in paragraph (2), none of the funds provided in this or any other Act shall be available to commence or continue operations of the National Applications Office until— (A) the Secretary certifies in fiscal year 2009 that: (i) National Applications Office programs comply with all existing laws, including all applicable privacy and civil liberties standards; and, (ii) that clear definitions of all proposed domains are established and are auditable; (B) the Comptroller General of the United States notifies the Committees on Appropriations of the Senate and the House of Representatives and the Secretary that the Comptroller has reviewed such certification; and (C) the Secretary notifies the Committees of all funds to be expended on the National Applications Office pursuant to section 503 of this Act. (2) Paragraph (1) shall not apply with respect to any use of funds for activities substantially similar to such activities conducted by the Department of the Interior as set forth in the 1975 charter for the Civil Applications Committee under the provisions of law codified at section 31 of title 43, United States Code. (b) The Inspector General shall provide to the Committees on Appropriations of the Senate and the House of Representatives, starting six months after the date of enactment of this Act, and quarterly thereafter, a classified report containing a review of the data collected by the National Applications Office, including a description of the collection purposes and the legal authority under which the collection activities were authorized: *Provided*, That the report shall also include a listing of all data collection activities carried out on behalf of the National Applications Office by any component of the National Guard. (c) None of the funds provided in this or any other Act shall be available to commence operations of the National Immigration Information Sharing Operation until the Secretary certifies that such program complies with all existing laws, including all applicable privacy and civil liberties standards, the Comptroller General of the United States notifies the Committees on Appropriations of the Senate and the House of Representatives and the Secretary that the Comptroller has reviewed such certification, and the Secretary notifies the Committees on Appropriations of the Senate and the House of Representatives of all funds to be expended on the National Immigration Information Sharing Operation pursuant to section 503.]

Explanation: This was a one time provision and all of the requirements in the section were completed.

Proposal to Delete Old Section 522:

[SEC. 522. (a) None of the funds provided by this or any other Act may be obligated for the development, testing, deployment, or operation of any portion of a human resources management system authorized by 5 U.S.C. 9701(a), or by regulations

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prescribed pursuant to such section, for an employee as defined in 5 U.S.C. 7103(a)(2). (b) The Secretary of Homeland Security shall collaborate with employee representatives in the manner prescribed in 5 U.S.C. 9701(e), in the planning, testing, and development of any portion of a human resources management system that is developed, tested, or deployed for persons excluded from the definition of employee as that term is defined in 5 U.S.C. 7103(a)(2).]

Explanation: The department has withdrawn its coverage under 5 U.S.C. 9701 and therefore this provision is unnecessary.

Proposal to Delete Old Section 526:

[SEC. 526. None of the funds provided by this or previous appropriations Acts shall be used to fund any position designated as a Principal Federal Official for any Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et seq.) declared disasters or emergencies.]

Explanation: This provision restricts the Secretary's ability to manage disaster response.

Proposal to Delete Old Section 529:

[SEC. 529. None of the funds provided in this Act shall be available to carry out section 872 of Public Law 107-296.]

Explanation: This provision is proposed for deletion to provide the Department with greater flexibility in carrying out its requirements for protecting the Homeland.

Proposal to Delete Old Section 530:

[SEC. 530. None of the funds provided in this Act under the heading "Office of the Chief Information Officer" shall be used for data center development other than for the National Center for Critical Information Processing and Storage until the Chief Information Officer certifies that the National Center for Critical Information Processing and Storage is fully utilized as the Department's primary data storage center at the highest capacity throughout the fiscal year.]

Explanation: This provision is proposed for deletion because it was a one-time directive.

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Proposal to Delete *Old* Section 531:

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

Explanation: This provision is proposed for deletion to provide the Department with greater flexibility in carrying out its requirements for protecting the Homeland and in the use of appropriated resources.

Proposal to Delete Language from *Old* Section 537:

SEC. [537]526. Section 831 of the Homeland Security Act of 2002 (6 U.S.C. 391) is amended— (1) in subsection (a), by striking "Until September 30, [2008] 2009," and inserting "Until September 30, [2009] 201. and subject to subsection (d)," [;] [(2) by redesignating subsection (d) as subsection (e); and] [(3) by inserting after subsection (c) the following:]["(d) **ADDITIONAL REQUIREMENTS.—**] ["(1) **IN GENERAL.—**The authority of the Secretary under this section shall terminate September 30, 2009, unless before that date the Secretary—] ["(A) issues policy guidance detailing the appropriate use of that authority; and] ["(B) provides training to each employee that is authorized to exercise that authority.] ["(2) **REPORT.—**The Secretary shall provide an annual report to the Committees on Appropriations of the Senate and the House of Representatives, the Committee on Homeland Security and type="deleted">Governmental Affairs of the Senate, and the Committee on Homeland Security of the House of Representatives detailing the projects for which the authority granted by subsection (a) was used, the rationale for its use, the funds spent using that authority, the outcome of each project for which that authority was used, and the results of any audits of such projects."].

Explanation: This provision extends the department's Cooperative Research and Development Authority through fiscal year 2010. In addition, the department recommends striking all language after "subject to subsection (d). All subsequent language has amended the Homeland Security Act, which is permanent legislation and is therefore unnecessary.

Proposal to Delete *Old* Section 539:

[SEC. 539. (a) Notwithstanding any other provision of this Act, except as provided in subsection (b), and 30 days after the date that the President determines whether to declare a major disaster because of an event and any appeal is completed, the Administrator shall submit to the Committee on Homeland Security and Governmental Affairs of the Senate, the Committee on Homeland Security of the House of Representatives, the Committee on Transportation and Infrastructure of the House of Representatives, the Committees on Appropriations of the Senate and

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the House of Representatives, and publish on the website of the Federal Emergency Management Agency, a report regarding that decision, which shall summarize damage assessment information used to determine whether to declare a major disaster.(b) The Administrator may redact from a report under subsection (a) any data that the Administrator determines would compromise national security. (c) In this section— (1) the term "Administrator" means the Administrator of the Federal Emergency Management Agency; and (2) the term "major disaster" has the meaning given that term in section 102 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5122).]

Explanation: This provision is proposed for deletion because it was a one-time directive.

Proposal to Delete and Insert Language in Old Section 540:

SEC. [540]528. Notwithstanding any other provision of law, *in the current fiscal year or a subsequent fiscal year*, should the Secretary of Homeland Security determine that the National Bio and Agro-defense Facility be located at a site other than Plum Island, New York, the Secretary shall liquidate the Plum Island asset by directing the Administrator of General Services to sell through public sale all real and related personal property and transportation assets which support Plum Island operations, subject to such terms and conditions as necessary to protect government interests and meet program requirements: *Provided*, That the [gross] proceeds of such sale shall be deposited as offsetting collections into the Department of Homeland Security Science and Technology "Research, Development, Acquisition, and Operations" account and, subject to appropriation, shall be available until expended, for site acquisition, construction, and costs related to the construction of the National Bio and Agro-defense Facility, including the costs associated with the sale, including due diligence requirements, necessary environmental remediation at Plum Island, and reimbursement of expenses incurred by the General Services Administration [**which shall not exceed 1 percent of the sale price**]: *Provided further*, That after the completion of construction and environmental remediation, the unexpended balances of funds appropriated for costs in the preceding proviso shall be available for transfer to the appropriate account for design and construction of a consolidated Department of Homeland Security Headquarters project, excluding daily operations and maintenance costs, notwithstanding section 503 of this Act, and the Committees on Appropriations of the Senate and the House of Representatives shall be notified 15 days prior to such transfer.

Explanation: Proposed deletions alleviate fiscal law concerns and allow GSA to operate in advance of determining the actual price for of the proposed sale.

Proposal to Delete Old Section 541:

[SEC. 541. Any official that is required by this Act to report or certify to the Committees on Appropriations of the Senate and the House of Representatives may

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not delegate such authority to perform that act unless specifically authorized herein.]

Explanation: This provision is proposed for deletion to provide the Department with greater flexibility on the use of its appropriated resources

Proposal to Delete Old Section 543:

[SEC. 543. Section 520 of Public Law 108-90 (6 U.S.C. 469) is amended— (1) by inserting "(a)FEES.—" before "For fiscal year 2004 and thereafter"; and (2) by adding at the end the following: "(b)RECURRENT TRAINING OF ALIENS IN OPERATION OF AIRCRAFT.— "(1) PROCESS FOR REVIEWING THREAT ASSESSMENTS.—Notwithstanding section 44939(e) of title 49, United States Code, the Secretary shall establish a process to ensure that an alien (as defined in section 101(a)(3) of the Immigration and Nationality Act (8 U.S.C. 1101(a)(3)) applying for recurrent training in the operation of any aircraft is properly identified and has not, since the time of any prior threat assessment conducted pursuant to section 44939(a) of such title, become a risk to aviation or national security. "(2) INTERRUPTION OF TRAINING. If the Secretary determines, in carrying out the process established under paragraph (1), that an alien is a present risk to aviation or national security, the Secretary shall immediately notify the person providing the training of the determination and that person shall not provide the training or if such training has commenced that person shall immediately terminate the training. "(3) FEES.—The Secretary may charge reasonable fees under subsection (a) for providing credentialing and background investigations for aliens in connection with the process for recurrent training established under paragraph (1). Such fees shall be promulgated by notice in the Federal Register.".]

Explanation: This provision is no longer required as the U.S. code has been amended with the changes included in the provision.

Proposal to Delete Old Section 545:

[SEC. 545. If the Assistant Secretary of Homeland Security (Transportation Security Administration) determines that an airport does not need to participate in the basic pilot program, the Assistant Secretary shall certify to the Committees on Appropriations of the Senate and the House of Representatives that no security risks will result by such non-participation.]

Explanation: This provision is proposed for deletion because it was a one-time directive.

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Proposal to Delete *Old* Section 546:

[SEC. 546. Notwithstanding any other provision of law, and not later than 30 days after the date of submission of a request for a single payment, the President shall provide a single payment for any eligible costs under section 406 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5172) for any police station, fire station, or criminal justice facility that was damaged by Hurricane Katrina of 2005 or Hurricane Rita of 2005: *Provided*, That the President shall not reduce the amount of assistance provided under section 406(c)(1) of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5172(c)(1)) for such facilities: *Provided further*, That nothing in the previous proviso may be construed to alter the appeal or review process relating to assistance provided under section 406 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5172): *Provided further*, That the President shall not reduce the amount of assistance provided to a local government under section 406(d) of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5172(d)) more than once for each such type of facility for which that local government is receiving assistance under section 406 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act relating to Hurricane Katrina of 2005 or Hurricane Rita of 2005.]

Explanation: This provision is proposed for deletion because it was a one-time directive.

Proposal to Delete *Old* Section 547:

[SEC. 547. For grants to States pursuant to section 204(a) of the REAL ID Act of 2005 (division B of Public Law 109-13), \$50,000,000, to remain available until expended. In addition, for developing an information sharing and verification capability with States to support implementation of the REAL ID Act, \$50,000,000, to remain available until expended: *Provided*, That none of the funds provided in this section for development of the information sharing and verification system shall be available to create any new system of records from the data accessible by such information technology system, or to create any means of access by Federal agencies to such information technology system other than to fulfill responsibilities pursuant to the REAL ID Act of 2005.]

Explanation: This provision is proposed for deletion because it was a one-time directive.

Proposal to Delete *Old* Section 548:

[SEC. 548. Notwithstanding any other provision of law, the Federal Emergency Management Agency shall reimburse Jones County and Harrison County in the State of Mississippi under section 407 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5173) for unreimbursed costs relating to the

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removal of debris that were incurred by such counties as a result of Hurricane Katrina in 2005.]

Explanation: This provision is proposed for deletion because it was a one-time directive.

Proposal to Delete Old Section 549:

[SEC. 549. From the unobligated balances of prior year appropriations made available for Transportation Security Administration, \$31,000,000 are rescinded: *Provided*, That the Transportation Security Administration shall not rescind any unobligated balances from the following programs: screener partnership program; explosives detection systems; checkpoint support; aviation regulation and other enforcement; air cargo; and air cargo research and development.]

Explanation: This provision is proposed for deletion because funds were subject to a one-time rescission.

Proposal to Delete Old Section 550:

[SEC. 550. From the unobligated balances of prior year appropriations made available for "Analysis and Operations", \$21,373,000 are rescinded.]

Explanation: This provision is proposed for deletion because funds were subject to a one-time rescission.

Proposal to Delete Old Section 551:

[SEC. 551. From unobligated balances of prior year appropriations made available for Coast Guard "Acquisition, Construction, and Improvements", \$20,000,000 are rescinded: *Provided*, That no funds shall be rescinded from prior year appropriations provided for the National Security Cutter or the Maritime Patrol Aircraft: *Provided further*, That the Coast Guard shall submit notification in accordance with section 503 of this Act listing projects for which funding will be rescinded.]

Explanation: This provision is proposed for deletion because funds were subject to a one-time rescission.

Proposal to Delete Old Section 552:

[SEC. 552. For fiscal year 2008, funds made available for Federal

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Emergency Management Agency "National Predisaster Mitigation Fund" shall be provided as detailed in the explanatory statement accompanying Public Law 110-161.]

Explanation: This provision is proposed for deletion because it was a one-time directive.

Proposal to Add New Section 532:

SEC. 532. For Fiscal Year 2010 and hereinafter, the Secretary may provide to personnel appointed or assigned to serve abroad, allowances and benefits similar to those provided under chapter 9 of title I of the Foreign Service Act of 1990 (22 U.S.C. 4081 et seq.) .

Explanation: This provision provides that department personnel will receive that same allowances that other executive branch employees receive when assigned abroad.

Proposal to Add New Section 533:

SEC. 533. Notwithstanding any other provision of law, the Secretary of Homeland Security, acting through the Commandant of the Coast Guard, may sell any real and personal property under the administrative control of the Coast Guard and used for the Loran system, by directing the Administrator of General Services to sell such real and personal property, subject to such terms and conditions that the Secretary believes to be necessary to protect government interests and program requirements of the Coast Guard: Provided, That the proceeds, less the costs of sale incurred by the General Services Administration, shall be deposited as offsetting collections into the Coast Guard Environmental Compliance and Restoration account and, subject to appropriation, shall be available until expended for environmental compliance and restoration purposes associated with the Loran system, for the demolition of improvements on such real property, and for the costs associated with the sale of such real and personal property, including due diligence requirements, necessary environmental remediation, and reimbursement of expenses incurred by the General Services Administration: Provided further, That after the completion of such activities, the unexpended balances shall be available for any other environmental compliance and restoration activities of the Coast Guard.

Explanation: This provision allows the Coast Guard to retain proceeds from the sale of the LORAN system.

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Proposal to Add New Section 534:

SEC. 534. *Sections 143 and 144 of division A of the Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009 (Public Law 110-329; 122 Stat. 3580 et seq.), as amended by section 101 of Division J of Public Law 111-8, are further amended by striking "September 30, 2009" and inserting "September 30, 2012".*

Explanation: The provision extends both the authorization for the Basic Pilot program, currently called “E-Verify”, and the EB- 5 Immigrant Investor Pilot Program for three years beyond the current expiration date of September 30, 2009.

SEC. 535. *Sections 286(v)(2)(A), (B), and (C) of the Immigration and Nationality Act, as amended (8 U.S.C. 1356(v)(2)(B)) are amended to read as follows: "(A) Secretary of State — One-third of the amounts deposited into the Fraud Prevention and Detection Account shall remain available to the Secretary of State until expended for programs and activities (i) to increase the number of consular and diplomatic security personnel assigned primarily to the function of preventing and detecting fraud by applicants for visas described in subparagraph (H)(i), (H)(ii), or (L) of section 101(a)(15) of this Act;(ii) otherwise to prevent and detect visa fraud, including fraud by applicants for visas described in subparagraph (H)(i), (H)(ii), or (L) of section 101(a)(15), as well as the purchase, lease, construction, and staffing of facilities for the processing of these classes of visa, in consultation with the Secretary of Homeland Security as appropriate; and (iii) upon request by the Secretary of Homeland Security, to assist such Secretary in carrying out the fraud prevention and detection programs and activities described in subparagraph (B). "(B) Secretary of Homeland Security — One-third of the amounts deposited into the Fraud Prevention and Detection Account shall remain available to the Secretary of Homeland Security until expended for programs and activities to prevent and detect immigration benefit fraud, including but not limited to fraud with respect to petitions under paragraph (1) or (2)(A) of section 214(c) to grant an alien nonimmigrant status described in subparagraphs (H) or (L) of section 101(a)(15). "(C) Secretary of Labor — One-third of the amounts deposited into the Fraud Prevention and Detection Account shall remain available to the Secretary of Labor until expended for wage and hour enforcement programs and activities otherwise authorized to be conducted by the Secretary of Labor that focus on industries likely to employ nonimmigrants, including but not limited to enforcement programs and activities described in section 212(n), and enforcement programs and activities related to section 214(c)(14)(A)(i).*

Explanation: The proposal describes and clarifies the permitted uses of Fraud Account fees for the Departments of State, Labor, and DHS. For DHS, the proposal would change current law to permit Fraud Account funding to be used to combat any type of fraud, not just fraud limited to H and L nonimmigrant categories. This would give DHS enhanced flexibility to “follow the fraud” across immigration benefit product lines.

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Proposal to Add New Section 536:

SEC. 536. Temporary Protected Status Fee Clarification. (a) In general. Section 244 of the Immigration and Nationality Act (8 U.S.C. 1254a), as amended, is further amended in subsection (c)(1)(B) by:(1) striking the second sentence; and (2) striking in the third sentence "a separate, additional fee" and inserting in lieu thereof: "separate, additional fees for reregistration, for fingerprinting or other biometric services regardless of whether such services may relate to an initial or renewed registration for temporary protected status, and". (b) Effective date. The amendment made by this section is effective as of the date of enactment of Pub. L. No. 102-232.

Explanation: The provision removes the current statutorily-set registration fee of \$50 on Temporary Protected Status (TPS) applicants to permit USCIS to match future fees to estimated actual cost. The provision also clarifies the law on biometric fees assessed on past and current applicants. It also supports the Administration's overall goal to reform immigration fees and ensure that fees are set at the level to recover costs for providing a specific benefit.

Proposal to Add New Section 537:

SEC. 537. Notwithstanding any other provision of law in the current fiscal year or subsequent fiscal years, should the Secretary of Homeland Security determine that specific Immigration and Customs Enforcement Service Processing Centers, or other ICE-owned detention facilities, no longer meet the mission need, the Secretary is authorized to dispose of individual Service Processing Centers, or other ICE owned detention facilities, by directing the Administrator of General Services to sell all real and related personal property which support Service Processing Center, or other ICE-owned detention facilities, operations, subject to such terms and conditions as necessary to protect government interests and meet program requirements: Provided, That the proceeds, net of the costs of sale incurred by the General Services Administration and Immigration and Customs Enforcement shall be deposited as offsetting collections into a separate account that shall be available, subject to appropriation, until expended for other real property capital asset needs of existing Immigration and Customs Enforcement assets, excluding daily operations and maintenance costs, as the Secretary deems appropriate.

Explanation: ICE is studying the feasibility of disposing of the government owned detention facilities. In addition, ICE has resource requirements associated with projects to co-locate their field operations. This language permits the Department to apply proceeds from the disposal of detention facilities to co-location project costs subject to appropriation.

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Proposal to Add New Section 538:

SEC. 538. *Section 550 of Pub. L. No. 109-295 is amended in subsection (b) by deleting from the last proviso "three years after the date of enactment of this Act" and inserting in lieu thereof "October 4, 2010".*

Explanation: Extends the Department's chemical security regulatory authorities in the referenced statute to October 4, 2010.

Proposal to Add New Section 539:

SEC. 539. *For Fiscal Year 2010 and thereafter, the Secretary of Homeland Security may collect fees from any non-Federal participant in a conference, seminar, exhibition, symposium, or similar meeting conducted by the Department of Homeland Security in advance of the conference, either directly or by contract, and those fees shall be credited to the appropriation or account from which the costs of the conference, seminar, exhibition, symposium, or similar meeting are paid and shall be available to pay the costs of the Department of Homeland Security with respect to the conference or to reimburse the Department for costs incurred with respect to the conference. In the event the total amount of fees collected with respect to a conference exceeds the actual costs of the Department of Homeland Security with respect to the conference, the amount of such excess shall be deposited into the Treasury as miscellaneous receipts. (Department of Homeland Security Appropriations Act, 2009.)*

Explanation: This provision allows the department to retain conference fees and deposit those fees back into the appropriation responsible for the account. This authority is the same authority that the Department of Defense has.

FY 2010 Budget Overview

	FY 2008 Revised Enacted ¹	FY 2009 Enacted ²	FY 2010 Pres. Budget	FY 2010 +/- FY 2009
	\$000	\$000	\$000	\$000
Net Discretionary:	\$ 35,065,701	\$ 40,056,930	\$ 42,713,922	\$ 2,656,992
Discretionary Fees:	2,923,150	3,166,019	3,072,030	(93,989)
<i>Less rescission of prior year carryover: ³</i>	<i>(124,985)</i>	<i>(61,373)</i>	-	<i>61,373</i>
Gross Discretionary	37,863,867	43,161,576	45,785,952	2,624,376
Mandatory, Fee, Trust Funds:	9,465,797	9,320,643	9,329,275	8,632
Total Budget Authority:	\$ 47,329,664	\$ 52,482,219	\$ 55,115,227	\$ 2,633,008
Supplemental: ⁴	\$ 15,129,607	\$ 2,967,000	-	\$ (2,967,000)

1/ FY 2008 revised enacted reflects net reprogramming/transfer adjustments for CBP (\$2.6 million); TSA (-\$10.5 million); USSS (\$34.0 million); NPPD (-\$5.6 million); OHA (\$1.9 million); FEMA (-\$23.0 million); US CIS (\$282.167 million); FLETC (\$5.636 million) FEMA - DRF to OIG (\$16 million). Reflects technical adjustments to revise fee estimates for TSA Aviation Security - General Aviation Fee (\$.050 million); TSA Aviation Security - Passenger & Aviation Security Infrastructure Fee (\$96.025 million); TSA Transportation Threat Assessment and Credentialing - Registered Traveler (-\$31.601million); TSA Transportation Threat Assessment and Credentialing - Transportation Worker Identification Credentials (\$37.9 million); TSA Transportation Threat Assessment and Credentialing - HAZMAT (-\$1.0 million); TSA Transportation Threat Assessment and Credentialing - Alien Flight School (\$1.0 million); and FEMA - Radiological Emergency Preparedness (\$-.492 million). Pursuant to P.L. 110-161 reflects a scorekeeping adjustment for rescissions of prior year unobligated balances from USCG - AC&I (-\$137.264 million) and a rescission of current-year appropriations for USM (-\$5.0 million).

2/ FY 2009 enacted reflects technical adjustments to revise fee estimates for TSA - Transportation Threat and Credentialing - Registered Traveler (-\$10.0 million), TSA - Transportation Threat and Credentialing - Transportation Worker Identification Credentials (\$22.7 million); TSA - Transportation Threat and Credentialing - HAZMAT (-\$3.0 million); TSA - Transportation Threat and Credentialing - Alien Flight School (\$1.0 million). Reflects USCG realignment of Operating Expenses funding and Pursuant to P.L. 110-53 reflects TSA realignment of funds for 9/11 Commission Act implementation (\$3.675 million - Aviation Security, 13.825 million - Surface, \$2.5 million - Support). Reflects a scorekeeping adjustment for a rescission of prior year unobligated balances from USCG - AC&I (-\$20.0 million).

3/ Pursuant to P.L. 110-161, reflects rescission of prior year unobligated balances: FY 2008 - Counter-Terrorism Fund (-\$8.480 million); TSA (-\$4.5 million); Analysis and Operations (-\$8.7 million); FEMA - Disaster Relief Fund (-\$20.0 million); USCG - Operating Expenses (-\$9.584 million); CBP (-\$2.003 million); US CIS (-\$.672 million); FEMA (-\$2.919 million); ICE (-\$.137 million); FLETC (-\$.334 million); OSEM (-\$4.211 million); USM (-\$.444 million); CFO (-\$.380 million); CIO (-\$.493 million); DNDO (-\$.368 million); OHA (-\$.045 million); OIG (-\$.032 million); NPPD (-\$1.995 million); S&T (-\$.217 million).

Pursuant to P.L. 110-161, reflects rescission of start-up balances : FY 2008 - CBP (-\$25.621 million); FEMA (-\$14.257 million); Departmental Operations (\$12.084 million); Working Capital Fund (-\$2.509 million).

Pursuant to P.L. 110-329, Reflects rescission of prior year unobligated balances: FY 2009 - Analysis and Operations (-\$21.373 million); TSA (-\$31.0 million); FEMA - Cerro Grande (-\$9.0 million).

4/ In order to obtain comparable figures, Total Budget Authority excludes:

- FY 2008 supplemental funding pursuant to P.L. 110-161: CBP (\$1.531 billion); ICE (\$526.9 million); USCG (\$166.1 million);
- NPPD (\$275.0 million); FEMA (\$3.030 billion); US CIS (\$80.0 million); FLETC (\$21.0 million).
- FY 2008 supplemental funding pursuant to P.L. 110-252: USCG (\$222.607 million); FEMA (\$897.0 million).
- FY 2008 supplemental funding pursuant to P.L. 110-329: OIG (\$8.0 million); USCG (\$300.0 million); FEMA (\$8.072 billion).
- FY 2009 supplemental funding pursuant to P.L. 110-252: USCG (\$112 million).
- FY 2009 supplemental funding pursuant to P.L. 111-5: USM (\$200 million); CBP (\$680 million); ICE (\$20 million); TSA (\$1.0 Billion); USCG (\$240 million); FEMA (\$610 million); OIG (\$5 million).
- FY 2009 supplemental funding pursuant to P.L. 111-8: USSS (\$100 million).

Department of Homeland Security

Total Budget Authority

Detailed Table

	FY 2008 Omnibus Enacted Excluding Emergency		FY 2008 Omnibus Enacted Including Emergency Funding, Transfers, Tech Adjustments and All.		FY 2009 Revised Enacted		FY 2009 Supplemental		FY 2010 President's Budget	
	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$
TITLE I - DEPARTMENTAL MANAGEMENT AND OPERATIONS										
Departmental Operations	1,119	573,983	1,119	573,983	1,306	644,553	-	200,000	1,557	904,673
Office of the Secretary and Executive Management (OSEM):	542	101,393	542	101,393	598	123,456	-	-	678	160,760
Immediate Office of the Secretary.....	12	6,777	12	6,777	12	3,140	-	-	12	5,061
Immediate Office of the Deputy Secretary.....	6	1,224	6	1,224	6	1,400	-	-	6	1,810
Chief of Staff.....	12	2,639	12	2,639	12	2,693	-	-	12	2,595
Executive Secretary.....	41	4,722	41	4,722	55	7,448	-	-	55	8,344
Office of Policy.....	160	32,972	160	32,972	182	43,263	-	-	208	61,564
Office of Intergovernmental Programs.....	-	-	-	-	-	-	-	-	17	2,800
Intermodal Security Coordination Office.....	-	-	-	-	-	-	-	-	-	-
Office of Public Affairs.....	39	7,328	39	7,328	43	5,991	-	-	43	6,539
Office of Legislative Affairs.....	48	4,875	48	4,875	36	4,997	-	-	36	7,097
Office of General Counsel.....	77	13,415	77	13,415	91	20,114	-	-	101	24,028
Office of Civil Rights and Liberties.....	73	14,200	73	14,200	80	17,417	-	-	99	22,104
Citizenship and Immigration Services Ombudsman.....	30	5,062	30	5,062	30	6,471	-	-	36	6,935
Privacy Officer.....	29	5,500	29	5,500	34	6,804	-	-	36	7,971
Office of Counterterrorism Enforcement.....	15	2,680	15	2,680	17	3,718	-	-	17	3,912
Unspecified Reduction.....	-	-	-	-	-	-	-	-	-	-
Office of the Federal Coordinator for Gulf Coast Rebuilding (OFCGCR):	14	2,700	14	2,700	9	1,900	-	-	10	2,000
Office of the Under Secretary for Management (USM):	352	149,498	352	149,498	466	191,793	-	200,000	602	337,990
Under Secretary for Management.....	8	2,386	8	2,386	13	2,654	-	-	13	2,864
Office of Security.....	108	56,376	108	56,376	117	60,882	-	-	138	95,193
Office of the Chief Procurement Officer.....	129	29,495	129	29,495	184	39,003	-	-	282	71,038
Office of the Chief Human Capital Officer.....	53	18,811	53	18,811	79	38,827	-	-	89	44,404
Salaries and Expenses CHCO.....	53	8,811	53	8,811	79	28,827	-	-	89	34,404
MAX - HR System.....	-	-	-	-	-	-	-	-	-	-
Human Resources - Operational Initiatives & HR mgmt systems.....	-	10,000	-	10,000	-	10,000	-	-	-	10,000
Office of the Chief Administrative Officer.....	54	47,430	54	47,430	73	50,427	-	-	80	124,491
Salaries and Expenses CAO (Office of Administration).....	54	41,430	54	41,430	73	44,427	-	-	80	43,491
Nebraska Avenue Complex	-	6,000	-	6,000	-	6,000	-	-	-	6,000
St. Elizabeth's Project (Consolidated Headquarters Project).....	-	-	-	-	-	-	-	-	-	75,000
Unspecified Reduction.....	-	(5,000)	-	(5,000)	-	-	-	-	-	-
Office of the Chief Financial Officer (CFO):	120	31,300	120	31,300	139	55,235	-	-	173	65,530
Office of the Chief Information Officer (CIO) and Department-wide IT:	91	289,092	91	289,092	94	272,169	-	-	94	338,393
Salaries and expenses.....	91	81,000	91	81,000	94	86,928	-	-	94	86,912
Information technology services.....	-	56,200	-	56,200	-	44,945	-	-	-	51,417
Security activities.....	-	118,792	-	118,792	-	92,623	-	-	-	152,403
Wireless program.....	-	-	-	-	-	-	-	-	-	-
Homeland Secure Data Network.....	-	33,100	-	33,100	-	47,673	-	-	-	47,661
IT Infrastructure Capitalization Fund.....	-	-	-	-	-	-	-	-	-	-
Rescission of Prior Year Unobligated Balances		-117,612		-117,612						
Net Discretionary	1,119	573,983	1,119	573,983	1,306	644,553	-	200,000	1,557	904,673
Adjusted Net Discretionary	1,119	556,371	1,119	556,371	1,306	644,553	-	200,000	1,557	904,673
Discretionary Fee Funded	-	-	-	-	-	-	-	-	-	-
Gross Discretionary	1,119	573,983	1,119	573,983	1,306	644,553	-	200,000	1,557	904,673
Adjusted Gross Discretionary	1,119	556,371	1,119	556,371	1,306	644,553	-	200,000	1,557	904,673
Mandatory, Fees, Trust Funds	-	-	-	-	-	-	-	-	-	-
Appropriated Resources:	1,119	573,983	1,119	573,983	1,306	644,553	-	200,000	1,557	904,673
Non-Appropriated Resources:	-	-	-	-	-	-	-	-	-	-
Analysis and Operations:	518	304,500	518	304,500	583	327,373	-	-	699	357,345
Analysis and Operations.....	518	304,500	518	304,500	583	327,373	-	-	699	357,345
Rescission of Prior Year Unobligated Balances		-18,700		-18,700		-21,373		10		
Net Discretionary	518	304,500	518	304,500	583	327,373	-	-	699	357,345
Adjusted Net Discretionary	518	295,800	518	295,800	583	306,000	-	-	699	357,345
Discretionary Fee Funded	-	-	-	-	-	-	-	-	-	-
Gross Discretionary	518	304,500	518	304,500	583	327,373	-	0	699	357,345
Adjusted Gross Discretionary	518	295,800	518	295,800	583	306,000	-	0	699	357,345
Mandatory, Fees, Trust Funds	-	-	-	-	-	-	-	-	-	-
Appropriated Resources:	518	304,500	518	304,500	583	327,373	-	-	699	357,345
Non-Appropriated Resources:	-	-	-	-	-	-	-	-	-	-

	FY 2008 Omnibus Enacted Excluding Emergency		FY 2008 Omnibus Enacted Including Emergency Funding, Transfers, Tech Adjustments and All.		FY 2009 Revised Enacted		FY 2009 Supplemental		FY 2010 President's Budget	
	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$
Office of the Inspector General	551	108,711	551	116,711	577	98,513		5,000	632	127,874
Audit, Inspections, and Investigations Program.....	551	108,711	551	116,711	577	98,513		5,000	632	127,874
Rescission of Prior Year Unobligated Balances		-[32]		-[32]						
Net Discretionary	551	108,711	551	116,711	577	98,513	-	5,000	632	127,874
Adjusted Net Discretionary	551	108,679	551	116,679	577	98,513	-	5,000	632	127,874
Discretionary Fee Funded	-	-	-	-	-	-	-	-	-	-
Gross Discretionary	551	108,711	551	116,711	577	98,513	-	5,000	632	127,874
Adjusted Gross Discretionary	551	108,679	551	116,679	577	98,513	-	5,000	632	127,874
Mandatory, Fees, Trust Funds	-	-	-	-	-	-	-	-	-	-
Appropriated Resources:	551	108,711	551	116,711	577	98,513	-	5,000	632	127,874
Non-Appropriated Resources:	-	-	-	-	-	-	-	-	-	-
Total, Title I, Departmental Management and Operations (Totals Appropriated Resources).....	1,069	413,211	1,069	421,211	1,160	425,886	1,160	5,000	1,331	485,219
TITLE II - SECURITY, ENFORCEMENT, & INVESTIGATIONS										
Customs and Border Protection	50,109	9,285,001	50,417	10,816,001	55,437	11,274,783	20	680,000	58,105	11,436,917
Salaries and expenses:	40,346	6,437,560	40,654	6,760,560	45,649	7,603,206	-	160,000	48,158	7,623,068
Headquarters Management and Administration.....	3,689	1,221,341	3,689	1,221,341	3,781	1,269,158	-	-	3,822	1,020,500
M&A, Border Security Inspections and Trade Facilitation.....	2,087	619,325	2,087	619,325	2,146	646,608	-	-	2,172	522,825
M&A, Border Security and Control between Ports of Entry.....	1,606	602,016	1,606	602,016	1,635	622,550	-	-	1,650	497,675
Border Security Inspections and Trade Facilitation.....	16,801	2,001,247	17,064	2,272,247	18,540	2,561,099	-	-	19,489	2,736,180
Inspections, Trade, and Travel Facilitation at Ports of Entry.....	16,206	1,583,235	16,469	1,854,235	17,904	2,093,988	-	-	18,842	2,255,210
Model Ports of Entry (emergency).....	-	-	263	40,000	-	-	-	-	-	-
Terrorist prevention system enhancements for passenger screening (emerg)	-	-	-	45,000	-	-	-	-	-	-
Electronic Travel authorizations (emergency).....	-	-	-	36,000	-	-	-	-	-	-
WHTI (emergency).....	-	-	-	150,000	-	-	-	-	-	-
Harbor Maintenance Fee Collection (Trust Fund).....	-	3,093	-	3,093	-	3,154	-	-	-	3,226
International Cargo Screening (Container Security Initiative).....	173	149,130	173	149,130	189	149,450	-	-	189	165,421
Other international programs.....	101	10,866	101	10,866	101	10,984	-	-	101	11,181
C-TPAT [C-TPAT/ FAST/NEXUS/SENTRI].....	182	62,310	182	62,310	207	64,496	-	-	207	62,612
Free and Secure Trade (FAST) NEXUS/SENTRI.....	-	11,243	-	11,243	-	11,274	-	-	-	11,274
Inspection and Detection Technology.....	-	105,027	-	105,027	-	145,944	-	-	-	143,563
Automated Targeting Systems.....	8	27,580	8	27,580	8	32,550	-	-	8	32,560
National Targeting Center.....	131	23,950	131	23,950	131	24,481	-	-	142	26,355
Training at the Ports of Entry.....	-	24,813	-	24,813	-	24,778	-	-	-	24,778
Border Security and Control between Ports of Entry.....	18,384	3,002,232	18,388	3,040,232	21,596	3,501,270	-	-	22,904	3,556,759
Border Security and Control.....	18,293	2,984,443	18,297	3,022,443	21,466	3,426,455	-	-	22,774	3,505,008
Ground Transportation contract (emergency).....	(4)	-	-	25,000	-	-	-	-	-	-
Border Patrol vehicles (emergency).....	-	-	-	13,000	-	-	-	-	-	-
Training Between the Ports of Entry.....	91	52,789	91	52,789	130	74,815	-	-	130	51,751
Air and Marine Operations, Personnel Compensation and Benefits.....	1,472	212,740	1,513	226,740	1,732	271,679	-	-	1,943	309,629
Automation modernization:	63	463,359	63	463,359	63	511,334	-	-	63	462,445
ACE/ITDS.....	62	303,719	62	303,719	62	316,851	-	-	62	267,960
Automated commercial system and legacy IT costs.....	1	159,640	1	159,640	1	194,483	-	-	1	194,485
Border Security Fencing, Infrastructure, and Technology:	160	229,850	160	1,282,850	185	775,000	-	100,000	200	779,452
SBInet Development and Deployment.....	-	92,850	-	1,145,850	-	505,000	-	-	-	494,000
SBInet Operations and Maintenance.....	-	73,000	-	73,000	-	150,000	-	-	-	200,000
Program Management.....	160	64,000	160	64,000	185	120,000	-	-	200	85,452
Air and Marine Interdiction:	-	476,047	-	570,047	-	528,000	-	-	-	505,826
Operations and maintenance.....	-	353,614	-	353,614	-	380,022	-	-	-	374,217
Procurement.....	-	122,433	-	216,433	-	147,978	-	-	-	131,609
Facilities Management:	-	287,363	-	348,363	-	403,201	20	420,000	-	678,633
Construction (Border Patrol).....	-	287,363	-	348,363	-	403,201	20	420,000	-	-
Facility Construction and Sustainment.....	-	-	-	-	-	-	-	-	-	239,356
Rent.....	-	-	-	-	-	-	-	-	-	402,264
Program Oversight and Management.....	-	-	-	-	-	-	-	-	-	37,013
Fee accounts:	9,540	1,384,925	9,540	1,384,925	9,540	1,448,145	-	-	9,684	1,381,596
Immigration inspection user fee.....	4,777	535,291	4,777	535,291	4,777	570,059	-	-	4,921	522,322
Immigration enforcement fines.....	23	3,440	23	3,440	23	3,331	-	-	23	2,109

	FY 2008 Omnibus Enacted Excluding Emergency		FY 2008 Omnibus Enacted Including Emergency Funding, Transfers, Tech Adjustments and All.		FY 2009 Revised Enacted		FY 2009 Supplemental		FY 2010 President's Budget	
	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$
Land border inspection fee.....	287	30,121	287	30,121	287	26,880	-	-	287	33,810
COBRA passenger inspection fee.....	1,538	392,180	1,538	392,180	1,538	410,666	-	-	1,538	398,131
APHIS inspection fee.....	2,332	299,622	2,332	299,622	2,332	333,433	-	-	2,332	325,276
CBP Inspection User Fees.....	-	-	-	-	-	-	-	-	-	-
Puerto Rico Trust Fund.....	529	117,214	529	117,214	529	96,719	-	-	529	91,784
Small Airport User Fee--discretionary (Not Offsetting).....	54	7,057	54	7,057	54	7,057	-	-	54	8,164
	-	5,897	-	5,897	-	5,897	-	-	-	5,897
Trust Fund Accounts:	-	5,897	-	5,897	-	5,897	-	-	-	5,897
Customs Unclaimed Goods.....	-	5,897	-	5,897	-	5,897	-	-	-	5,897
Rescission of Prior Year Unobligated Balances		-127,625		-127,625						
Net Discretionary	40,623	7,901,236	40,931	9,432,236	45,951	9,827,798	20	680,000	48,475	10,057,588
Adjusted Net Discretionary	40,623	7,873,611	40,931	9,404,611	45,951	9,827,798	20	680,000	48,475	10,057,588
Discretionary Fee Funded	-	-	-	-	-	-	-	-	-	-
Gross Discretionary	40,623	7,901,236	40,931	9,432,236	45,951	9,827,798	20	680,000	48,475	10,057,588
Adjusted Gross Discretionary	40,623	7,873,611	40,931	9,404,611	45,951	9,827,798	20	680,000	48,475	10,057,588
(Doesn't include Small Airports) Mandatory, Fees, Trust Funds	9,486	1,383,765	9,486	1,383,765	9,486	1,446,985	-	-	9,630	1,379,329
Appropriated Resources:	40,569	7,894,179	40,877	9,425,179	45,897	9,820,741	20	680,000	48,421	10,049,424
+ Small Airports+ Customs of Unclaimed Goods) Non-Appropriated Resources:	9,540	1,390,822	9,540	1,390,822	9,540	1,454,042	-	-	9,684	1,387,493
Immigration and Customs Enforcement	18,188	5,054,317	18,621	5,581,217	20,130	5,928,210	-	-	20,134	5,762,800
Salaries and expenses:	16,498	4,171,117	16,931	4,687,517	18,278	4,927,210	-	-	19,389	5,348,000
Headquarters Management and Administration.....	1,351	311,541	1,351	315,541	-	-	-	-	-	-
Personnel Compensation and Benefits, service and other costs.....	1,184	164,887	1,184	168,887	-	-	-	-	-	-
Headquarters Managed IT Investment.....	167	146,654	167	146,654	-	-	-	-	-	-
Legal Proceedings.....	1,170	208,350	1,170	208,350	1,284	241,196	-	-	1,312	260,818
Identification and removal of criminal aliens.....	-	-	-	-	-	-	-	-	-	-
Criminal Alien Program.....	-	-	-	-	-	-	-	-	-	-
Fugitive Operations.....	-	-	-	-	-	-	-	-	-	-
Custody Operations.....	-	-	-	-	-	-	-	-	-	-
State and Local programs.....	-	-	-	-	-	-	-	-	-	-
Immigration investigations.....	-	-	-	-	-	-	-	-	-	-
Other criminal investigations.....	-	-	-	-	-	-	-	-	-	-
Additional funding to identify and remove criminal aliens.....	-	-	-	-	-	-	-	-	-	-
Investigations.....	7,994	1,479,879	8,427	1,530,079	9,118	1,838,552	-	-	9,506	2,038,776
Domestic.....	7,761	1,372,328	7,761	1,422,528	8,854	1,699,637	-	-	9,224	1,887,529
International.....	233	107,551	233	107,551	264	138,915	-	-	282	151,247
International Investigations.....	-	-	-	-	202	110,854	-	-	210	119,074
Visa Security program.....	-	-	-	-	62	28,061	-	-	72	32,173
Intelligence.....	302	52,146	302	52,146	347	62,866	-	-	410	79,023
Intelligence.....	302	52,146	302	52,146	347	62,866	-	-	410	79,023
Detention and Removal Operations.....	5,681	2,119,201	5,681	2,581,401	7,529	2,634,596	-	-	7,645	2,768,251
Custody Operations.....	4,145	1,461,212	4,145	1,647,212	5,597	1,835,311	-	-	5,695	1,941,617
Fugitive Operations.....	613	186,145	613	218,945	735	241,448	-	-	741	251,982
Institutional Removal Program (Criminal Alien Program).....	777	178,829	777	178,829	-	209,679	-	-	1,020	223,239
Comprehensive Identification and Removal of Criminal Aliens.....	-	-	-	200,000	1,012	-	-	-	-	-
Alternatives to Detention.....	146	43,889	146	53,889	185	66,759	-	-	189	69,534
Transportation and Removal Program.....	-	249,126	-	282,526	-	281,399	-	-	-	281,879
Comprehensive Identification and Removal of Criminal Aliens.....	-	-	-	-	-	150,000	-	-	516	201,132
Unspecified Increase.....	-	-	-	-	-	-	-	-	-	-
Federal Protective Service: (Offsetting)	1,200	613,000	1,200	613,000	1,225	640,000	-	-	-	-
Basic security.....	1,200	186,673	1,200	186,673	410	213,673	-	-	-	-
Building specific security (incl. capital equip. replacement/acquisition).....	-	426,327	-	426,327	815	426,327	-	-	-	-
	-	-	-	-	-	-	-	-	-	-
Automation modernization:	7	30,700	7	30,700	18	57,000	-	-	19	110,000
Automation Modernization.....	7	30,700	7	30,700	18	57,000	-	-	26	110,000
	-	-	-	-	-	-	-	-	-	-
Construction:	9	6,000	9	16,500	9	5,000	-	-	-	-
Fee accounts:	474	233,500	474	233,500	600	299,000	-	-	726	304,800
Immigration inspection user fee.....	276	113,500	276	113,500	276	119,000	-	-	276	109,800
Breached bond/detention fund.....	63	63,800	63	63,800	63	60,000	-	-	63	75,000
Student exchange and visitor fee.....	135	56,200	135	56,200	261	120,000	-	-	387	120,000
Rescission of Prior Year Unobligated Balances		-15,137		-15,137						
Net Discretionary	16,514	4,207,817	16,947	4,734,717	18,305	4,989,210	-	-	19,408	5,458,000
Adjusted Net Discretionary	16,514	4,202,680	16,947	4,729,580	18,305	4,989,210	-	-	19,408	5,458,000
Discretionary Fee Funded	1,200	613,000	1,200	613,000	1,225	640,000	-	-	-	-
Gross Discretionary	17,714	4,820,817	18,147	5,347,717	19,530	5,629,210	-	-	19,408	5,458,000
Adjusted Gross Discretionary	17,714	4,815,680	18,147	5,342,580	19,530	5,629,210	-	-	19,408	5,458,000
Mandatory, Fees, Trust Funds	474	233,500	474	233,500	600	299,000	-	-	726	304,800

	FY 2008 Omnibus Enacted Excluding Emergency		FY 2008 Omnibus Enacted Including Emergency Funding, Transfers, Tech Adjustments and All.		FY 2009 Revised Enacted		FY 2009 Supplemental		FY 2010 President's Budget	
	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$
Appropriated Resources:	16,514	4,207,817	16,947	4,734,717	18,305	4,989,210	-	-	19,408	5,458,000
(FPS plus Fees) Non-Appropriated Resources:	1,674	846,500	1,674	846,500	1,825	939,000	-	-	726	304,800
Transportation Security Administration	50,871	6,809,359	50,871	6,809,359	51,603	6,990,778	15	1,000,000	51,949	7,793,576
Aviation Security:	48,897	4,774,241	48,897	4,774,241	49,666	4,740,913	15	1,000,000	49,757	5,330,450
Screening Operations.....	45,462	3,699,489	45,462	3,699,489	45,843	3,935,710	-	-	45,894	4,475,117
Screener Workforce.....	45,438	2,744,989	45,438	2,744,989	45,643	2,867,286	-	-	45,698	2,938,218
Screening Partnership Program [Privatized Screening].....	-	143,385	-	143,385	-	151,272	-	-	-	149,643
Passenger TSO PC&B [Passenger Screener PC&B].....	-	-	-	-	-	-	-	-	-	-
Baggage TSO PC&B [Baggage Screener - PC&B].....	-	-	-	-	-	-	-	-	-	-
Passenger & Baggage TSO PC&B [Passenger & Baggage Screener - PC&B].....	45,438	2,601,604	45,438	2,601,604	45,643	2,716,014	-	-	45,698	2,788,575
Screening Training and Other.....	-	-	-	-	-	-	-	-	-	-
Passenger TSO - other [Passenger screeners, other].....	-	-	-	-	-	-	-	-	-	-
Baggage TSO - other [Baggage screeners, other].....	-	-	-	-	-	-	-	-	-	-
TSO Training [Screener training].....	-	-	-	-	-	-	-	-	-	-
Screening Training and Other.....	-	223,766	-	223,766	54	197,318	-	-	54	203,463
HR Services.....	-	182,234	-	182,234	-	-	-	-	-	-
Checkpoint Support.....	-	-	-	-	40	250,000	-	-	40	128,739
EDS/ETD Systems.....	24	583,000	24	583,000	106	621,106	-	-	102	1,204,697
EDS/ETD Purchase.....	-	-	-	-	-	-	-	-	-	-
EDS/ETD Installation.....	-	-	-	-	-	-	-	-	-	-
EDS Procurement and installation.....	-	294,000	-	294,000	106	294,000	-	-	102	856,591
Screening Technology Maintenance & Utilities [EDS/ETD Maintenance].....	-	264,000	-	264,000	-	305,625	-	-	-	326,625
EDS/ETD Refurbishment.....	-	-	-	-	-	-	-	-	-	-
Operation Integration.....	24	25,000	24	25,000	-	21,481	-	-	-	21,481
Aviation Direction and Enforcement.....	3,433	1,009,977	3,433	1,009,977	3,821	802,483	-	-	3,861	835,733
Aviation Regulation and Other Enforcement.....	1,038	255,953	1,038	255,953	1,086	248,943	-	-	1,097	254,064
Airport Management, IT, and Support.....	2,045	651,933	2,045	651,933	2,064	401,666	-	-	2,093	448,424
FFDO and Flight Crew Training.....	25	25,091	25	25,091	29	25,025	-	-	29	25,127
Air Cargo.....	325	73,000	325	73,000	642	122,849	-	-	642	108,118
Federal Air Marshals.....	-	-	-	-	-	-	-	-	-	-
Airport Perimeter Security.....	-	4,000	-	4,000	-	4,000	-	-	-	-
Foreign Repair Stations.....	-	-	-	-	-	-	-	-	-	-
Law Enforcement.....	-	-	-	-	-	-	-	-	-	-
Secure Flight (CAPPs II).....	-	-	-	-	-	-	-	-	-	-
Crew Vetting.....	-	-	-	-	-	-	-	-	-	-
Registered Traveler Program.....	-	-	-	-	-	-	-	-	-	-
Unspecified Increase (Implementing Requirements of P.L. 110-53).....	-	30,000	-	30,000	-	-	-	-	-	-
Alien Flight School (by transfer from DOJ) - mandatory fee.....	-	-	-	-	-	-	-	-	-	-
General Aviation - offsetting fee.....	-	75	-	75	-	120	-	-	-	100
Indirect Air Cargo - offsetting fee.....	2	200	2	200	2	2,600	-	-	2	2,600
Certified Cargo Screening Program - offsetting fee.....	-	-	-	-	-	-	-	-	-	5,200
Large Aircraft Security Program - offsetting fee.....	-	-	-	-	-	-	-	-	-	1,600
Secure Identification Display Area Checks - offsetting fee.....	-	-	-	-	-	-	-	-	-	10,000
Other Security Threat Assessments - offsetting fee.....	-	-	-	-	-	-	-	-	-	100
[Offsetting Fee collections - All]	[0]	[-2,113,250]	[0]	[-2,113,250]	[0]	[-2,322,720]	[0]	[0]	[0]	[-2,248,541]
Surface Transportation Security:	326	46,613	326	46,613	353	63,431	-	-	545	128,416
Staffing and operations.....	188	24,485	188	24,485	160	33,711	-	-	160	42,293
Hazardous Materials Truck Tracking/Training.....	-	-	-	-	-	-	-	-	-	-
Surface Transportation Security Inspectors [Rail Security Inspectors and Canine].....	138	22,128	138	22,128	193	29,720	-	-	385	86,123
Credentialing Start-up.....	-	-	-	-	-	-	-	-	-	-
TWIC Appropriated.....	-	-	-	-	-	-	-	-	-	-
HAZMAT CDL - Fees.....	-	-	-	-	-	-	-	-	-	-
Transportation Threat Assessment & Credentialing:	172	195,490	172	195,490	201	166,718	-	-	250	219,999
Secure Flight.....	65	74,000	65	74,000	86	82,211	-	-	108	84,363
Crew Vetting.....	42	14,990	42	14,990	-	-	-	-	-	-
Other Vetting/Screening Administration and Operations.....	15	9,500	15	9,500	65	33,807	-	-	98	107,636
Transportation Worker Identification Credential (TWIC) - Direct Appropriation.....	-	8,100	-	8,100	-	-	-	-	-	-
Alien Flight School - Direct Appropriation.....	-	-	-	-	-	-	-	-	-	-
Registered Traveler Program - offsetting fee.....	12	3,500	12	3,500	12	-	-	-	-	-
Transportation Worker Identification Credential (TWIC) - offsetting fee.....	15	64,400	15	64,400	15	31,700	-	-	21	9,000
HAZMAT - offsetting fee.....	17	18,000	17	18,000	17	15,000	-	-	17	15,000
Alien Flight School (by transfer from DOJ) - mandatory fee.....	6	3,000	6	3,000	6	4,000	-	-	6	4,000
Transportation Security Support:	1,476	523,515	1,476	523,515	1,383	950,235	-	-	1,397	1,004,600
Intelligence.....	99	21,000	99	21,000	149	24,461	-	-	167	28,203
Administration.....	1,377	502,515	1,377	502,515	1,234	925,774	-	-	1,230	976,377
Headquarters Administration.....	1,377	293,191	1,377	293,191	922	234,870	-	-	888	248,929
Human Capital Services.....	-	-	-	-	177	218,105	-	-	193	226,338

	FY 2008 Omnibus Enacted Excluding Emergency		FY 2008 Omnibus Enacted Including Emergency Funding, Transfers, Tech Adjustments and All.		FY 2009 Revised Enacted		FY 2009 Supplemental		FY 2010 President's Budget	
	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$
Information Technology.....	-	209,324	-	209,324	135	472,799	-	-	149	501,110
Research and Development Consolidation (intelligence).....	-	-	-	-	-	-	-	-	-	-
Sensitive Security Information (SSI) - Offsetting fee.....	-	-	-	-	-	-	-	-	-	20
Aviation Security Capital Fund:	-	250,000	-	250,000	-	250,000	-	-	-	250,000
Checkpoint screening security fund:	-	250,000	-	250,000	-	-	-	-	-	-
Federal Air Marshals:	-	769,500	-	769,500	-	819,481	-	-	-	860,111
Management and Administration.....	-	674,173	-	674,173	-	725,081	-	-	-	762,569
Travel and Training.....	-	95,327	-	95,327	-	94,400	-	-	-	97,542
Air-to-ground communications.....	-	-	-	-	-	-	-	-	-	-
Rescission of Prior Year Unobligated Balances		-[4,500]		-[4,500]		-[31,000]				
Net Discretionary	50,821	4,107,209	50,821	4,107,209	51,553	4,367,358	15	1,000,000	51,905	5,267,015
Adjusted Net Discretionary	50,821	4,102,709	50,821	4,102,709	51,553	4,336,358	15	1,000,000	51,905	5,267,015
- Offsetting + TWIC + Support - Alien Flight School) Discretionary Fee Funded	44	2,199,150	44	2,199,150	44	2,369,420	-	-	38	2,272,561
Gross Discretionary	50,865	6,306,359	50,865	6,306,359	51,597	6,736,778	15	1,000,000	51,943	7,539,576
Adjusted Gross Discretionary	50,865	6,301,859	50,865	6,301,859	51,597	6,705,778	15	1,000,000	51,943	7,539,576
(Av. Security Capital Fund + Alien Flight) Mandatory, Fees, Trust Funds	6	503,000	6	503,000	6	254,000	-	-	6	254,000
incl. Hill's Non-Add of Gen. Aviation & Indirect Cargo) Appropriated Resources:	50,821	4,107,209	50,821	4,107,209	51,553	4,367,358	15	1,000,000	51,905	5,267,015
etting+Av. Sec. Cap. Fund + TWIC +Alien Flight) Non-Appropriated Resources:	50	2,702,150	50	2,702,150	50	2,623,420	-	-	44	2,526,561
U.S. Coast Guard	48,272	8,631,053	48,558	9,319,760	49,239	9,623,779	844	352,000	49,954	9,955,663
Operating expenses:	46,950	5,821,047	47,236	6,113,954	47,884	6,194,925	844	112,000	48,550	6,556,188
Military pay and allowances.....	40,901	2,921,673	41,102	2,938,835	41,359	3,073,520	-	-	41,775	3,244,861
Civilian pay and benefits.....	6,049	594,803	6,134	604,421	6,525	648,346	-	-	6,775	699,594
Training and recruiting.....	-	185,604	-	188,521	-	197,993	-	-	-	205,970
Operating funds and unit level maintenance.....	-	1,134,881	-	1,164,427	-	1,185,317	-	-	-	1,149,513
Centrally managed accounts.....	-	229,896	-	232,727	-	263,702	-	-	-	353,071
Intermediate and depot level maintenance.....	-	754,190	-	762,416	-	826,047	-	-	-	903,179
Port Vessel security and environmental response.....	-	-	-	-	-	-	-	-	-	-
Aviation Mission Hour Gap.....	-	-	-	-	-	-	-	-	-	-
Port and maritime security enhancements (Port Security).....	-	-	-	[70,300]	[0]	[0]	-	[0]	[0]	[0]
DOD Transfer (PL 109-289).....	-	-	-	-	-	-	-	-	-	-
DOD Transfer (PL 110-28).....	-	-	-	-	-	-	-	-	-	-
DOD Transfer (FY 2008 Omnibus).....	-	-	-	110,000	-	-	-	-	-	-
DOD Transfer (PL 110-28).....	-	-	-	112,607	-	-	-	-	-	-
Less adjustment for Defense function.....	-	(340,000)	-	(340,000)	-	(340,000)	-	-	-	(340,000)
Defense function.....	-	340,000	-	340,000	-	340,000	-	-	-	340,000
Environmental compliance and restoration:	24	13,000	24	13,000	24	13,000	-	-	24	13,198
Reserve training:	536	126,883	536	126,883	536	130,501	-	-	536	133,632
Acquisition, construction, and improvements:	652	892,019	652	1,287,819	685	1,474,576	-	98,000	735	1,383,980
Vessels and Critical Infrastructure.....	-	9,200	-	345,000	-	113,000	-	-	-	103,000
Survey and Design - Cutters and Boats.....	-	-	-	300,000	-	-	-	-	-	-
Response Boat Medium(41' UTB and NSB replacement).....	-	9,200	-	45,000	-	108,000	-	-	-	103,000
Inland Rivertenders' Emergency Sustainment Project.....	-	-	-	-	-	5,000	-	-	-	-
Special Purpose craft - law enforcement.....	-	-	-	-	-	-	-	-	-	-
Coastal Patrol Boats.....	-	-	-	-	-	-	-	-	-	-
Aircraft.....	-	-	-	-	-	-	-	-	-	-
HH-60 replacement.....	-	-	-	-	-	-	-	-	-	-
Other equipment.....	-	(24,164)	-	35,836	-	89,174	-	-	-	119,500
Nationwide Automatic Identification System.....	-	12,000	-	12,000	-	8,600	-	-	-	-
National distress and response system modernization (Rescue 21).....	-	80,300	-	80,300	-	73,000	-	-	-	117,000
HF Modernization and Recapitalization.....	-	2,500	-	2,500	-	2,500	-	-	-	2,500
Command 21.....	-	-	-	-	-	1,000	-	-	-	-
Defense Messaging System.....	-	5,000	-	5,000	-	4,074	-	-	-	-
National Capital Region Air Defense.....	-	11,500	-	11,500	-	-	-	-	-	-
Maritime security response team - Shoot House (Counter-terrorism Training)	-	1,800	-	1,800	-	-	-	-	-	-
Interagency operational centers for port security.....	-	-	-	60,000	-	-	-	-	-	-
Personnel compensation and benefits.....	652	82,720	652	82,720	685	92,830	-	-	83	17,785
Core acquisition costs.....	652	505	652	505	-	500	-	-	-	500
Direct personnel costs.....	-	82,215	-	82,215	685	92,330	-	-	83	17,285
Integrated Deepwater Systems.....	-	783,266	-	783,266	-	1,033,994	-	-	-	1,047,621
Aircraft.....	-	327,416	-	327,416	-	244,550	-	-	-	305,500
Aircraft, other.....	-	-	-	-	-	3,000	-	-	-	-
Maritime Patrol Aircraft (MPA).....	-	170,016	-	170,016	-	86,600	-	-	-	175,000
HH-60 conversions.....	-	57,300	-	57,300	-	52,700	-	-	-	45,900

	FY 2008 Omnibus Enacted Excluding Emergency		FY 2008 Omnibus Enacted Including Emergency Funding, Transfers, Tech Adjustments and All.		FY 2009 Revised Enacted		FY 2009 Supplemental		FY 2010 President's Budget	
	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$
HC-130H conversion/sustainment.....	-	18,900	-	18,900	-	24,500	-	-	-	45,300
Armed helicopter equipment.....	-	24,600	-	24,600	-	-	-	-	-	-
HC-130J fleet introduction.....	-	5,800	-	5,800	-	13,250	-	-	-	1,300
HH-65 re-engining.....	-	50,800	-	50,800	-	64,500	-	-	-	38,000
Surface ships.....	-	243,400	-	243,400	-	571,003	-	-	-	591,380
National Security Cutter (NSC).....	-	165,700	-	165,700	-	353,700	-	-	-	281,480
Offshore Patrol Cutter (OPC).....	-	-	-	-	-	3,003	-	-	-	9,800
Replacement Patrol Boat (FRC-B).....	-	-	-	-	-	115,300	-	-	-	243,000
IDS small boats.....	-	2,700	-	2,700	-	2,400	-	-	-	3,000
Patrol Boat Sustainment.....	-	40,500	-	40,500	-	30,800	-	-	-	23,000
Medium Endurance cutter sustainment.....	-	34,500	-	34,500	-	35,500	-	-	-	31,100
Polar Ice Breaker Refurbishment.....	-	-	-	-	-	30,300	-	-	-	-
Technology Obsolescence Prevention.....	-	700	-	700	-	1,500	-	-	-	1,900
C4ISR.....	-	89,630	-	89,630	-	88,100	-	-	-	35,000
Deepwater Logistics.....	-	36,500	-	36,500	-	37,700	-	-	-	37,700
Systems engineering and integration.....	-	35,145	-	35,145	-	33,141	-	-	-	31,141
Government program management.....	-	50,475	-	50,475	-	58,000	-	-	-	45,000
Coast Guard Headquarters.....	-	-	-	-	-	97,578	-	-	-	-
Shore facilities and aids to navigation.....	-	40,997	-	40,997	-	68,000	-	-	-	10,000
Less rescission of unexpended funds.....	-	-	-	-	-	(20,000)	-	-	-	-
Alteration of bridges:	-	16,000	-	16,000	-	16,000	-	142,000	-	-
Research, development, test, and evaluation:	102	25,000	102	25,000	102	18,000	-	-	101	19,745
Health Care Fund Contribution:	-	272,111	-	272,111	-	257,305	-	-	-	266,006
Retired pay:	-	1,184,720	-	1,184,720	-	1,236,745	-	-	-	1,361,245
Trust Fund:	8	280,273	8	280,273	8	282,727	-	-	8	221,669
Boat Safety.....	8	132,923	8	132,923	8	133,552	-	-	8	130,589
Oil Spill Recovery.....	-	147,270	-	147,270	-	149,095	-	-	-	91,000
Gift Fund.....	-	80	-	80	-	80	-	-	-	80
Rescission of Prior Year Unobligated Balances		[-146,847]		[-146,847]		[-20,000]				
Net Discretionary	48,264	7,166,060	48,550	7,854,767	49,231	8,104,307	844	352,000	49,946	8,372,749
Adjusted Net Discretionary	48,264	7,019,213	48,550	7,707,920	49,231	8,084,307	844	352,000	49,946	8,372,749
Discretionary Fee Funded	-	-	-	-	-	-	-	-	-	-
Gross Discretionary	48,264	7,166,060	48,550	7,854,767	49,231	8,104,307	844	352,000	49,946	8,372,749
Adjusted Gross Discretionary	48,264	7,019,213	48,550	7,707,920	49,231	8,084,307	844	352,000	49,946	8,372,749
Mandatory, Fees, Trust Funds	8	1,464,993	8	1,464,993	8	1,519,472	-	-	8	1,582,914
Appropriated Resources:	48,264	8,350,780	48,550	9,039,487	49,231	9,341,052	844	352,000	49,946	9,733,994
Non-Appropriated Resources:	8	280,273	8	280,273	8	282,727	-	-	8	221,669
U.S. Secret Service	6,700	1,629,496	6,700	1,629,496	6,806	1,637,954	70	100,000	7,055	1,709,584
Salaries & Expenses [Protection, Administration and Training]:	6,700	1,399,271	6,700	1,399,271	6,806	1,408,729	70	87,270	7,055	1,485,609
Protection	4,240	871,190	4,240	871,190	4,212	841,462	-	-	4,335	853,700
Protection of persons and facilities.....	3,514	693,535	3,514	693,535	3,601	705,918	-	-	3,800	759,561
National Special Security Event Fund.....	-	1,000	-	1,000	-	1,000	-	-	-	1,000
Protective intelligence activities.....	476	57,704	476	57,704	491	59,761	-	-	535	67,824
Presidential candidate nominee protection.....	250	102,750	250	102,750	120	41,082	-	-	-	-
White House mail screening.....	-	16,201	-	16,201	-	33,701	-	-	-	25,315
Investigations [and Field operations].....	1,859	300,193	1,859	300,193	1,993	331,974	-	-	2,116	356,504
Domestic field operations.....	1,480	219,742	1,480	219,742	1,597	241,772	-	-	1,705	260,892
International field office administration and operations.....	70	27,520	70	27,520	73	30,000	-	-	74	30,705
Electronic crimes special agent program and electronic crimes task forces....	289	44,565	289	44,565	303	51,836	-	-	317	56,541
Forensic support and grants to NCMEC.....	20	8,366	20	8,366	20	8,366	-	-	20	8,366
Administration.....	328	175,934	328	175,934	328	182,104	-	-	331	221,045
Headquarters, management and administration.....	328	175,934	328	175,934	328	182,104	-	-	331	221,045
National Center for Missing and Exploited Children.....	-	-	-	-	-	-	-	-	-	-
Training.....	273	51,954	273	51,954	273	53,189	-	-	273	54,360
Rowley training center.....	273	51,954	273	51,954	273	53,189	-	-	273	54,360
Acquisition, construction, improvements & expenses (Rowley Training Ctr)	-	3,725	-	3,725	-	4,225	-	12,730	-	3,975
Retired pay (mandatory - trust fund):	-	226,500	-	226,500	-	225,000	-	-	-	220,000
Rescission of Prior Year Unobligated Balances				[0]				[0]		
Net Discretionary	6,700	1,402,996	6,700	1,402,996	6,806	1,412,954	70	100,000	7,055	1,489,584
Adjusted Net Discretionary	6,700	1,402,996	6,700	1,402,996	6,806	1,412,954	70	100,000	7,055	1,489,584
Discretionary Fee Funded	-	-	-	-	-	-	-	-	-	-
Gross Discretionary	6,700	1,402,996	6,700	1,402,996	6,806	1,412,954	70	100,000	7,055	1,489,584
Adjusted Gross Discretionary	6,700	1,402,996	6,700	1,402,996	6,806	1,412,954	70	100,000	7,055	1,489,584

	FY 2008 Omnibus Enacted Excluding Emergency		FY 2008 Omnibus Enacted Including Emergency Funding, Transfers, Tech Adjustments and All.		FY 2009 Revised Enacted		FY 2009 Supplemental		FY 2010 President's Budget	
	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$
Mandatory, Fees, Trust Funds	-	226,500	-	226,500	-	225,000	-	-	-	220,000
Appropriated Resources:	6,700	1,402,996	6,700	1,402,996	6,806	1,412,954	70	100,000	7,055	1,489,584
Non-Appropriated Resources:	-	226,500	-	226,500	-	225,000	-	-	-	220,000
Total, Title II, Security, Enforcement, and Investigations:	162,868	25,962,981	163,895	28,709,588	171,792	29,931,315	949	2,132,000	176,735	31,998,017
National Protection & Programs Directorate	664	896,476	664	1,171,476	830	1,158,263	-	-	2,584	1,958,937
Management and Administration:	65	45,146	65	45,146	75	51,350	-	-	129	44,577
Administrative Activities (Administration).....	54	35,734	54	35,734	64	41,850	-	-	104	34,682
Risk Management and Analysis.....	11	9,412	11	9,412	11	9,500	-	-	25	9,895
Office of the Chief Medical Officer.....	-	-	-	-	-	-	-	-	-	-
Office of National Capital Region Coordination.....	-	-	-	-	-	-	-	-	-	-
National Preparedness Integration Program.....	-	-	-	-	-	-	-	-	-	-
National Protection Planning Office.....	-	-	-	-	-	-	-	-	-	-
Intergovernmental Programs.....	-	-	-	-	-	-	-	-	-	-
Federal Protective Service: (Offsetting)	-	-	-	-	-	-	-	-	1,225	640,000
Basic security.....	-	-	-	-	-	-	-	-	410	213,673
Building specific security (incl. capital equip. replacement/acquisition).....	-	-	-	-	-	-	-	-	815	426,327
Infrastructure Protection and Information Security:	497	651,330	497	651,330	636	806,913	-	-	1,031	918,166
IPIS Management & Administration.....	-	-	-	-	-	-	-	-	-	-
Capabilities Planning and Evaluation.....	-	-	-	-	-	-	-	-	-	-
Infrastructure Protection.....	419	269,196	419	269,196	386	313,800	-	-	688	333,303
Identification and analysis.....	-	-	-	-	83	80,603	-	-	-	-
Coordination and information sharing.....	-	-	-	-	83	62,367	-	-	-	-
Mitigation programs.....	-	-	-	-	220	170,830	-	-	-	-
Risk analysis.....	-	-	-	-	-	-	-	-	-	-
Critical Infrastructure Outreach and Partnership.....	-	-	-	-	-	-	-	-	-	-
Critical Infrastructure Identification and Evaluation.....	-	-	-	-	-	-	-	-	-	-
National Infrastructure Simulation and Analysis Center.....	-	-	-	-	-	-	-	-	-	-
Biosurveillance.....	-	-	-	-	-	-	-	-	-	-
Protective Actions.....	-	-	-	-	-	-	-	-	-	-
National Cyber Security Division.....	59	210,413	59	210,413	105	313,500	-	-	186	400,654
US Computer Emergency Response Team (US-CERT).....	-	-	-	-	-	-	-	-	-	-
Strategic Initiatives.....	-	-	-	-	-	-	-	-	-	-
Outreach and Programs.....	-	-	-	-	-	-	-	-	-	-
Office of Emergency Communications.....	19	35,700	19	35,700	42	38,300	-	-	52	44,060
National Communications Systems.....	-	136,021	-	136,021	103	141,313	-	-	105	140,149
Priority Telecommunications.....	-	-	-	-	40	58,740	-	-	-	-
Next generation networks.....	-	-	-	-	-	50,250	-	-	-	-
Programs to study and enhance telecommunications.....	-	-	-	-	25	15,100	-	-	-	-
Critical Infrastructure protection.....	-	-	-	-	29	11,260	-	-	-	-
National Command and Coordination Capability.....	-	-	-	-	9	5,963	-	-	-	-
Unspecified Reduction.....	-	-	-	-	-	-	-	-	-	-
Risk Management and Analysis.....	-	-	-	-	-	-	-	-	-	-
Real ID Hub.....	-	-	-	-	-	-	-	-	-	-
U.S. VISIT	102	200,000	102	475,000	119	300,000	-	-	199	356,194
Rescission of Prior Year Unobligated Balances	-	(1,994)	-	(1,994)	-	-	-	-	-	-
Net Discretionary	664	896,476	664	1,171,476	830	1,158,263	-	-	1,359	1,318,937
Adjusted Net Discretionary	664	894,482	664	1,169,482	830	1,158,263	-	-	1,359	1,318,937
Discretionary Fee Funded	-	-	-	-	-	-	-	-	1,225	640,000
Gross Discretionary	664	896,476	664	1,171,476	830	1,158,263	-	-	2,584	1,958,937
Adjusted Gross Discretionary	664	894,482	664	1,169,482	830	1,158,263	-	-	2,584	1,958,937
Mandatory, Fees, Trust Funds	-	-	-	-	-	-	-	-	-	-
Appropriated Resources:	664	896,476	664	1,171,476	830	1,158,263	-	-	1,359	1,318,937
Non-Appropriated Resources:	-	-	-	-	-	-	-	-	1,225	640,000
Office of Health Affairs	49	118,375	49	118,375	80	157,191	-	-	84	138,000
Office of Health Affairs	49	118,375	49	118,375	80	157,191	-	-	84	138,000
BioWatch.....	-	77,108	-	77,108	-	111,606	-	-	-	94,513
National Biosurveillance Integration Center.....	-	9,875	-	9,875	-	8,000	-	-	-	8,000
Rapidly Deployable Chemical Detection System.....	-	2,600	-	2,600	-	2,600	-	-	-	2,600
Planning and Coordination.....	-	4,475	-	4,475	-	5,775	-	-	-	2,476
Salaries and Expenses.....	49	24,317	49	24,317	80	29,210	-	-	84	30,411
Rescission of Prior Year Unobligated Balances	-	(45)	-	(45)	-	-	-	-	-	-
Net Discretionary	49	118,375	49	118,375	80	157,191	-	-	84	138,000

	FY 2008 Omnibus Enacted Excluding Emergency		FY 2008 Omnibus Enacted Including Emergency Funding, Transfers, Tech Adjustments and All.		FY 2009 Revised Enacted		FY 2009 Supplemental		FY 2010 President's Budget	
	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$
Adjusted Net Discretionary	49	118,330	49	118,330	80	157,191	-	-	84	138,000
Discretionary Fee Funded	-	-	-	-	-	-	-	-	-	-
Gross Discretionary	49	118,375	49	118,375	80	157,191	-	-	84	138,000
Adjusted Gross Discretionary	49	118,330	49	118,330	80	157,191	-	-	84	138,000
Mandatory, Fees, Trust Funds	-	-	-	-	-	-	-	-	-	-
Appropriated Resources:	49	118,375	49	118,375	80	157,191	-	-	84	138,000
Non-Appropriated Resources:	-	-	-	-	-	-	-	-	-	-
CT Fund	-	-	-	-	-	-	-	-	-	-
Rescission of Prior Year Unobligated Balances	-	-(8,480)	-	-(8,480)	-	-	-	-	-	-
Net Discretionary	-	-	-	-	-	-	-	-	-	-
Adjusted Net Discretionary	-	(8,480)	-	(8,480)	-	-	-	-	-	-
Discretionary Fee Funded	-	-	-	-	-	-	-	-	-	-
Gross Discretionary	-	-	-	-	-	-	-	-	-	-
Adjusted Gross Discretionary	-	(8,480)	-	(8,480)	-	-	-	-	-	-
Mandatory, Fees, Trust Funds	-	-	-	-	-	-	-	-	-	-
Appropriated Resources:	-	-	-	-	-	-	-	-	-	-
Non-Appropriated Resources:	-	-	-	-	-	-	-	-	-	-
Federal Emergency Management Agency	6,683	9,632,978	6,683	21,631,978	6,067	10,231,505	-	610,000	6,717	10,479,287
Management and Administration (Operations, Planning, and Support):	2,464	717,000	2,464	717,000	2,296	837,437	-	-	2,697	852,200
Operating Activities.....	1,368	652,000	1,368	652,000	2,268	798,595	-	-	2,618	817,205
Management and Administration Activities.....	1,074	26,500	1,074	26,500	-	-	-	-	-	-
United States Fire Administration.....	-	-	-	-	-	-	-	-	-	-
Office of National Capital Region Coordination.....	14	6,000	14	6,000	20	6,342	-	-	20	6,995
Urban Search and Rescue Response System.....	8	32,500	8	32,500	8	32,500	-	-	8	28,000
Defense Function	[0]	[88,930]	[0]	[88,930]	[0]	[94,059]	-	[0]	[0]	[94,059]
State and Local Programs & Emergency Management Perf. Grants	269	3,067,800	269	3,217,800	269	3,155,700	-	300,000	587	3,867,000
State Preparedness Grants Program.....	269	946,000	269	1,096,000	101	1,056,000	-	-	-	-
State Homeland Security Grant Program.....	-	890,000	-	930,000	-	890,000	-	-	-	-
Citizen Corps.....	-	15,000	-	15,000	-	15,000	-	-	-	-
Law enforcement Terrorism Prevention Program.....	-	-	-	-	-	-	-	-	-	-
Operation Stonegarden (emergency in FY 08) - FY 09 bill in non-emerg	-	-	-	60,000	-	60,000	-	-	-	-
Metropolitan Medical Response System.....	-	41,000	-	41,000	-	41,000	-	-	-	-
Emergency Management Performance Grants.....	-	-	-	-	-	-	-	-	-	-
Real ID Grants (emergency for FY 2008) 09 is not emergency money (Sec.	-	-	-	50,000	-	50,000	-	-	-	-
National Security and Terrorism Prevention Grants.....	-	-	-	-	-	-	-	-	-	-
Targeted Infrastructure Capability Grants Program.....	-	1,797,500	-	1,797,500	36	1,827,500	-	-	-	-
UASI Regional Grants.....	-	820,000	-	820,000	-	837,500	-	-	-	-
Port Security Grants.....	-	400,000	-	400,000	-	400,000	-	-	-	-
Rail/Public Transportation Security Grants.....	-	400,000	-	400,000	-	400,000	-	-	-	-
Over-the-Road Bus Security Grants.....	-	11,500	-	11,500	-	12,000	-	-	-	-
Buffer Zone Protection Grants.....	-	50,000	-	50,000	-	50,000	-	-	-	-
Trucking Industry Security Grants.....	-	16,000	-	16,000	-	8,000	-	-	-	-
Regional Catastrophic Preparedness Grants (emergency)/09 bill is non-emer	-	35,000	-	35,000	-	35,000	-	-	-	-
Interoperable Emergency Communications Grants.....	-	50,000	-	50,000	-	50,000	-	-	-	-
Emergency Operations Centers.....	-	15,000	-	15,000	-	35,000	-	-	-	-
National Exercise Program.....	-	50,000	-	50,000	30	40,000	-	-	-	-
National Exercise Series/TOPOFF.....	-	15,345	-	15,345	-	-	-	-	-	-
National Special Security Events Exercises.....	-	2,970	-	2,970	-	-	-	-	-	-
Federal, State, and Local Exercises.....	-	2,277	-	2,277	-	-	-	-	-	-
Prevention Exercises.....	-	3,960	-	3,960	-	-	-	-	-	-
Exercise Support Program & Emerging Needs.....	-	25,448	-	25,448	-	-	-	-	-	-
State and Local Training Program.....	-	218,300	-	218,300	66	197,200	-	-	-	-
Continuing and Emerging Training Grants.....	-	31,000	-	31,000	-	31,000	-	-	-	-
Center for Domestic Preparedness.....	-	62,500	-	62,500	-	57,000	-	-	-	-
Noble Training Center.....	-	-	-	-	-	5,500	-	-	-	-
National Domestic Preparedness Consortium.....	-	88,000	-	88,000	-	102,000	-	-	-	-
Counterterrorism and Cyber Crime Center.....	-	-	-	-	-	1,700	-	-	-	-
Competitive/Demonstration Training Grants.....	-	28,000	-	28,000	-	-	-	-	-	-
Rural Domestic Preparedness Consortium.....	-	8,800	-	8,800	-	-	-	-	-	-
Technical Assistance Program.....	-	12,000	-	12,000	12	11,000	-	-	-	-
Evaluation and National Assessment Program.....	-	19,000	-	19,000	24	16,000	-	-	-	-
Evaluations and Assessments.....	-	7,000	-	7,000	24	16,000	-	-	-	-
HSPD-8.....	-	10,500	-	10,500	-	-	-	-	-	-
Prevention and Deterrence Activities.....	-	1,500	-	1,500	-	-	-	-	-	-
Commercial Equipment Direct Assistance Program.....	-	25,000	-	25,000	-	8,000	-	-	-	-
Management and Administration.....	-	-	-	-	-	-	-	-	587	175,000

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	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$
State & Regional Preparedness Program.....	-	-	-	-	-	-	-	-	-	2,045,000
State Homeland Security Grant Program.....	-	-	-	-	-	-	-	-	-	890,000
Stonegarden.....	-	-	-	-	-	-	-	-	-	60,000
Regional Catastrophic Preparedness Grants.....	-	-	-	-	-	-	-	-	-	35,000
Medical Surge Grants.....	-	-	-	-	-	-	-	-	-	40,000
Citizen Corps Grants.....	-	-	-	-	-	-	-	-	-	15,000
IEOC.....	-	-	-	-	-	-	-	-	-	50,000
Real ID Grants.....	-	-	-	-	-	-	-	-	-	50,000
Assistance to Firefighters Grants.....	-	-	-	-	-	-	-	-	-	590,000
Emergency Management Performance Grants.....	-	-	-	-	-	-	-	-	-	315,000
MSA Preparedness Program.....	-	-	-	-	-	-	-	-	-	1,437,000
UASI Regional Grants.....	-	-	-	-	-	-	-	-	-	887,000
Port Security Grants.....	-	-	-	-	-	-	-	-	-	250,000
Rail/Public Transportation Security Grants.....	-	-	-	-	-	-	-	-	-	250,000
Buffer Zone Protection Grants.....	-	-	-	-	-	-	-	-	-	50,000
Training Measurement and Exercise Program.....	-	-	-	-	-	-	-	-	-	210,000
National Exercise Program.....	-	-	-	-	-	-	-	-	-	42,000
Continuing and Emerging Training Grants.....	-	-	-	-	-	-	-	-	-	23,000
Center for Domestic Preparedness.....	-	-	-	-	-	-	-	-	-	62,500
Cybercrime Counterterrorism Training.....	-	-	-	-	-	-	-	-	-	-
National Domestic Preparedness Consortium.....	-	-	-	-	-	-	-	-	-	51,500
Rural Domestic Preparedness Consortium.....	-	-	-	-	-	-	-	-	-	-
Technical Assistance Program.....	-	-	-	-	-	-	-	-	-	13,000
Evaluation and National Assessment Program.....	-	-	-	-	-	-	-	-	-	18,000
Emergency Management Performance Grants	-	300,000	-	300,000	15	315,000	-	-	-	-
Assistance to Firefighter Grants	54	750,000	54	750,000	54	775,000	-	210,000	-	-
Fire Grants (Assistance to Firefighter Grants).....	54	560,000	54	560,000	54	565,000	-	-	-	-
SAFER Act grants.....	-	190,000	-	190,000	-	210,000	-	-	-	-
U.S. Fire Administration:	115	43,300	115	43,300	115	44,979	-	-	115	45,588
United States Fire Administration.....	115	43,300	115	43,300	115	44,979	-	-	115	45,588
Noble Training Center.....	-	-	-	-	-	-	-	-	-	-
Radiological Emergency Preparedness:	170	(997)	170	(997)	170	(505)	-	-	170	(265)
Radiological Emergency Preparedness.....	170	30,309	170	30,309	170	27,980	-	-	170	27,980
Fee Collections.....	-	(31,306)	-	(31,306)	-	(28,485)	-	-	-	(28,485)
Disaster relief:	3,243	1,324,000	3,243	13,173,000	2,738	1,400,000	-	-	2,738	2,000,000
Disaster assistance direct loan program account:	3	875	3	875	-	295	-	-	-	295
[Limitation on direct loans]	[0]	[25,000]	[0]	[25,000]	[0]	[25,000]	-	[0]	[0]	[25,000]
Direct Loan Subsidy.....	-	295	-	295	-	295	-	-	-	295
Administrative expenses.....	3	580	3	580	-	-	-	-	-	-
Flood map modernization fund:	43	220,000	43	220,000	43	220,000	-	-	43	220,000
National flood insurance fund (offsetting):	300	111,000	300	111,000	330	156,599	-	-	330	159,469
Salaries and expenses.....	300	45,642	300	45,642	330	49,418	-	-	330	52,149
Flood Hazard mitigation.....	-	99,358	-	99,358	-	107,181	-	-	-	107,320
[Transfer to National flood mitigation fund].....	-	(34,000)	-	(34,000)	-	-	-	-	-	-
National flood insurance fund (mandatory):	7	2,833,000	7	2,833,000	22	3,037,000	-	-	22	3,085,000
Fee Collections.....	-	2,743,000	-	2,743,000	-	2,911,300	-	-	-	2,965,000
Severe Repetitive Loss Mitigation.....	7	80,000	7	80,000	14	80,000	-	-	14	70,000
Repetitive Loss Mitigation.....	-	10,000	-	10,000	-	10,000	-	-	-	10,000
Flood mitigation activities.....	-	-	-	-	8	35,700	-	-	8	40,000
National flood mitigation fund (by transfer):	-	[34,000]	-	[34,000]	[0]	[0]	-	[0]	-	[0]
National pre-disaster mitigation fund:	15	114,000	15	114,000	15	90,000	-	-	15	150,000
Emergency food and shelter:	-	153,000	-	153,000	-	200,000	-	100,000	-	100,000
Rescission of Prior Year Unobligated Balances		-(37,176)		-(37,176)		-(9,000)				
Net Discretionary	6,376	6,688,978	6,376	18,687,978	5,715	7,037,906	-	610,000	6,365	7,234,818
Adjusted Net Discretionary	6,376	6,651,802	6,376	18,650,802	5,715	7,028,906	-	610,000	6,365	7,234,818
Discretionary Fee Funded	300	111,000	300	111,000	330	156,599	-	-	330	159,469
Gross Discretionary	6,676	6,799,978	6,676	18,798,978	6,045	7,194,505	-	610,000	6,695	7,394,287
Adjusted Gross Discretionary	6,676	6,762,802	6,676	18,761,802	6,045	7,185,505	-	610,000	6,695	7,394,287
Mandatory, Fees, Trust Funds	7	2,833,000	7	2,833,000	22	3,037,000	-	-	22	3,085,000

	FY 2008 Omnibus Enacted Excluding Emergency		FY 2008 Omnibus Enacted Including Emergency Funding, Transfers, Tech Adjustments and All.		FY 2009 Revised Enacted		FY 2009 Supplemental		FY 2010 President's Budget	
	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$
Appropriated Resources:	6,376	6,688,978	6,376	18,687,978	5,715	7,037,906	-	610,000	6,365	7,234,818
Non-Appropriated Resources:	307	2,944,000	307	2,944,000	352	3,193,599	-	-	352	3,244,469
Total, Title III, Preparedness:	7,089	7,703,829	7,089	19,977,829	6,625	8,353,360	-	610,000	7,808	8,691,755
TITLE IV - RESEARCH & DEVELOPMENT, TRAINING, & SERVICES										
Citizenship & Immigration Services	10,714	2,822,012	10,714	2,902,012	10,362	2,690,926	-	-	10,700	2,867,232
Salaries and Expenses:	260	973	260	80,973	235	151,740	-	-	1,043	364,000
Business Transformation.....	-	-	-	-	-	-	-	-	-	-
Pay and benefits.....	-	-	-	-	-	-	-	-	-	-
SAVE.....	-	-	-	-	-	-	-	-	-	-
E-Verify [EEV].....	255	-	255	60,000	228	100,000	-	-	295	112,000
Real ID Act Implementation (Sec. 547).....	-	-	-	-	2	50,000	-	-	2	25,000
FBI Background Check.....	-	-	-	20,000	-	-	-	-	-	-
Benefit Parole Program.....	5	523	5	523	5	540	-	-	-	-
Asylum and Refugee Services.....	-	-	-	-	-	-	-	-	744	206,000
Immigration Integration.....	-	-	-	-	-	-	-	-	2	10,000
Data Center Development.....	-	-	-	-	-	-	-	-	-	11,000
Immigration service programs (House Mark = Citizenship Education Grants).	-	450	-	450	-	1,200	-	-	-	-
Immigration Examinations Fee Account:	10,268	2,777,039	10,268	2,777,039	9,947	2,495,186	-	-	9,471	2,451,884
Adjudication Services.....	8,310	2,216,837	8,310	2,216,837	8,051	1,954,676	-	-	7,533	1,901,493
Pay and benefits.....	8,310	1,024,512	8,310	1,024,512	8,051	800,731	-	-	7,533	779,557
District Operations.....	-	536,685	-	536,685	-	531,959	-	-	-	527,618
Service Center Operations.....	-	336,873	-	336,873	-	305,989	-	-	-	298,629
Asylum, Refugee and International Operations.....	-	92,028	-	92,028	-	91,338	-	-	-	45,757
Records Operations.....	-	87,739	-	87,739	-	85,659	-	-	-	76,668
Business Transformation.....	-	139,000	-	139,000	-	139,000	-	-	-	173,264
Information and Customer Services:	1,115	167,799	1,115	167,799	1,070	149,058	-	-	1,070	154,188
Pay and benefits.....	1,115	89,977	1,115	89,977	1,070	78,935	-	-	1,070	88,063
Operating Expenses.....	-	77,822	-	77,822	-	70,123	-	-	-	66,125
National Customer Service Center.....	-	55,600	-	55,600	-	53,110	-	-	-	51,755
Information Services.....	-	22,222	-	22,222	-	17,013	-	-	-	14,370
SAVE/EEV Operating Expenses.....	-	-	-	-	-	-	-	-	-	-
Administration.....	661	373,899	661	373,899	665	372,634	-	-	686	374,856
Pay and benefits.....	661	86,245	661	86,245	665	90,298	-	-	686	98,674
Operating Expenses.....	-	287,654	-	287,654	-	282,336	-	-	-	276,182
SAVE.....	182	18,504	182	18,504	161	18,818	-	-	182	21,347
H1-B Visa Fee Account:	-	13,000	-	13,000	-	13,000	-	-	-	13,000
Adjudication Services.....	-	13,000	-	13,000	-	13,000	-	-	-	13,000
Service Center Operations.....	-	13,000	-	13,000	-	13,000	-	-	-	13,000
H1-B and L Fraud Prevention:	186	31,000	186	31,000	180	31,000	-	-	186	38,348
Adjudication Services.....	186	31,000	186	31,000	180	31,000	-	-	206	31,000
Pay and benefits.....	186	23,000	186	23,000	180	16,203	-	-	206	16,660
District Operations.....	-	6,000	-	6,000	-	9,440	-	-	-	9,152
Asylum, Refugee Operating Expenses.....	-	-	-	-	-	2,455	-	-	-	-
Service Center Operations.....	-	2,000	-	2,000	-	2,902	-	-	-	2,824
Rescission of Prior Year Unobligated Balances		(672)		(672)						
Net Discretionary	260	973	260	80,973	235	151,740	-	-	1,043	364,000
Adjusted Net Discretionary	260	301	260	80,301	235	151,740	-	-	1,043	364,000
Discretionary Fee Funded	-	-	-	-	-	-	-	-	-	-
Gross Discretionary	260	973	260	80,973	235	151,740	-	-	1,043	364,000
Adjusted Gross Discretionary	260	301	260	80,301	235	151,740	-	-	1,043	364,000
Mandatory, Fees, Trust Funds	10,454	2,821,039	10,454	2,821,039	10,127	2,539,186	-	-	9,657	2,503,232
Appropriated Resources:	260	973	260	80,973	235	151,740	-	-	1,043	364,000
Non-Appropriated Resources:	10,454	2,821,039	10,454	2,821,039	10,127	2,539,186	-	-	9,657	2,503,232
Federal Law Enforcement Training Center	1,056	273,302	1,056	294,302	1,146	332,986	-	-	1,103	288,812
Salaries and Expenses:	1,056	221,712	1,056	238,712	1,146	246,530	-	-	1,103	245,356
Law Enforcement Training.....	1,049	220,422	1,049	237,422	1,139	245,240	-	-	1,096	244,047
Accreditation.....	7	1,290	7	1,290	7	1,290	-	-	7	1,309
Acquisition, Construction, Improvements & Related Expenses:	-	51,590	-	55,590	-	86,456	-	-	-	43,456
Rescission of Prior Year Unobligated Balances		(334)		(334)						
Net Discretionary	1,056	273,302	1,056	294,302	1,146	332,986	-	-	1,103	288,812

	FY 2008 Omnibus Enacted Excluding Emergency		FY 2008 Omnibus Enacted Including Emergency Funding, Transfers, Tech Adjustments and All.		FY 2009 Revised Enacted		FY 2009 Supplemental		FY 2010 President's Budget	
	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$
Adjusted Net Discretionary	1,056	272,968	1,056	293,968	1,146	332,986	-	-	1,103	288,812
Discretionary Fee Funded	-	-	-	-	-	-	-	-	-	-
Gross Discretionary	1,056	273,302	1,056	294,302	1,146	332,986	-	-	1,103	288,812
Adjusted Gross Discretionary	1,056	272,968	1,056	293,968	1,146	332,986	-	-	1,103	288,812
Mandatory, Fees, Trust Funds	-	-	-	-	-	-	-	-	-	-
Appropriated Resources:	1,056	273,302	1,056	294,302	1,146	332,986	-	-	1,103	288,812
Non-Appropriated Resources:	-	-	-	-	-	-	-	-	-	-
Science & Technology	350	830,335	350	830,335	381	932,587	-	-	404	968,391
Management and administration:	350	138,600	350	138,600	257	132,100	-	-	274	142,200
Office of the Under Secretary for Science and Technology.....	-	-	-	-	-	-	-	-	-	-
Other salaries and expenses.....	-	-	-	-	-	-	-	-	-	-
Salaries and Benefits.....	350	138,600	350	138,600	257	132,100	-	-	274	142,200
Unspecified Reduction.....	-	-	-	-	-	-	-	-	-	-
Research, development, acquisition, and operations:	-	691,735	-	691,735	124	800,487	-	-	130	826,191
Homeland Security Institute.....	-	5,000	-	5,000	-	5,000	-	-	-	-
Pacific Northwest National Library.....	-	-	-	-	-	-	-	-	-	-
Borders and Maritime.....	-	25,479	-	25,479	-	33,050	-	-	-	40,181
Chemical and Biological.....	-	208,020	-	208,020	-	200,408	-	-	-	206,800
Command, Control and Interoperability.....	-	56,980	-	56,980	-	74,890	-	-	-	80,264
Explosives.....	-	77,654	-	77,654	-	96,149	-	-	-	120,809
Human Factors.....	-	14,206	-	14,206	-	12,460	-	-	-	15,087
Infrastructure and Geophysical.....	-	64,500	-	64,500	-	75,816	-	-	-	44,742
Innovation.....	-	33,000	-	33,000	-	33,000	-	-	-	44,000
Laboratory Facilities.....	-	103,814	-	103,814	124	161,940	-	-	130	154,500
T&E/Standards.....	-	28,520	-	28,520	-	28,674	-	-	-	28,674
Transition.....	-	25,265	-	25,265	-	28,830	-	-	-	45,134
University Programs.....	-	49,297	-	49,297	-	50,270	-	-	-	46,000
Rescission of Prior Year Unobligated Balances	-	-[217]	-	-[217]	-	-	-	-	-	-
Net Discretionary	350	830,335	350	830,335	381	932,587	-	-	404	968,391
Adjusted Net Discretionary	350	830,118	350	830,118	381	932,587	-	-	404	968,391
Discretionary Fee Funded	-	-	-	-	-	-	-	-	-	-
Gross Discretionary	350	830,335	350	830,335	381	932,587	-	-	404	968,391
Adjusted Gross Discretionary	350	830,118	350	830,118	381	932,587	-	-	404	968,391
Mandatory, Fees, Trust Funds	-	-	-	-	-	-	-	-	-	-
Appropriated Resources:	350	830,335	350	830,335	381	932,587	-	-	404	968,391
Non-Appropriated Resources:	-	-	-	-	-	-	-	-	-	-
Domestic Nuclear Detection Office	121	484,750	121	484,750	130	514,191	-	-	130	366,136
Management and Administration:	121	31,500	121	31,500	130	37,500	-	-	130	39,599
Research, Development, and Operations:	-	323,500	-	323,500	-	323,200	-	-	-	326,537
Systems Engineering and architecture.....	-	22,400	-	22,400	-	25,147	-	-	-	25,648
Systems development.....	-	118,100	-	118,100	-	108,100	-	-	-	100,000
Transformational research and development.....	-	96,000	-	96,000	-	103,300	-	-	-	110,537
Assessments.....	-	37,500	-	37,500	-	32,000	-	-	-	32,616
Operations support.....	-	34,500	-	34,500	-	37,753	-	-	-	38,573
National Technical Nuclear Forensics Center.....	-	15,000	-	15,000	-	16,900	-	-	-	19,700
Systems Acquisition:	-	129,750	-	129,750	-	153,491	-	-	-	-
Radiation Portal Monitor Program.....	-	90,000	-	90,000	-	120,491	-	-	-	-
Securing the Cities.....	-	30,000	-	30,000	-	20,000	-	-	-	-
Human Portal Radiation Detection Systems Program.....	-	9,750	-	9,750	-	13,000	-	-	-	-
Rescission of Prior Year Unobligated Balances	-	-[368]	-	-[368]	-	-	-	-	-	-
Net Discretionary	121	484,750	121	484,750	130	514,191	-	-	130	366,136
Adjusted Net Discretionary	121	484,382	121	484,382	130	514,191	-	-	130	366,136
Discretionary Offsets	-	-	-	-	-	-	-	-	-	-
Gross Discretionary	121	484,750	121	484,750	130	514,191	-	-	130	366,136
Adjusted Gross Discretionary	121	484,382	121	484,382	130	514,191	-	-	130	366,136
Mandatory, Fees, Trust Funds	-	-	-	-	-	-	-	-	-	-
Appropriated Resources:	121	484,750	121	484,750	130	514,191	-	-	130	366,136
Non-Appropriated Resources:	-	-	-	-	-	-	-	-	-	-
Working Capital Fund - Rescission	-	-[2,509]	-	-[2,509]	-	-	-	-	-	-
Total, Title IV, Research and Development, Training Assessments, and Services:	1,787	1,589,360	1,787	1,690,360	1,892	1,931,504	-	-	2,680	1,987,339
DEPARTMENT OF HOMELAND SECURITY	195,965	47,454,648	196,992	62,584,255	204,677	52,543,592	949	2,947,000	211,807	55,115,227

	FY 2008 Omnibus Enacted Excluding Emergency		FY 2008 Omnibus Enacted Including Emergency Funding, Transfers, Tech Adjustments and All.		FY 2009 Revised Enacted		FY 2009 Supplemental		FY 2010 President's Budget	
	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$	FTE	\$\$\$
Rescission of Prior Year Unobligated Balances		-[262,249]		-[262,249]		-[81,373]				
Net Discretionary	173,986	35,065,701	175,013	50,195,308	182,829	40,056,930	949	2,947,000	190,165	42,713,922
Adjusted Net Discretionary	173,986	34,805,962	175,013	49,935,569	182,829	39,975,557	949	2,947,000	190,165	42,713,922
Discretionary Fee Funded	1,544	2,923,150	1,544	2,923,150	1,599	3,166,019	-	-	1,593	3,072,030
Gross Discretionary	175,530	37,988,851	176,557	53,118,458	184,428	43,222,949	949	2,947,000	191,758	45,785,952
Adjusted Gross Discretionary	175,530	37,729,112	176,557	52,858,719	184,428	43,141,576	949	2,947,000	191,758	45,785,952
Mandatory, Fees, Trust Funds	20,435	9,465,797	20,435	9,465,797	20,249	9,320,643	-	-	20,049	9,329,275
Appropriated Resources:	173,932	36,243,364	174,959	51,372,971	182,775	41,286,618	949	2,947,000	190,111	44,067,003
Non-Appropriated Resources:	22,033	11,211,284	22,033	11,211,284	21,902	11,256,974	-	-	21,696	11,048,224
Grand total, Department of Homeland Security:	173,932	35,981,116	174,959	51,110,723	182,775	41,205,245	949	2,947,000	190,111	44,067,003
Appropriations.....	173,932	36,243,364	174,959	51,372,971	182,775	41,286,618	949	2,947,000	190,111	44,067,003
Rescissions of prior year unobligated balances.....	-	(262,249)	-	(262,249)	-	(81,373)	-	-	-	-
[Discretionary Fee Funded Programs].....	[1,544]	[2,923,150]	[1,544]	[2,923,150]	[1,599]	[3,166,019]	-	[0]	[1,593]	[3,072,030]
[Rescission of prior year emergency supplemental].....	[2]	[3]	[0]	[0]	[0]	[0]	-	[0]	[0]	[0]
[Mandatory Fee Funded Programs and Trust Funds].....	[20,489]	[8,288,134]	[20,489]	[8,288,134]	[20,303]	[8,090,955]	-	[0]	[20,103]	[7,976,194]
CONGRESSIONAL BUDGET RECAP										
Total, Scorekeeping adjustments:	-	(262,249)	-	(262,249)	-	(81,373)	-	-	-	-
Rescission of Prior Year Unobligated Balances.....	-	(262,249)	-	(262,249)	-	(81,373)	-	-	-	-
Total, Appropriations.....	173,932	35,981,116	174,959	51,110,723	182,775	41,205,245	949	2,947,000	190,111	44,067,003
Amount in this bill.....	173,932	36,243,364	174,959	51,372,971	182,775	41,286,618	949	2,947,000	190,111	44,067,003
Scorekeeping adjustments.....	-	(262,249)	-	(262,249)	-	(81,373)	-	-	-	-
Hill Grand Total								2,947,000		
Total, Mandatory and Discretionary.....	173,932	35,981,116	174,959	51,110,723	182,775	41,205,245	949	2,947,000	190,111	44,067,003
Mandatory.....	-	1,184,720	-	1,184,720	-	1,236,745	-	-	-	1,361,245
Discretionary.....	173,932	34,796,396	174,959	49,926,003	182,775	39,968,500	949	2,947,000	190,111	42,705,758

Department of Homeland Security

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i. Summary of FY 2010 Budget Estimates by Appropriation

Department of Homeland Security
Departmental Management and Operations
 Summary of FY 2010 Budget Estimates by Appropriation
 Total Appropriations
 (Dollars in Thousands)

Budget Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 President's Budget		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Office of the Secretary and Executive Management	470	\$99,062	598	\$123,456	678	\$160,760	80	\$37,304	27	17,297	53	\$20,007
Net, Enacted Appropriations and Budget Estimates	470	\$99,062	598	\$123,456	678	\$160,760	80	\$37,304	27	\$17,297	53	\$20,007

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

Budget Activity	2008 Actual						2009 Enacted						2010 President's Budget					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Executive Leadership and Direction	41	\$8,007	18	\$3,431	59	\$11,438	60	\$10,277	26	\$4,404	85	\$14,681	60	\$12,467	26	\$5,343	85	\$17,810
Immediate Office of the Secretary	6	2,075	2	889	8	2,964	8	2,198	4	942	12	3,140	8	3,543	4	1,518	12	5,061
Immediate Office of the Deputy Secretary	3	890	1	381	4	1,271	4	980	2	420	6	1,400	4	1,267	2	543	6	1,810
Office of the Chief of Staff	10	1,831	4	785	14	2,616	8	1,885	4	808	12	2,693	8	1,817	4	779	12	2,595
Office of the Executive Secretary	23	3,211	10	1,376	33	4,587	39	5,214	17	2,234	55	7,448	39	5,841	17	2,503	55	8,344
Stakeholder Relations	---	\$0	---	\$0	---	\$0	---	\$0	---	\$0	---	\$0	12	\$1,960	5	\$840	17	\$2,800
Office of State and Local Law Enforcement	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---
Private Sector Coordination Office	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---
Office of Intergovernmental Programs	---	---	---	---	---	---	---	---	---	---	---	---	12	1,960	5	840	17	2,800
Office of Policy	121	\$23,281	52	\$9,978	173	\$33,259	127	\$30,284	55	\$12,979	182	\$43,263	146	\$43,095	62	\$18,469	208	\$61,564
Office of Public Affairs	24	5,331	10	2,285	34	7,616	30	4,194	13	1,797	43	5,991	30	4,577	13	1,962	43	6,539
Office of Legislative Affairs	27	3,641	11	1,560	38	5,201	25	3,498	11	1,499	36	4,997	25	4,968	11	2,129	36	7,097
Office of the General Counsel	55	10,077	24	4,319	79	14,395	64	14,080	27	6,034	91	20,114	71	16,820	30	7,208	101	24,028
Office for Civil Rights and Civil Liberties	29	9,942	12	4,261	41	14,203	56	12,192	24	5,225	80	17,417	69	15,473	30	6,631	99	22,104
Citizenship and Immigration Services Ombudsman	13	3,501	5	1,500	18	5,001	21	4,530	9	1,941	30	6,471	25	4,855	11	2,081	36	6,935
Privacy Office	11	3,907	5	1,674	16	5,581	24	4,763	10	2,041	34	6,804	25	5,580	11	2,391	36	7,971
Office of Counternarcotics Enforcement	8	1,658	4	710	12	2,368	12	2,603	5	1,115	17	3,718	12	2,738	5	1,174	17	3,912
Total Direct Appropriations and Budget Estimates	329	\$69,343	141	\$29,719	470	\$99,062	419	\$86,419	179	\$37,037	598	\$123,456	475	\$112,532	203	\$48,228	678	\$160,760

Department of Homeland Security
Departmental Management and Operations

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

Budget Activity	Last Year of Authorization	Authorized Level	in Last Year of Authorization	FY 2010 President's Budget
	Fiscal Year	Amount	Amount	Amount
		N/A	N/A	N/A
Salaries and Expenses		N/A	N/A	
- Executive Leadership and Direction	N/A	N/A	N/A	17,810
- Stakehold Relations	N/A	N/A	N/A	2,800
- Office of Policy	N/A	N/A	N/A	61,564
- Office of Public Affairs	N/A	N/A	N/A	6,539
- Office of Legislative Affairs	N/A	N/A	N/A	7,097
- Office of General Counsel	N/A	N/A	N/A	24,028
- Office of Civil Rights and Civil Liberties	N/A	N/A	N/A	22,104
-Citizenship and Immigration Services Ombudsman	N/A	N/A	N/A	6,935
- Privacy Office	N/A	N/A	N/A	7,971
- Counternarcotics Enforcement	N/A	N/A	N/A	3,912
Total Direct Authorization/Appropriation		N/A	N/A	\$160,760

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BUDGET REQUEST AND SUPPORTING INFORMATION

DEPARTMENTAL MANAGEMENT AND OPERATIONS OFFICE OF THE SECRETARY AND EXECUTIVE MANAGEMENT

I. Appropriation Overview

A. Mission Statement for Appropriation Name:

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

B. Budget Activities:

OSEM is a separate appropriation within Departmental Management and Operations that provides resources for ten separate Programs, Projects and Activities (PPAs) including: Executive Leadership and Direction, Stakeholder Relations, Office of Policy, Office of Public Affairs, Office of Legislative Affairs, Office of the General Counsel, Office for Civil Rights and Civil Liberties, Office of the Citizenship and Immigration Ombudsman, Privacy Officer, and the Office of Counternarcotics Enforcement. Below are brief descriptive summaries of the ten PPAs.

Executive Leadership and Direction: Executive Leadership and Direction consolidates the Immediate Office of the Secretary, the Immediate Office of the Deputy Secretary, the Office of the Chief of Staff, and the Office of the Executive Secretary into a single PPA. DHS proposes to consolidate these four PPAs because they jointly provide executive direction and directly support the Secretary.

Stakeholder Relations: Stakeholder Relations consolidates the Office for State and Local Law Enforcement, the Private Sector Coordination Office, and the Office of Intergovernmental Programs. These offices have programs that share a common goal: to communicate and coordinate with organizations external to DHS and the Federal government.

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

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

Office of Legislative Affairs: The Office of Legislative Affairs serves as the Secretary's principal liaison with Capital Hill and other governmental entities by fostering relationships with Members of Congress and staff to precipitate legislative support for the Departmental programs, policies and initiatives that promote a more secure nation.

Office of the General Counsel: The General Counsel is responsible for ensuring implementation of the Department's statutory responsibilities and policies as set forth by the Administration, the Secretary, and other senior officials within the Department. The General Counsel is the Department's chief legal officer and principal legal advisor to the Secretary of Homeland Security and, as such, has final authority and responsibility for legal policy determinations within the Department and its components. The General Counsel, and the attorneys engaged in the practice of law on behalf of DHS who report to the General Counsel from throughout the Department, are responsible for ensuring that legal compliance is achieved in every aspect of the Department's work. The office provides legal counsel for all Departmental offices, (other than those specifically excluded by regulation or directive), determines the Department's position to provide effective legal services involving claims, protests, litigation, and alternative dispute resolution, and represents the Department in all legal forums.

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

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

Privacy Office: The DHS Privacy Office is the first statutorily mandated Privacy Office within the Federal government. The Privacy Office protects the collection, use, and disclosure of personally identifiable information (PII) and Departmental information. It ensures that appropriate access to information is consistent with the vision, strategic mission, and core values of the Department, and implements the policies of the Department to defend and protect individual rights, liberties, and information interests of our citizens. The Privacy Office has oversight of all privacy and disclosure

policy matters, including compliance with the Privacy Act of 1974, the Freedom of Information Act, and the completion of privacy impact statements on all new programs and systems, as required by the E-Government Act of 2002 and Section 222 of the Homeland Security Act.

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

C. Budget Request Summary:

The Office of the Secretary and Executive Management requests 709 positions, 678 FTE, and \$160,760,000 for the FY 2010 request. This represents an increase of 84 positions, 80 FTE, and \$37,304,000 over the FY 2009 Enacted Budget of 625 positions, 598 FTE, and \$123,456,000.

Of the requested increase, 31 positions, 53 FTE, and \$20,007,000 are requested for adjustments to the base and 53 positions, 27 FTE, and \$17,297,000 are requested for program changes.

Base adjustments include:

- Transfer of funds from various components for the Secretary's Travel (\$395,000; 0 FTE);
- Adjustment to Base of funds for the Deputy Secretary's Travel (\$370,000; 0 FTE)
- Transfer of the Office of Intergovernmental Programs from FEMA (\$2,000,000; 17 FTE);
- Annualization of prior year part year funding (\$5,453,000; 26 FTE);
- FY 2010 pay raise and annualization of 2009 pay raise (\$1,922,000; 0 FTE);
- Non-pay inflation, including GSA rent and payments to the Working Capital Fund (\$7,250,000; 0 FTE); and
- One-time adjustment to fully fund base FTE (\$2,617,000; 0 FTE).

Within the base adjustments, this appropriation request seeks to realign and consolidate four PPAs into a single PPA, entitled: Executive Leadership and Direction. Executive Leadership and Direction consolidates the Immediate Office of the Secretary, the Immediate Office of the Deputy Secretary, the Office of the Chief of Staff, and the Office of the Executive Secretary. This PPA provides executive direction to the Department and directly supports the Secretary.

Also, this appropriation request seeks to establish a new PPA for Stakeholder Relations. Stakeholder Relations consists of the Office for State and Local Law Enforcement, the Private Sector Coordination Office, and the Office of Intergovernmental Programs. The Federal Emergency Management Agency

will transfer 17 positions, 17 FTE, and \$2,000,000 for the Office of Intergovernmental Programs (IGP) to the Stakeholder Relations.

Requested program change increases in FY 2010 include:

- Office of Policy (\$15,000,000; 25 positions; 13 FTE); and
- Office for Civil Rights and Civil Liberties (\$2,297,000; 28 positions; 14 FTE).

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

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

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Executive Leadership and Direction	59	\$11,438	85	\$14,681	85	\$17,810	---	\$3,129	---	\$0	---	\$3,129
Immediate Office of the Secretary	8	2,964	12	3,140	12	5,061	---	1,921	---	---	---	1,921
Immediate Office of the Deputy Secretary	4	1,271	6	1,400	6	1,810	---	410	---	---	---	410
Office of the Chief of Staff	14	2,616	12	2,693	12	2,595	---	(98)	---	---	---	(98)
Office of the Executive Secretary	33	4,587	55	7,448	55	8,344	---	896	---	---	---	896
Stakeholder Relations	---	\$0	---	\$0	17	\$2,800	17	\$2,800	---	\$0	17	\$2,800
Office of State and Local Law Enforcement	---	---	---	---	---	---	---	---	---	---	---	---
Private Sector Coordination Office	---	---	---	---	---	---	---	---	---	---	---	---
Office of Intergovernmental Programs	---	---	---	---	17	2,800	17	2,800	---	---	17	2,800
Office of Policy	173	\$33,259	182	\$43,263	208	\$61,564	26	\$18,301	13	\$15,000	13	\$3,301
Office of Public Affairs	34	7,616	43	5,991	43	6,539	---	548	---	---	---	548
Office of Legislative Affairs	38	5,201	36	4,997	36	7,097	---	2,100	---	---	---	2,100
Office of the General Counsel	79	14,395	91	20,114	101	24,028	10	3,914	---	---	10	3,914
Office for Civil Rights and Civil Liberties	41	14,203	80	17,417	99	22,104	19	4,687	14	2,297	5	2,390
Citizenship and Immigration Services Ombudsman	18	5,001	30	6,471	36	6,935	6	464	---	---	6	464
Privacy Office	16	5,581	34	6,804	36	7,971	2	1,167	---	---	2	1,167
Office of Counternarcotics Enforcement	12	2,368	17	3,718	17	3,912	---	194	---	---	---	194
Total, Enacted Appropriations and Budget Estimates	470	\$99,062	598	\$123,456	678	\$160,760	80	\$37,304	27	\$17,297	53	\$20,007

III. Current Services Program Description by PPA

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

PPA: EXECUTIVE LEADERSHIP AND DIRECTION

	Perm Pos	FTE	Amount
2008 Actual	72	62	\$11,678
2009 Enacted	71	85	14,681
2010 Adjustments-to-Base	0	0	3,129
2010 Current Services	71	82	17,810
2010 Program Change	0	0	0
2010 Request	71	85	17,810
Total Change 2009-2010	0	0	0

OSEM requests \$17.8 million for this activity. This is an increase of \$3.1 million over FY 2009 Enacted for adjustments-to-base including: pay inflation, fully funding base FTE and transfer of travel funds from other components.

CURRENT SERVICES PROGRAM DESCRIPTION:

Executive Leadership and Direction consolidates the Immediate Office of the Secretary, the Immediate Office of the Deputy Secretary, the Office of the Chief of Staff, and the Office of the Executive Secretary into a single PPA. DHS proposes to consolidate these four PPAs because they jointly provide executive direction and directly support the Secretary.

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

In FY 2008, the Immediate Office of the Secretary continued to provide the strategic vision and leadership to the Department necessary to maintain focus on the Secretary's 5 Goals: Protect our Nation from dangerous people; Protect our Nation from dangerous goods; Protect critical infrastructure; Strengthen our Nation's preparedness and emergency response capabilities; and Strengthen and unify DHS operations and management. In FY 2009, the Immediate Office of the Secretary lead the Department's first transition to a new Presidential administration.

Immediate Office of the Deputy Secretary: The Immediate Office of the Deputy Secretary supports the Secretary by providing leadership to the Department. This office focuses on internal management and direction to ensure efficient and effective operation of the Department. The Deputy Secretary's

role is to provide internal oversight to all Departmental operations, which allows the Secretary to focus on external matters concerning DHS.

Office of the Chief of Staff: The Chief of Staff oversees DHS activities, assists the Deputy in managing DHS operations, and supports the Secretary in achieving the Department’s goals. In FY 2008, the Office of the Chief of Staff was integral to assisting the Secretary in directing the Department’s resources toward accomplishing the Secretary’s 5 Goals.

Office of the Executive Secretary: The Office of the Executive Secretary provides direct support to the Secretary, Deputy Secretary, and Chief of Staff, including:

- Secretary’s and Deputy Secretary’s correspondence and decision documents;
- Department’s official relationship with the White House and interagency;
- Secretary’s and Deputy Secretary’s classified and unclassified briefing books;
- Administrative and budget support to all offices within Executive Leadership and Direction;
- Manages the Secretary’s scheduling and advance support;
- Provides communications support while the Secretary and Deputy Secretary are on travel;
- Authorization of Questions for the Record; and
- DHS Lexicon project.

Significant accomplishments in FY 2008 include:

- Assumed responsibility for the Secretary’s morning operations and intelligence brief;
- Began providing full service budget, administrative, and human capital support to the Office of the Secretary and the Office of the Chief of Staff;
- Made major improvements in the quality of support provided to the Secretary’s communication team; and
- Provided significant cross-training of career staff in preparation for the 2009 change in Administration.

FY 2009 planned accomplishments include:

- Lead the transition to the new Administration for the Office of the Secretary;
- Assume responsibility for the Department’s reports and testimony clearance; and
- Expand the Department’s Lexicon project.

The FY 2010 plan is to continue to improve business processes for the Department, thus laying a solid foundation for the future.

PPA: STAKEHOLDER RELATIONS

	Perm Pos	FTE	Amount
2008 Actual	0	0	\$0
2009 Enacted	0	0	0
2010 Adjustments-to-Base	17	17	2,800
2010 Current Services	17	17	2,800
2010 Program Change	0	0	0
2010 Request	17	17	2,800
Total Change 2009-2010	17	17	2,800

OSEM requests \$2.8 million for this activity. As this is a new PPA, this is an increase of \$2.8 million over FY 2009 Enacted. \$2.0 million is transferred from existing programs within OSEM and FEMA-OMA appropriations. The remaining \$0.8 million increase is to fund ongoing maintenance operations of critical IT infrastructure capabilities in the DHS Working Capital Fund.

CURRENT SERVICES PROGRAM DESCRIPTION:

The programs within Stakeholder Relations share a common goal: to communicate and coordinate with organizations external to DHS and the Federal government.

Office for State and Local Law Enforcement (SLLE): Section 2006 of the 9/11 Act established the Assistant Secretary for SLLE and set forth his duties and responsibilities, including: 1) to lead the coordination of Department-wide policies relating to the role of State and local law enforcement, and 2) to serve as a liaison between State, local, and tribal law enforcement agencies and the Department. In accordance with this mission, SLLE provides a central point of contact within DHS for communication and coordination of law enforcement policies and issues, especially as they relate to grant programs and terrorism prevention efforts. Prior to the 9/11 Act, law enforcement organizations feared their concerns would take a back seat to emergency responders. SLLE is able to address these concerns by conducting outreach, both within the Department and with major law enforcement organizations, sheriffs, police departments, and other law enforcement organizations. SLLE ensures that their needs and priorities are met, and that they are being used effectively as a partner in preventing, preparing for, protecting against, and responding to acts of terrorism, natural disasters, and other man-made disasters within the United States.

Significant accomplishments in FY 2008 include:

- Established the SLLE office after almost one-third of the year was complete;
- Served as a liaison between law enforcement agencies across the Nation and DHS; and,
- Completed the Law Enforcement Deployment Team (LEDT) report.

Planned accomplishments in FY 2009 and FY 2010 include:

- Continue outreach to all major national law enforcement entities, as well as many smaller organizations.

Private Sector Coordination Office (PSO): Charged with providing America's private sector with a direct line of communication to the Department, PSO works directly with individual businesses and through trade associations and other non-governmental organizations to foster dialogue between the private sector and DHS.

PSO functions include:

- Advising the Secretary on the impact of DHS policies, regulations, processes, and actions on the private sector;
- Creating and fostering strategic communications with the private sector to enhance the primary mission of the Department: to protect the American homeland;
- Creating and managing private sector advisory councils composed of representatives of industries and associations designated by the Secretary to:
 - (a) Advise the Secretary on private sector products, applications, and solutions as they relate to homeland security challenges; and
 - (b) Advise the Secretary on homeland security policies, regulations, processes and actions that affect participating industries and associations;

- Working with Federal laboratories, federally funded research and development centers, other federally funded organizations, academia, and the private sector to develop innovative approaches to address homeland security challenges to produce and deploy the best available technologies for homeland security missions;
- Promoting public-private partnerships to provide collaboration and mutual support to address homeland security challenges;
- Assisting in the development and promotion of private sector best practices to secure critical infrastructure;
- Coordinating industry efforts regarding Department functions to identify private sector resources that could be effective in supplementing government efforts to prevent or respond to a terrorist attack; and,
- Consulting with various DHS elements and the Department of Commerce on matters of concern to the private sector, including travel and tourism industries.

Significant accomplishments in FY 2008 include:

- Continued private sector outreach and coordination;
- Participation in Model Ports creation and rollout;
- Creation and completion of the Loaned Executive Management Directive; and,
- Hurricane preparation and response private sector coordination.

FY 2009 planned accomplishments include:

- Continue private sector outreach and coordination; and,
- Enhance and streamline private sector disaster preparation and response coordination.

For FY 2010, the goal is to surpass the successes of FY 2008 and FY 2009 and increase the outreach of the office further, consistent with an increase in demand for services.

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

The stakeholder community consists of over 500,000 non-Federal elected and appointed officials within the United States, including governors, Homeland Security Advisors, mayors, county executives, State legislators, leadership of the 562 Federally recognized Indian tribes, law enforcement officials, emergency managers, and the national associations that represent these officials.

IGP manages communications and coordinates activities across the spectrum of issues, initiatives, and programs confronting all 22 agencies and components of the Department. No other DHS entity is charged with this Department-wide function. It also includes coordination with counterpart Intergovernmental Affairs Offices within other Executive Branch agencies and the White House, to provide for coordinated interaction with non-Federal government officials.

FY 2008 Accomplishments

- Supported the coalition among Border States on the Western Hemisphere Travel Initiative (WHTI). IGP will continue discussions with Governors and leadership of Border States as well as tribal leaders on WHTI and other border issues.
- Communicated the Department guidance on the Border Fence and Real ID requirements to state, local, territorial, and tribal officials.

- Advised the Department on strategies, processes, procedures and other developments at the State, local, tribal and territorial levels.
- Advocated for the policy positions taken by State, local, tribal, and territorial officials and the resources needed to carry out Departmental policy decisions.
- Coordinated timely, consistent, and accurate Departmental messages and information to our State, local, tribal and territorial officials.

FY 2009 Planned Accomplishments

- Support the Border Governor's and other leadership of the Border States as well as tribal officials and communicate the requirements of WHTI and continue discussions on Border Fence issues.
- Create and coordinate a Department tribal policy and enhance the role of tribal governments at DHS.
- Inform the State, local, tribal, and territorial officials on a regular basis of the Department's progress and efforts on transition planning for the incoming Administration.
- Communicate the Department guidance on priority efforts such as Real ID requirements and Fusion Centers to state, local, territorial, and tribal officials.
- Advocate for the policy positions taken by State, local, tribal, and territorial officials and the resources needed to carry out Departmental policy decisions.
- Coordinate timely, consistent and accurate Departmental guidance, information and policies to our State, local, tribal and territorial officials.

FY 2010 Planned Accomplishments

- Communicate the new Administration's potential changes to the Department and priorities to state, local, territorial, and tribal officials.
- Advise the Department on strategies, processes, procedures and other developments at the State, local, tribal and territorial levels. This includes preparation of a newly elected State and local officials on the roles and functions of the Department.
- Advocate for the policy positions taken by State, local, tribal, and territorial officials and the resources needed to carry out Departmental policy decisions.
- Coordinate timely, consistent and accurate Departmental guidance, information and policies to our State, local, tribal and territorial officials.

PPA: OFFICE OF POLICY

	Perm Pos	FTE	Amount
2008 Actual	174	174	\$34,380
2009 Enacted	194	182	43,263
2010 Adjustments-to-Base	8	13	3,301
2010 Current Services	202	195	46,564
2010 Program Change	25	13	15,000
2010 Request	227	208	61,564
Total Change 2009-2010	33	26	18,301

OSEM requests \$61.5 million for this activity. This request is an increase of \$18.3 million over FY 2009 Enacted. The \$3.3 million increase in base is a result of ATB increases for pay and prior part year funding for 9 FTE offset by transfers to Executive Leadership and Direction for the Secretary’s travel and for the transfer of functions and resources for responsibilities associated with the Policy Coordinator Committee. The \$15 million in program increases is to establish the DHS Integrated Requirements Process and Maritime Transportation.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Office of Policy (Policy) was created in FY 2006 and has since been responsible for strengthening homeland security by developing and coordinating Department-wide policies, planning, and programs in order to better coordinate/integrate the Department’s prevention, protection, and response and recovery missions. The Office of Policy acts as lead coordinator of Department-wide policies, programs, and planning which will ensure consistency and integration of missions throughout the entire Department. Policy provides a central office to develop and communicate policies across multiple components of the homeland security network and strengthens the Department’s ability to maintain policy and operational readiness needed to protect the homeland. It also provides the foundation and direction for Department-wide strategic planning and budget priorities. The Office of Policy is tasked with bridging multiple headquarters’ components and operating agencies to improve communication among DHS entities, eliminate duplication of effort, and translate policies into timely action. The Office of Policy creates a single point of contact for internal and external stakeholders that allow for streamlined policy management for the Department.

	Perm Pos	FTE	Amount
2008 Actual	43	34	\$7,694
2009 Enacted	43	43	5,991
2010 Adjustments-to-Base	0	0	548
2010 Current Services	43	43	6,539
2010 Program Change	0	0	0
2010 Request	43	43	6,539
Total Change 2009-2010	0	0	548

OSEM requests \$6.5 million for this activity. The \$0.54 million increase to the base is a net result of ATB increases for pay inflation, offset by a transfer to Executive Leadership and Direction for the Secretary’s travel and ongoing maintenance operations of critical IT infrastructure capabilities in the DHS Working Capital Fund.

CURRENT SERVICES PROGRAM DESCRIPTION:

The DHS Office of Public Affairs is comprised of 11 major functional areas. They are the Ready Campaign, media relations, incident communications, intelligence and operations communications, strategic communications, employee communications, public liaison, finance and administration, planning and technical operations, web content, and multimedia liaison.

Significant accomplishments in FY 2008 include:

Incident Communications

- Successfully coordinated incident communications with the U.S. Secret Service for the Democratic and Republican national conventions, as well as incident communications plans for the presidential inauguration.
- Finalized and deployed the new Emergency Support Function (ESF) 15 Standard Operating Procedure after thorough interagency review and comment.
- Continued the successful News and Terrorism Workshop program, which provides training to public and information officials in high-risk cities around the country.
- Worked with the White House Homeland Security Council and Department of Energy to develop “public-friendly” non-technical plume maps that would form the basis for evacuation and public guidance during nuclear, radiological and HAZMAT incidents.
- Successfully completed several regional and national level exercises, including Cyber Storm II in March 2008, and a Continuity of Operations (COOP) National Level Exercise in May 2008.
- Continued to train senior career DHS employees on incident communications and the function of the National Joint Information Center (NJIC) at DHS Headquarters in preparation for the 2009 Presidential transition.

Strategic Communications

- Launched a year-long campaign to internally and externally commemorate the Department’s fifth anniversary, starting in March 2008.
- Successfully coordinated inter-departmental rollouts for several DHS policy initiatives. These involve stakeholder outreach, Congressional notifications, subject matter expert briefings, and planning and coordinating public events.

- Developed and maintained relationships with think tank policy experts, key third party decision makers, and stakeholders involved in DHS initiatives. This includes daily/weekly outreach and information dissemination, and coordination with international partners.

Web Communications

- Continued the successful operation of the DHS Leadership Journal, which was launched in September 2007 and was the second public blog maintained by a Cabinet level department.

FY 2009 planned accomplishments include:

- Continue day-to-day operations of press operations and response to national and local media inquiries, strategic communications, public liaison and outreach, writing speeches for department senior officials, internal communications, internet and website operation.
- Conduct planning, preparation, and consistent coordination for all incident communications activities and Emergency Support Functions – 15 responsibilities.
- Support the new administration and their goals.

FY 2010 plan is to continue to run programs that support the new administration policy on public awareness and outreach, preparedness, and internal and external communications.

PPA: OFFICE OF LEGISLATIVE AFFAIRS

	Perm Pos	FTE	Amount
2008 Actual	48	37	\$5,363
2009 Enacted	48	36	4,997
2010 Adjustments-to-Base	0	0	2,100
2010 Current Services	48	36	7,097
2010 Program Change	0	0	0
2010 Request	48	36	7,097
Total Change 2009-2010	0	0	2,100

OSEM requests \$7.1 million for this activity. This request is an increase of \$2.1 million over FY 2009 Enacted. The \$2.1 million ATB increase is the net result of ATB increases for pay, ongoing maintenance operations of critical IT infrastructure in the Working Capital fund and offset by transfers to Executive Leadership and Direction for the Secretary’s travel and transfer of functions and resources for responsibilities associated with the Congressional Actions Section.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Office of Legislative Affairs (OLA) serves as the Secretary’s principal liaison with Capitol Hill and other government entities. The Office fosters working relationships with Members of Congress and staff to engender legislative support for the Department of Homeland Security programs, policies and initiatives that will facilitate the unified national effort to secure America.

Significant accomplishments in FY 2008 include:

- Attended, successfully coordinated, and developed material for 131 hearings; 32 hearings included multiple DHS witnesses.
- Assisted in preparing witnesses for oral testimony at 173 hearings.

- Attended, coordinated, and managed a total of 1,864 legislative briefings.

FY 2009 planned accomplishments are:

- Increase the number of hearings that we attend, coordinate and develop material for.
- Increase our number of witnesses we assist in preparation of oral testimony.
- Increase the total number of legislative briefings we attend, coordinate and manage in advance of a hearing

For FY 2010 plan is to continue to increase the number of hearing and briefings presented to the Congress.

PPA: OFFICE OF THE GENERAL COUNSEL

	Perm Pos	FTE	Amount
2008 Actual	101	80	\$14,153
2009 Enacted	101	91	20,114
2010 Adjustments-to-Base	0	10	3,914
2010 Current Services	101	101	24,028
2010 Program Change	0	0	0
2010 Request	101	101	24,028
Total Change 2009-2010	0	10	3,914

OSEM requests \$24 million for this activity. This request is an increase of \$3.9 million over FY 2009 Enacted. The \$3.9 million ATB increase is the net result of ATB increases for pay and prior year part year funding for 10 FTE offset by transfers to Executive Leadership and Direction for the Secretary’s travel and transfer of functions and resources for responsibilities associated with the Congressional Actions Section.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Office of the General Counsel is responsible for all legal activities within the Department to ensure full implementation of the Department’s statutory responsibilities and all policies set forth by the Secretary and all officials of the Department. The Office of the General Counsel provides legal counsel for all DHS offices (except those specifically excluded by regulation or directive), determines the Department’s position in order to provide effective legal services dealing with claims, protests, litigation, and alternative dispute resolution, and represents the Department in all legal forums.

Significant accomplishments in FY 2008 include:

- Continued to provide legal advice and support to a burgeoning client base, including exponential growth in Department elements devoted to cyber security and chemical facility security. Directed significant litigation matters, including coordination with Department of Justice, providing strategic guidance for component counsel offices, and coordinating departmental litigation management.
- Directed the Department's rulemaking activities, coordinated review of proposed regulations, and ensured that all regulatory actions presented to the Secretary complied with constitutional and statutory restrictions and mandates. Produced a variety of significant regulations and significant guidance materials across a range of subjects.

- Supported the Secretary in efforts to implement border security initiatives, particularly the fence construction effort, which involved a number of complex legal issues. Provided advice on emergency/incident management activities, including international information exchange, international agreements and arrangements, foreign investment and national security reviews.
- Increased the size and scope of honors attorney program in an effort to make it the cornerstone for entry-level attorney hiring by the Department. This program offers highly qualified third-year law students; graduate law students, and judicial law clerks the opportunity to start their legal career by addressing some of the most critical and controversial issues facing our nation today.

FY 2009 planned accomplishments include:

- Increase dedication of resources to enable more effective management of the Department in the areas of acquisition and procurement activities; labor and employment matters; appropriations and fiscal law issues; general tort and related claims; and environmental issues.
- Continue efforts to further refine and strengthen the Department's rulemaking activities, ensuring that all regulatory actions presented to the Secretary comply with constitutional and statutory restrictions and mandates.
- Continue to expand and improve the honors attorney entry level hiring program and the summer law intern program.
- Develop additional expertise in U.S. immigration laws, including deportation and removal, arrest and detention, national security, and immigration and federal court litigation.
- Expand administrative support and managerial services and professional assistance to attorneys in an effort to more effectively coordinate the administrative and management functions of the Office of the General Counsel and its component legal offices.

For FY 2010, the goal is to obtain and maintain optimal staffing levels for all legal divisions, anticipating modest growth consistent with an increase in client demand for services and implement an electronic case and document management system.

PPA: OFFICE FOR CIVIL RIGHTS AND CIVIL LIBERTIES

	Perm Pos	FTE	Amount
2008 Actual	75	47	\$14,597
2009 Enacted	85	80	17,417
2010 Adjustments-to-Base	0	5	2,390
2010 Current Services	85	85	19,807
2010 Program Change	28	14	2,297
2010 Request	113	99	22,104
Total Change 2009-2010	28	19	4,687

OSEM requests \$22.1 million for this activity. This is an increase of \$4.7 million over FY 2009 Enacted. The \$2.3 million ATB increase is for pay, prior year part year funding of 5 FTE, and fully funding base FTE. The \$2.3 million program change increases is for hiring additional EEO Specialists, Program Analysts, Training Advisors, Review and Compliance Analysts and Investigators, and Program Management Analysts to fulfill critical staffing needs.

CURRENT SERVICES PROGRAM DESCRIPTION:

The mission of the Office for Civil Rights and Civil Liberties (CRCL) is to review and assess information regarding abuses of civil rights, civil liberties, and profiling on the basis of race, ethnicity, or religion by employees and officials of the Department. CRCL makes available to the public information on the responsibilities and functions of, and how to contact the Officer for Civil Rights and Civil Liberties. CRCL assists the Secretary, directorates, and offices of the Department to develop, implement, and periodically review Department policies and procedures to ensure that protection of civil rights and civil liberties, and that all are appropriately incorporated into Department programs and activities. CRCL oversees compliance with constitutional, statutory, regulatory, policy, and other requirements relating to the civil rights and civil liberties of individuals affected by the programs and activities of the Department. CRCL coordinates with the Department Privacy Officer and ensure that programs, policies, and procedures involving civil rights, civil liberties, and privacy considerations are addressed in an integrated and comprehensive manner. CRCL ensures that Congress receives appropriate reports regarding such programs, policies, and procedures. CRCL investigate complaints and information indicating possible abuses of civil rights or civil liberties. The Office for Civil Rights and Civil Liberties is also responsible for overseeing the Department's equal employment opportunity programs, and for bringing all civil rights-related issues under the jurisdiction of one Headquarters office.

Significant accomplishments in FY 2008 include:

- Developed Civil Liberties Impact Assessments: In accordance with the Implementing Recommendations of the 9/11 Commission Act of 2007, CRCL developed a process for conducting the first government civil liberties impact assessments for certain Departmental programs. These Impact Assessments help to ensure civil liberties are considered as the Department develops or implements laws, regulations, policies, procedures, or guidelines related to efforts to protect the nation against terrorism.
- CRCL resolved civil rights and civil liberties complaints filed by members of the public: CRCL's Review and Compliance Unit receives and investigates, or assigns to components for investigation, complaints alleging abuses of civil rights, civil liberties or racial, ethnic or religious profiling by employees and officials of the Department. The Unit received 157 new complaints in FY 2008, which raised issues in the areas of abuse of authority/color of law, conditions of detention, discrimination (race, disability, national origin), due process/administrative processing, profiling (race, religion), treatment, unaccompanied minors and watch lists. The Unit investigates allegations of medical mistreatment of detainees in DHS custody. Through the work of the Unit, the Department has made revisions to programs and policies in the areas of interpreter services, conditions of detention for ICE detainees and unaccompanied minors, searches of persons who are denied entry into the United States treatment, redress for travelers affected by watch lists, and screening procedures and their effect on the religious rights of the traveling public.
- Effectively processed Equal Employment Opportunity (EEO) Complaints: The EEO Program continued to implement process improvements for complaint adjudication including issuance of Department of Homeland Security final actions on complaints of discrimination. In FY 2008, CRCL received 920 requests for final action and issued 766 decisions.

FY 2009 planned accomplishments include:

- Continue and increase Civil Liberties Impact Assessments (CLIA): In FY 2009, CRCL will hire five full-time staff to conduct proactive CLIA's, replacing staff pulled from other projects in FY 2008. CRCL will mature the cooperative process used to conduct statutorily mandated CLIA's and develop relationships with DHS components to incorporate CLIA's into the regular

development process of agency programs and initiatives. CRCL will also establish a process for providing public access to the CLIAs without jeopardizing the cooperative relationship that CRCL must have with components and DHS leadership.

- Expansion of Engagement with Communities: In FY 2009, CRCL will hire two new full-time staff to expand the ongoing engagement with key ethnic and religious communities who express an interest in DHS policies and programs. With these new staff, CRCL will add four to six new cities and regions to its roster of regular roundtable discussions with American Arab, Muslim, Sikh, and South Asian community leaders currently held in Detroit, Los Angeles, Chicago, Houston, Washington and Boston. CRCL will also increase its dialogue with young people from these communities by holding three youth roundtables.
- Automation of Diversity Management Data and Reports: In FY 2009, CRCL will rollout a new database application providing the capability to mine, manipulate and report workforce demographic data relating to recruitment, development, advancement, and retention. This information technology solution will enable CRCL and component EEO offices to immediately access updated workforce diversity information to ensure equal employment opportunity.

In FY 2010, CRCL plans to:

- Redress Procedures and Governance: CRCL expects to serve a role in determining policies and procedures for new areas of redress related to developing DHS programs like E -Verify, REAL-ID, and any new or modified travel screening initiatives. Working with other components and Department leadership, CRCL will establish a governance structure and working groups to create procedures for centralized redress for new DHS initiatives.
- Expansion of the Civil Liberties Institute: In FY 2010, CRCL will expand its efforts to provide high quality, Department-wide training on issues at the intersection of homeland security and civil rights and civil liberties. In addition to increasing its offerings of training produced by CRCL that are related to Equal Employment Opportunity and the various policy focus areas addressed by the CRCL Programs Division, CRCL will improve the integration of civil rights and civil liberties issues into the standard training offered by other DHS components. The CRCL training is primarily designed for Department personnel in all components, especially those involved in law enforcement, with a secondary audience of external nonprofits, state and local governments and the public at large.
- Functional Integration: In FY 2010, CRCL will deploy rotational Civil Rights and Civil Liberties subject matter experts to liaison between 10 key DHS components and CRCL. These CRCL Liaisons will be a key element for integrating and managing Civil Rights, Civil Liberties and EEO functions throughout DHS. They will help alert CRCL leadership of new programs, policies, procedures and actions taken by components and provide regular feedback and training to components about ways to better observe and protect civil rights and civil liberties. They will also serve on and help manage the Civil Rights, Civil Liberties and EEO Councils created by the Officer as an advisory board responsible for cooperatively reviewing, evaluating, and recommending methods of implementation within specific civil rights, civil liberties and EEO functions.

	Perm Pos	FTE	Amount
2008 Actual	30	17	\$5,100
2009 Enacted	30	30	6,471
2010 Adjustments-to-Base	6	6	464
2010 Current Services	36	36	6,935
2010 Program Change	0	0	0
2010 Request	36	36	6,935
Total Change 2009-2010	6	6	464

OSEM requests \$6.9 million for this activity. This is an increase of \$0.5 million over FY 2009 Enacted. The \$0.5 million ATB increase is for pay and ongoing maintenance operations of critical IT infrastructure in the Working Capital fund.

CURRENT SERVICES PROGRAM DESCRIPTION:

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

Significant accomplishments in FY 2008 include:

- **Virtual Ombudsman:** Established the Virtual Ombudsman System (VOS), which supports the Ombudsman’s statutory mandate to assist individuals and employers who experience problems with USCIS and propose changes to mitigate such problems. The VOS will enable CISOMB to fulfill its statutory mandate by: (1) Streamlining and standardizing the process by which individuals and employers contact the Ombudsman by deploying an Internet-based portal that links directly to data fields that currently are captured in a workflow template managed by CISOMB staff; (2) Enabling individuals and employers to provide consent for information release through an electronic signature, instead of an original ink signature that requires the submission and retention of paper correspondence; (3) Centralizing management of correspondence in all forms (paper, facsimile, email, etc.) in a single electronic management tool; (4) Providing functionality and control to CISOMB for data analysis as well as the creation and generation of various data reports requested by the Ombudsman to fulfill mission requirements; and, (5) Allowing for the collection and analysis of information obtained from meetings with stakeholders and USCIS. This project was developed as a three (3) phase process.
- **Ombudsman Outreach:** The Ombudsman Outreach program increased in scope requiring additional visits to Community Based Organizations, Non Government Organizations, Federal agencies, and state and local governments to share program successes and answer questions about the implementation of the Virtual Ombudsman. This resulted in the staff developing a better understanding of how operations are conducted in the “field” to process the large number of applicants USCIS has to manage. Many of these “Outreach” visits produced recommendations used for the development of the FY 2008 Annual report.
- **Continued Study of USCIS Services and Immigration Reform (CIR):** The Ombudsman commissioned a study in FY 2008 with the Homeland Security Institute to analyze USCIS’ ability to effectively provide services and benefits should immigration reform legislation be enacted by studying the process for enrolling and issuing evidence of status to the population of illegal immigrants in the United States.

FY 2009 planned accomplishments include:

- Virtual Ombudsman: The implementation Phase 2 of the Virtual Ombudsman System (VOS) supporting the Ombudsman's statutory mandate to assist individuals and employers who experience problems with USCIS and propose changes to mitigate such problems will be taken.
- Ombudsman Outreach: The Ombudsman Outreach program will increase in scope as a result of the Virtual Ombudsman System deployment and the need to address Community Based Organizations (CBO), Non Government Organizations (NGO), and Federal, state, local and governments. An increase in inquiries is anticipated, which will require additional visits to CBOs, NGOs, Federal agencies, and state and local governments to share program successes and answer questions about the Virtual Ombudsman System, as it matures.
- Staffing: The Ombudsman will increase staff from 30 FTE to 34 FTE to counter the expected workload increase generated by the deployment of the Virtual Ombudsman System and the possibility of CIR being passed in FY 2009. This increase is planned for the 4th quarter of FY 2009 to manage the expected increase in case inquiries generated by VOS.
- Annual Report: A refined and more focused Annual Report will be developed using data and analysis from the Virtual Ombudsman System and the expansion of the Outreach Program to further analyze USCIS business practices and procedures, gather data and develop verifiable recommendations for USCIS, and share "best practices" discovered during the CISOMB outreach visits with Federal and state governments. The Ombudsman will review the serious and pervasive problems identified in the Annual Report to Congress, to make recommendations and propose administrative changes to mitigate systemic problems to: (1) ensure national security and the integrity of the legal immigration system; (2) improve efficiencies and customer service in administering citizenship and immigration services, and (3) assist individuals and employers with the problems they have in dealing with USCIS.
- Continued Study of USCIS Services and Immigration Reform (CIR): The Ombudsman will continue to analyze USCIS' ability to effectively provide services and benefits should immigration reform legislation be enacted in FY 2009 by studying the process for enrolling and issuing evidence of status to the population of illegal immigrants in the United States. The CISOMB plans to reach out to as many entities that resources will allow to market its Virtual Ombudsman to assist entities in working with the legislation enacted in CIR.

In FY 2010, Citizenship and Immigration Services Ombudsman plan includes:

- Virtual Ombudsman System: Continued implementation of Phase three of the Virtual Ombudsman System (VOS) supporting the Ombudsman's statutory mandate to assist individuals and employers who experience problems with USCIS, and propose changes to mitigate such problems will be taken.
- Ombudsman Outreach: The Ombudsman Outreach program will increase in scope as a result of the Virtual Ombudsman System deployment and anticipated immigration reform. An increase in inquiries is expected that will require additional visits to Community Based Organizations, Non Government Organizations, Federal agencies, and state and local governments to share program successes and answer questions about the Virtual Ombudsman System as it matures and to address problems with the implementation of CIR by USCIS.
- Staffing: The Ombudsman will increase staff from 34 FTE to 36 FTE to counter the expected workload increase generated by the deployment of the Virtual Ombudsman System. This increase is planned for the 3rd quarter of FY 2010 to manage the expected increase in case inquiries generated by the system and workload requirements generated by the CIR, as it is progressively implemented.

PPA: PRIVACY OFFICE

	Perm Pos	FTE	Amount
2008 Actual	32	20	\$5,711
2009 Enacted	36	34	6,804
2010 Adjustments-to-Base	0	2	1,167
2010 Current Services	36	36	7,971
2010 Program Change	0	0	0
2010 Request	36	36	7,971
Total Change 2009-2010	0	2	1,167

OSEM requests \$7.9 million for this activity. This is an increase of \$1.2 million over FY 2009 Enacted. The \$1.2 million ATB increase is for pay and prior year part year funding for 2 FTE and ongoing maintenance operations of critical IT infrastructure in the Working Capital fund.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Privacy Office is responsible for protecting the Department’s collection, use, and disclosure of personally identifiable information (PII). Our mission – to support the Department’s mission while at all times maintaining respect for the individual – is achieved by oversight, compliance review, education and training, and enforcement of the Privacy Act, the Privacy Impact Assessment requirements under the Homeland Security Act and the E- Government Act, and the Freedom of Information Act, as well as by demonstrating and encouraging awareness of and commitment to sound privacy policy and practice as currently accepted in the United States and internationally. Our mission of ensuring appropriate access to information is consistent with the vision, strategic mission, and core values of the Department, and to implement the policies of the Department to defend and protect the individual rights, liberties, and information interests of our citizens. The Privacy Office has primary responsibility for privacy and FOIA policy, including:

- Assuring that the use of technologies sustains, and does not erode, privacy protections relating to the use, collection, and disclosure of personal information;
- Assuring that personal information contained in Privacy Act systems of records is handled in full compliance with fair information practices as set out in the Privacy Act of 1974;
- Evaluating legislative and regulatory proposals involving collection, use, and disclosure of personal information by the Federal government;
- Conducting a privacy impact assessment of proposed rules of the Department or that of the Department on the privacy of personal information, including the type of personal information collected and the number of people affected; and
- Preparing a report to Congress on an annual basis on activities of the Department that affect privacy including complaints of privacy violations, implementation of the Privacy Act of 1974, internal controls, and other matters.

Significant accomplishments in FY 2008 include:

- Compliance Documentation:
 - Privacy Threshold Analysis (PTA) – conducted 300 PTAs during FY 2008.
 - Privacy Impact Assessments (PIAs) – conducted 56 PIAs. Significant systems included.
 - System of Record Notices (SORNs) – published 13 SORNs.
- Compliance Guidance:
 - Published SORN Guidance including a consolidated library of acceptable routine uses.

- Privacy Act e(3) Statement Guidance
- Privacy Compliance Workshop – Privacy Office held a workshop on PIAs and SORNs on May 23, 2008.
- Held quarterly PIA training for DHS personnel who will draft privacy compliance documents.
- Public Workshops
 - CCTV: Developing Privacy Best Practices—December 17-18, 2008, Arlington, VA
 - Implementing Privacy Protections in Government Data Mining—July 24-25, 2008, Washington, DC.
- Privacy Policy
 - *Handbook for Safeguarding PII at DHS and Rules for Handling PII at DHS.* (expected to be finalized by end of FY 2008)
 - Use of SSNs—The Privacy Office conducted a review of all systems that collect or use Social Security Numbers (SSN) at DHS as part of its ongoing effort to eliminate unnecessary collection and use of SSNs.
- Reports
 - Annual Report – Required under Section 222 of the Homeland Security Act.
 - Data Mining Letter Report – February 11, 2008. Required under Section 804 of the 9/11 Commission Act, the *Federal Agency Data Mining Reporting Act of 2007*.
 - Section 803 Reports – Section 803 of the 9/11 Commission Act requires the Privacy Office to submit quarterly reports on the activities of the Privacy Office.

FY 2009 planned accomplishments include: FOIA backlog reduction, increased customer service, go-live with online training modules, implement new FOIA/PA regulations and Management Directive, increase consistency on disclosure processing DHS-wide, and greater departmental visibility. Additionally, continue to provide outreach and privacy training to DHS components.

In FY 2010, the Privacy Office activities will continue to carry out duties imposed by the Privacy Office by P.L. 110-53. The Office expects to provide seven annual reports to Congress in addition to the Annual Report to Congress, pursuant to Section 222 of the Homeland Security Act; quarterly reports to Congress and others on the status of privacy activities at the Department; five mandated Privacy Impact Assessments (PIA's); provide training in support of Fusion Centers for Intelligence and Analysis employees and support the efforts of Fusion Centers to provide training to state and local employees; provide privacy training for the Department's Office of the Inspector General staff; execute privacy investigations, as needed; and provide additional support for the Information Sharing Environment.

PPA: OFFICE OF COUNTERNARCOTICS ENFORCEMENT

	Perm Pos	FTE	Amount
2008 Actual	17	12	\$2,680
2009 Enacted	17	17	3,718
2010 Adjustments-to-Base	0	0	194
2010 Current Services	17	17	3,912
2010 Program Change	0	0	0
2010 Request	17	17	3,912
Total Change 2009-2010	0	0	194

OSEM requests \$3.9 million for this activity. This request is an increase of \$0.2 million over FY 2009 Enacted. The \$0.2 million ATB increase is for pay increases and ongoing maintenance operations of critical IT infrastructure in the Working Capital fund.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Office of Counternarcotics Enforcement (CNE) has two statutorily established (Title 6 U.S.C §458) primary missions that support the Nation's drug control program and the statutory mission of the Department of Homeland Security:

- To stop the entry of illegal drugs into the United States; and,
- To track and sever the connections between drug trafficking and terrorism.

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

Significant accomplishments in FY 2008 include:

- Spearheaded an Interagency Drug-Terror Nexus Project: CNE executed its statutory authority to track and sever connections between illegal drug trafficking and terrorism within the Federal Bureau of Investigation's (FBI) Joint Terrorism Task Force (JTTF) construct. CNE spearheaded an interagency assessment of the connections between illegal drug trafficking and terrorism – a project which has focused on how drug proceeds overlap into other criminal areas such as money laundering and bulk cash smuggling.
- Completed a Bulk Cash Smuggling Study: CNE developed a research project that focused on the fundamentals of U.S. currency movement within Mexico. Specifically, the study was designed to improve the Department's counterdrug law enforcement and intelligence components' baseline understanding of bulk currency smuggling related to transnational crime and drug trafficking.
- Initiated a Biennial Update to the National Southwest Border Counternarcotics Strategy and Implementation Plan: CNE and the Department of Justice's Office of the Deputy Attorney General (ODAG) were tasked by the International Drug Control Policy Coordinating Committee to serve as Executive Agents for completing a Congressionally-mandated update to the National Southwest Border Counternarcotics Strategy Implementation Plan. This update is critical, since narcotics smuggling in the Southwest Border region remains a significant security vulnerability that requires increased national-level attention and unity of effort.
- Strengthened Counterdrug Efforts with Mexico: CNE played a prominent role in U.S. efforts to increase bilateral and multilateral cooperation with the Government of Mexico on security issues, including those related to the smuggling of illegal drugs and bulk currency. CNE collaborated with the International Drug Control and the Mexico/Central America Policy Coordinating Committees to support U.S.-Mexico efforts to increase mutual counterdrug cooperation and support.
- Contributed to Southwest Border Violence Operations Plan: CNE contributed to the Secretary's Draft Department Guidance Statement (DGS), which directs the development of a DHS

Southwest Border Violence Operations Plan (OPLAN) that could be executed in the event there is a significant escalation in violence along the Southwest Border that exceeds the capabilities of the Department's assets in that region. CNE is now included in the list of Southwest Border Operations Planning Team (SWB OPT) participants and will be required to provide detailed staff to support the development, coordination and execution of this Plan.

FY 2009 planned accomplishments include:

- Expand Drug-Terror Nexus Collection Networks: CNE will work within the construct of the Law Enforcement Shared Mission Community in pulling together various law enforcement and intelligence entities at the Federal, state, tribal, and local levels. CNE will use the Homeland Security Information Network to solicit participation in improving collection plans, relative to drug-terror links, in an effort to promote a "shared approach" to mitigate this evolving threat.
- Lead DHS Efforts to Support the Merida Initiative: This is the President's proposed multi-year security cooperation program, which will provide Mexico and Central America with over \$1.4 billion in additional resources and training to combat the threats of drug trafficking, transnational crime, and terrorism in the Western Hemisphere.
- Improve the Department's Counternarcotics Operations: The CNE Director, who chairs the DHS Counternarcotics Coordinating Council, will use this venue to 1) consider and address counternarcotics issues affecting DHS; 2) address the adequacy of resources for narcotics interdiction efforts; 3) assist in the development, coordination, and implementation of counternarcotics strategies, policies, and doctrine; 4) assist in counternarcotics resource identification and allocation throughout DHS; and 5) identify and address areas where greater cooperation among DHS components can better achieve our national drug control objectives.
- Sustain DHS Counternarcotics Operations in the Eastern Pacific: In 2009, all DHS resources and personnel must withdraw from the Manta, Ecuador Forward Operating Location (FOL), which has served as a forward staging base for long-range maritime aerial surveillance flights into the Eastern Pacific. CNE will collaborate with the Departments of State and Defense, as well as with DHS components, to minimize the impact on the Department's forward deployed counternarcotics operations of this FOL closure.

FY 2010 goals include maintaining current services and executing the CNE Director's following seven congressionally-mandated responsibilities:

- Coordinate policy and operations within the Department, between the Department and other Federal departments and agencies, and between the Department and State and local agencies with respect to stopping the entry of illegal drugs into the United States,
- Ensure the adequacy of resources within the Department for stopping the entry of illegal drugs into the United States;
- Recommend the appropriate financial and personnel resources necessary to help the Department better fulfill its responsibility to stop the entry of illegal drugs into the United States;
- Within the Joint Terrorism Task Force (JTTF) construct, track and sever connections between illegal drug trafficking and terrorism;
- Be a representative of the Department on all task forces, committees or other entities, whose purpose is to coordinate the counternarcotics enforcement activities of the Department and other Federal, State or local agencies;
- Annual Budget Report to Congress: Submit a review and evaluation of any request by the President for funds for the Department. This report shall 1) identify any request for funds that affects or may affect the counternarcotics activities of the Department; 2) describe with peculiarity how such requested funds would be or could be expended in furtherance of

- counternarcotics activities; and 3) compare such requests with requests for expenditures and amounts appropriated by Congress in the previous fiscal year;
- Annual Activity Report to Congress: Submit an annual review and evaluation of the Department’s counternarcotics activities for previous fiscal year. This report shall 1) describe the Department’s counternarcotics activities and the results of those activities; 2) state whether those activities were sufficient to meet the Department’s responsibility to stop the entry of illegal drugs into the United States; and 4) recommend, where appropriate, changes to those activities to improve the Department’s counternarcotics performance.

III. Current Services Program Description by PPA

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

Transfers to and from Other Accounts \$2,395

Strategic Goal(s) & Objectives: 5.1

**Transfer from Various Components to Executive Leadership and Direction
 for Secretary’s and Deputy Secretary’s Travel\$395**

PPA Breakdown – Secretary’s Travel	FTE	Total (\$000)
Executive Leadership and Direction		
Immediate Office of the Secretary	0	\$395
		\$395

Currently, budgetary components pay a portion of the government aircraft cost for the component personnel who travel with the Secretary. It is not a fixed cost, but is based on the total cost of the flight divided by the number of passengers on a particular flight. Based on the bills from US Coast Guard (USCG), Federal Aviation Administration (FAA), and Military-Air (Mil-Air), components reimburse the Immediate Office of the Secretary via an Inter/Intra-Agency Agreement for its usage of the government aircraft. This process is an administrative burden for all components involved and is time consuming and inefficient.

Transferring funds from components to the Secretary’s office in the FY 2010 budget will allow the Immediate Office of the Secretary to cover all travel expenses on the government aircraft. This will eliminate the need for components to reimburse the Immediate Office of the Secretary for travel with the Secretary on government aircraft. This will be a much more efficient process.

**Transfer from Federal Emergency Management Agency to Stakeholder Relations
 for Office of Intergovernmental Programs\$2,000**

PPA Breakdown – Office of Intergovernmental Programs	FTE	Total (\$000)
Stakeholder Relations		
Office of Intergovernmental Programs	17	\$2,000
	17	\$2,000

The programs within Stakeholder Relations share a common goal: to communicate and coordinate with organizations external to DHS and the Federal government. The mission of Office of Intergovernmental Programs (IGP) is to act both as an advocate for the State, local, tribal and territorial officials within DHS and to operate as the primary liaison between those officials and the Secretary and senior DHS leadership.

IGP manages communications and coordinates activities across the spectrum of issues, initiatives, and programs confronting all 22 agencies and components of the Department. No other DHS entity is charged with this Department-wide function. It also includes coordination with counterpart Intergovernmental Affairs Offices within other Executive Branch agencies and the White House, to provide for coordinated interaction with non-Federal government officials.

Increases **\$17,244**

Strategic Goal(s) & Objectives: 5.1

Annualization of Prior Year Funding.....\$5,453

PPA Breakdown - Annualization of Prior Year Funding	FTE	Total (\$000)
Office of Policy	9	1,643
Office of the General Counsel	10	2,550
Office for Civil Rights and Civil Liberties	5	730
Privacy Office	2	530
	26	5,453

Certain projects and programs for which resources were first provided in FY 2009 were funded for only part of the year. Additional funding and Full-Time Equivalents (FTE) are required to provide full year resources.

Annualization of FY 2009 Pay Raise.....\$666

PPA Breakdown - Annualization of FY 2009 Pay Raise	Total (\$000)
Executive Leadership and Direction	
Immediate Office of the Secretary	27
Immediate Office of the Deputy Secretary	10
Office of the Chief of Staff	14
Office of the Executive Secretary	43
Stakeholder Relation	
Office of State and Local Law Enforcement	0
Private Sector Coordination Office	0

Office of Intergovernmental Programs	0
Office of Policy	184
Office of Public Affairs	43
Office of Legislative Affairs	56
Office of the General Counsel	115
Office for Civil Rights and Civil Liberties	87
Citizenship and Immigration Services Ombudsman	32
Privacy Office	35
Office of Counternarcotics Enforcement	20
	666

Request one quarter funding to annualize the FY 2009 civilian (2.9 percent) pay raise.

FY 2010 Pay Increase\$1,256

PPA Breakdown - FY 2010 Pay Increase	Total (\$000)
Executive Leadership and Direction	
Immediate Office of the Secretary	57
Immediate Office of the Deputy Secretary	14
Office of the Chief of Staff	23
Office of the Executive Secretary	94
Stakeholder Relation	
Office of State and Local Law Enforcement	0
Private Sector Coordination Office	0
Office of Intergovernmental Programs	0
Office of Policy	335
Office of Public Affairs	64
Office of Legislative Affairs	108
Office of the General Counsel	221
Office for Civil Rights and Civil Liberties	181
Citizenship and Immigration Services Ombudsman	50
Privacy Office	76
Office of Counternarcotics Enforcement	33
	1,56

Request funds the FY 2010 civilian (2.0 percent) pay raise.

Working Capital Fund \$1,442

PPA Breakdown – Working Capital Fund	Total (\$000)
Executive Leadership and Direction	
Immediate Office of the Secretary	(101)
Immediate Office of the Deputy Secretary	(99)
Office of the Chief of Staff	31
Office of the Executive Secretary	47
Stakeholder Relation	
Office of State and Local Law Enforcement	286
Private Sector Coordination Office	552
Office of Intergovernmental Programs	800
Office of Policy	(780)
Office of Public Affairs	84
Office of Legislative Affairs	50
Office of the General Counsel	(138)
Office for Civil Rights and Civil Liberties	372
Citizenship and Immigration Services Ombudsman	93
Privacy Office	208
Office of Counternarcotics Enforcement	37
	1,442

OSEM reimburses the Working Capital Fund (WCF), which is a fully reimbursable fund that finances a full range of administrative support services to DHS, for services provided. This centrally managed account provides department-wide functions such as finance, budget and accounting support, information technology, and personnel administration. Centralizing administrative support functions has enabled DHS to achieve economies of scale, reducing costs and increasing operational efficiencies, and has allowed DHS components to focus on and accomplish their goals. WCF allocates costs based on various algorithms, depending on the service provided. This request for additional funds is associated with operating costs in these WCF activities that are increasing more rapidly than the COLA. Request levels are based on estimates provided by the WCF, and determined by actual usage costs (including inflation). The \$1.1 million estimate reflects the \$642,000 increase provided by the WCF plus an estimated \$800,000 increase in WCF costs (based on average WCF costs/FTE) for the transfer in of the Office of Intergovernmental Programs into Stakeholder Relations.

Working Capital Fund Cost Increases \$5,808

PPA Breakdown – Working Capital Fund	Total (\$000)
Executive Leadership and Direction	
Immediate Office of the Secretary	238
Immediate Office of the Deputy Secretary	93
Office of the Chief of Staff	165
Office of the Executive Secretary	496
Stakeholder Relation	
Office of State and Local Law Enforcement	0
Private Sector Coordination Office	0
Office of Intergovernmental Programs	0
Office of Policy	1,308
Office of Public Affairs	590
Office of Legislative Affairs	552
Office of the General Counsel	1,203
Office for Civil Rights and Civil Liberties	452
Citizenship and Immigration Services Ombudsman	289
Privacy Office	318
Office of Counternarcotics Enforcement	104
	5,808

OSEM reimburses the Working Capital Fund (WCF), which is a fully reimbursable fund that finances a full range of administrative support services to DHS, for services provided. This centrally managed account provides department-wide functions such as finance, budget and accounting support, information technology, and personnel administration. Centralizing administrative support functions has enabled DHS to achieve economies of scale, reducing costs and increasing operational efficiencies, and has allowed DHS components to focus on and accomplish their goals. WCF allocates costs based on various algorithms, depending on the service provided. This request for additional funds is associated with operating costs in these WCF activities that are increasing more rapidly than the COLA. Request levels are based on estimates provided by the WCF, and determined by actual usage costs (including inflation). The \$5.8 million estimate reflects increase for equipment refresh of outdated hardware, and to fund ongoing maintenance and operations of critical IT infrastructure capabilities.

Fully Funding Base FTE\$2,617

PPA Breakdown – Fully Funding Base FTE	Total (\$000)
Executive Leadership and Direction	
Immediate Office of the Secretary	422
Immediate Office of the Deputy Secretary	22
Office of the Executive Secretary	250
Office of Legislative Affairs	1,355
Office for Civil Rights and Civil Liberties	568
	2,617

This request increases the base to fully fund the authorized base FTE level. Part of the reason why these activities cannot maintain FTE at the authorized level is that the base for personnel compensation and benefits (PC&B) was not sufficiently funded in prior years. To prevent the need for requesting

reprogramming funds in FY 2010 as a result of anticipated shortfall in PC&B costs, OSEM requests a base increase to fully fund base FTE to the authorized level.

Executive Leadership and Direction: FTE assigned to the offices within this activity directly support the Secretary. The majority are predominantly senior personnel who provide advice and counsel to the Secretary. Fully funding all FTE authorized in this activity will ensure that the Secretary has access to this counsel.

Office of Legislative Affairs: The Office of Legislative Affairs (OLA) performs a complex service that facilitates and contributes to the mission of DHS by: (1) Advising the Secretary and other DHS officials on all matters relating to DHS's interactions with Congress; (2) Serving as a Congressional liaison; and, (3) Responding to Congressional inquiries. As the focal point for interactions between DHS and Congress, OLA requires an adequate, professional staff that can assist OLA in providing DHS executives direction and coordination for all communications and relationships between the Department and Congress. Inadequately funding all FTE authorized in this activity will require a reduction in OLA staff and operations, adversely affect essential functions, quality of life in the workplace, and morale. OLA's ability to perform its role will be severely limited. The negative impact on the Secretary, Deputy Secretary, and senior leadership of the Department and their relations with Congress will have consequences across DHS.

Office for Civil Rights and Civil Liberties (CRCL): *The Implementing Recommendations of the 9/11 Commission Act of 2007* (Pub. L. 110-53) specifically authorizes CRCL to conduct civil liberties impact assessments. Within CRCL, the Programs Division is responsible for conducting civil liberties impact assessments. Due to the increased workload created by the 9-11 Act mandates, the Programs Division began shifting the workload of existing staff in FY 2008, and received five additional staff positions in the FY 2009 budget for creating the Civil Liberties Impact Assessment (CLIA) program. The CLIA program is designed to ensure DHS policies and procedures comply with Constitutional, statutory, regulatory, and other legal and policy requirements, and adhere to the DHS's statutory mission to ensure that civil liberties are not diminished by programs aimed at securing the homeland.

Fully funding FY 2010 base FTE would allow the CRCL Programs Division to continue the CLIA Program. This would provide the division the ability to conduct congressionally mandated and proactive civil liberties impact assessments, which provide the Department a vital tool for identifying and making recommendations about potential civil liberties concerns early in the life cycle of DHS programs, policies and procedure implementation. Departmental programs, policies and procedures can potentially impact the rights and liberties of U.S. persons and must continue to receive the specialized review of CRCL through its CLIA Program.

IV. Program Justification of Changes

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

Program Increase 1: Office of Policy

Strategic Goal(s) & Objective(s): Continually improve the manner in which we do our business.

PPA Breakdown	Positions	FTE	Total (\$000)
Office of Policy			
Integrated Requirements Process (IRP) Division	10	5	\$5,000
Intermodal Security Coordination Office	15	8	\$10,000
	25	13	\$15,000

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							202	185	\$46,564
Program Increase							25	13	15,000
Budget Request	174	174	\$34,380	194	182	\$43,263	227	198	\$61,564

Description of Item

The Office of Policy requests 227 positions, 198 FTE, and \$61,564,000 for FY 2010. This request is an increase of 33 positions, 26 FTE, and \$18,301,000 over the FY 2009 Enacted of 194 positions, 182 FTE and \$43,263,000. The total adjustment to base reduces the Office of Policy by 8 positions, 13 FTE, and \$3,301,000, as described in the Current Services section of this request (See page OSEM-11). Program increases include 25 positions, 13 FTE, and \$15,000,000 for the following:

- **Integrated Resource Process** will be the proposed mechanism to accomplish the FY 2010-FY 2014 Integrated Planning Guidance (IPG) of identifying capabilities needed across components to accomplish the department’s strategic objectives and common requirements from those capabilities. (10 positions, 5 FTE, \$5,000,000)
- **Intermodal Security Coordination Office** within DHS Policy will support integrated planning between DHS and the Department of Transportation in the area of maritime transportation, as well as in other homeland security mission areas. The Intermodal Security Coordination Office will develop a strategic plan and metrics to guide development and modernization of intermodal freight infrastructure that links coastal and inland ports to highways and rail networks; an assessment of intermodal freight infrastructure needs and capability gaps; and recommendations to address the needs and capability gaps. The recommendations to address intermodal freight infrastructure needs and capability gaps will be incorporated into DHS’ 5-year programming and budgeting guidance, and tracked to ensure they are achieved (15 positions, 8 FTE, \$10,000,000)

Justification

- **Integrated Resource Program** – Since its inception in 2003, the Department of Homeland Security has operated without an effective requirements process to highlight capability shortfalls and redundancies – crucial information when planning future activities and deciding between subsequent resource allocation alternatives. The DHS Integrated Requirements Process (IRP) will establish tangible Department-wide targets and goals to help integrate DHS components' efforts and ensure that the Department fulfills its homeland security mission. The IRP is designed to integrate the Department's resource allocation and investment processes and ensure that both of these processes address the most critical homeland security needs or capability gaps.
- **Intermodal Security Coordination Office** - The Intermodal Security Coordination Office (ISCO) within DHS Policy will support integrated planning between DHS and DoT in the area of maritime transportation, as well as in other homeland security mission areas. The first deliverables for this office in FY 2010 will be as follows: 1) A strategic plan and strategic metrics to guide development and modernization of intermodal freight infrastructure linking coastal and inland ports to highways and rail networks; 2) Intermodal freight infrastructure needs and capability gaps; and, 3) Recommendations to address the needs and capability gaps. The recommendations to address intermodal freight infrastructure needs and capability gaps will be incorporated into DHS's 5-year programming and budgeting guidance as appropriate, and tracked to ensure they are achieved. Similar recommendations for DoT will also be provided to DoT for disposition within their programming and budgeting process. In following FYs, the ISCO will continue to coordinate the modernization of freight infrastructure, as well as developing strategic plans and metrics and identifying capability gaps for other areas within the Security functional area, e.g. the security of critical infrastructure and key resources.

Impact on Performance

- **Integrated Resource Plan** - will directly address the FY 2010-FY 2014 IPG goal to “lead cross- Departmental efforts to identify and define capabilities and requirements for our key mission areas and priorities.” This process will help DHS achieve its priorities and strategic objectives by developing well-justified, properly reviewed and researched, and measurable strategic requirements linked to DHS strategic objectives. These strategic requirements will provide the needed foundation for program outcome measures, goals and performance levels. Without this new process, DHS will continue to lack such strategic requirements and the Department's lower-level program measures will continue to lack concrete and defensible ties to DHS strategic objectives.
- **Intermodal Security Coordination Office** - will directly address the following objectives of the DHS Strategic Plan for FY 2008-2013: 3.4 Protect Transportation Sectors, 3.1 Protect and Strengthen the Resilience of the Nation's Critical Infrastructure and Key Resources. Beginning with maritime and intermodal transportation, the office will identify critical needs and capability gaps at the interagency level, and provide programming and budgeting recommendations to address those gaps for both DHS and DoT. This office will leverage the resources of the two departments and allow for a dedicated and sustained interagency effort to perform this important function.

Program Increase 2: Civil Rights and Civil Liberties

Strategic Goal(s) & Objective(s): Continually improve the manner in which we conduct our business

PPA Breakdown		Positions	FTE	Total (\$000)
Office for Civil Rights and Civil Liberties				
Staffing Increases		28	14	\$2,297
		28	14	\$2,297

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							85	85	\$19,807
Program Increase							28	14	2,297
Budget Request	75	47	\$14,597	85	80	\$17,417	113	99	\$22,104

Description of Item

The Office for Civil Rights and Civil Liberties requests 113 positions, 99 FTE, and \$22,104,000 for FY 2010. This request is 28 positions, 19 FTE, and \$4,687,000 over the FY 2009 Enacted of 85 positions, 80 FTE, and \$17,417,000. The total adjustment to base is 5 FTE and \$2,390,000. The program increase includes 28 positions, 14 FTE, and \$2,297,000 for additional personnel.

Justification

- EEO Programs – The request provides additional positions for the Department’s EEO Program to expand efforts to eliminate real and perceived barriers that impede free and open competition in the workplace. There are functional integration initiatives directed in Delegation 19002, Delegation to the Officer for Civil Rights and Civil Liberties to integrate and manage Civil Rights, Civil Liberties and Equal Employment Opportunity Programs dated February 4, 2008. The overall business premise is to reduce redundancies and “touch points” where errors and processing inefficiencies occur, yielding lower overall maintenance fees and/or cost avoidance. Functional integration will reduce the number of “moving parts,” thus reducing the cost of overall ownership. CRCL receives an average of 90 new cases each month from DHS components, Equal Employment Opportunity Commission (EEOC) Administrative Judges, and the EEOC Office of Federal Operations. With a backlog of 385 cases these FTE’s will reduce the backlog of all the department’s EEO cases and address new and ongoing cases. (9 positions, 4 FTE, and \$712,000)
- CRCL Programs – The CRCL Programs section is tasked with reviewing operations of State and local fusion centers and establishing guidelines for civil liberties policies. The Office requests 3 additional positions, 2 FTE and \$268,000 to fulfill various responsibilities mandated in the Recommendations of the 9/11 Commission Act of 2007, Public Law 110-53: Specific language from the Public Law is as follows:

Department of Homeland Security State, Local, and Regional Fusion Center Initiative, Sec. 511(a). Assist the Secretary in appropriately considering privacy and civil liberties concerns when such officials are proposing, developing, or implementing laws, regulations, policies, procedures, or guidelines related to effort to protect the Nation against terrorism. *Privacy and Civil Liberties Officers, Sec. 803(a).* Periodically investigate and review department policies, procedures, guidelines, and related laws and their implementation to ensure the department is adequately considering privacy and civil liberties in its actions. *Privacy and Civil Liberties Officers, Sec. 803(a).* Assess the impact or likely impact of the implementation of a data mining activity on the civil

liberties of individuals. *Federal Agency Data Mining Reporting, Sec. 804(c)(2)(E)*. (3 positions, 2 FTE, and \$268,000)

- CRCL Training – Further, P.L.110-53, mandates that the Office for Civil Rights and Civil Liberties develop and administer several training programs. Specifically, the Act requires CRCL to: Provide privacy and civil liberties training all officers, intelligence analysts, and private sector representatives in State, local, regional, and tribal Fusion Centers. The Office requests 2 positions, 1 FTE and \$138,000 to fulfill these responsibilities. The specific language is provided below:

Department of Homeland Security State, Local, and Regional Fusion Center Initiative, Sec. 511(a). Provide privacy and civil liberties training for all Information Sharing Fellows. *Homeland Security Information Sharing Fellows Program, Sec.512(a)*. Civil rights and civil liberties requires training for local law enforcement agencies and other emergency response providers in rural areas as part of the Rural Policing Institute. *Rural Policing Institute, Sec. 513(a)* Provide privacy and civil liberties training for all detailees of the Interagency Threat Assessment and Coordination Group. *Interagency Threat Assessment and Coordination Group, Sec. 521(a)*. To fulfill these responsibilities the Office requests (2 positions, 1 FTE, and \$138,000)

- Review and Compliance Unit – The Review and Compliance Unit (RCU) is responsible for responding in a timely manner to emerging issues and complaints. The RCU carries out the congressionally mandated function of investigating complaints from the public alleging civil rights and civil liberties abuses by the Department. Recommendations made as result of CRCL investigations serve to address and rectify issues that have the potential to distract from homeland security priorities. (6 positions, 3 FTE, and \$519,000)
- CRCL Program management section is tasked with providing DHS senior leadership with advice on issues at the intersection of homeland security and civil rights and civil liberties. CRCL fulfills this role through its Programs Division, which reviews and helps to shape DHS programs, policies, reports, regulations, and other activities. CRCL’s work spans a wide variety of issues, from disability and immigration policy to community engagement and information sharing. This staffing structure will more fully support management of The Office for Civil Rights and Civil Liberties. (8 positions, 4 FTE, and \$660,000)

Impact on Performance

- On August 3, 2007, President Bush signed Implementing Recommendations of the 9/11 Commission Act of 2007, P. L. 110-53. The Act has a substantial impact on the responsibilities and reporting requirements of the Office for Civil Rights and Civil Liberties. The additional resources will allow the Office for Civil Rights and Civil Liberties to respond more quickly to issues of national interest could adversely affect the confidence placed in the Office by the public including non-governmental organizations that monitor the protection of civil rights and civil liberties in the United States. Additionally, the Department’s EEO Program expansion will reduce real and perceived barriers that impede free and open competition in the workplace. The functional integration initiatives directed in Delegation 19002, Delegation to the Officer for Civil Rights and Civil Liberties to integrate and manage Civil Rights, Civil Liberties and Equal Employment Opportunity Programs dated February 4, 2008. The provided funding for the directed initiative for the department’s consolidation of EEO programs through functional integration will help achieve the initiative programs cost savings.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

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

For necessary expenses of the Office of the Secretary of Homeland Security, as authorized by section 102 of the Homeland Security Act of 2002 (6 U.S.C. 112), and executive management of the Department of Homeland Security, as authorized by law, [\$123,456,000]**\$160,760,000**: *Provided*, That not to exceed \$60,000 shall be for official reception and representation expenses, of which \$20,000 shall be made available to the Office of Policy solely to host Visa Waiver Program negotiations in Washington, DC.

Explanation of Changes:

Not applicable.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
 Departmental Management and Operations
 Office of the Secretary and Executive Management
 FY 2009 to FY 2010 Budget Change
 (Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual	592	483	\$101,356
2009 Enacted	625	598	123,456
Adjustments-to-Base			
Transfers to and from other accounts:			
Deputy Secretary's Travel	---	---	370
Transfer from FEMA - Intergovernmental Programs.....	17	17	2,000
Transfer to Executive Leadership & Direction - Secretary's Travel.....	---	---	395
Total Transfers.....	<u>17</u>	<u>17</u>	<u>2,765</u>
Increases			
Annualization of prior year part year funding.....	---	26	5,453
Annualization of 2009 pay raise.....	---	---	666
2010 pay increase.....	---	---	1,256
Working Capital Fund.....	---	---	1,442
Fully Fund Base FTE.....	---	---	5,808
Reduced Reliance on Contractors.....	6	6	2,617
Compensation and Benefits.....	8	4	---
Total Increases.....	<u>14</u>	<u>36</u>	<u>17,242</u>
Total Adjustments-to-Base	<u>31</u>	<u>53</u>	<u>20,007</u>
2010 Current Services	656	651	143,463
Program Changes			
Office of Policy			
Integrated Requirements Process (IRP) Division	10	5	5,000
Intermodal Security Coordination Office	15	8	10,000
Office for Civil Rights and Civil Liberties - Staffing Increases	28	14	2,297
Total Program Changes	<u>53</u>	<u>27</u>	<u>17,297</u>
2010 Request	709	678	160,760
2009 to 2010 Total Change	84	80	37,304

C. Summary of Requirements

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

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	592	483	101,356
2009 Enacted	625	598	123,456
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	17	17	2,765
Increases	14	36	17,242
Decreases	---	---	---
Total Adjustments-to-Base	31	53	20,007
2010 Current Services	656	651	143,463
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	53	27	17,297
2010 Total Request	709	678	160,760
2009 to 2010 Total Change	84	80	37,304

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments to Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Executive Leadership and Direction	71	85	\$14,681	---	---	\$3,129	---	---	\$0	71	85	\$17,810	---	---	\$3,129
Immediate Office of the Secretary	12	12	3,140	---	---	1,921	---	---	---	12	12	5,061	---	---	1,921
Immediate Office of the Deputy Secretary	6	6	1,400	---	---	410	---	---	---	6	6	1,810	---	---	410
Office of the Chief of Staff	12	12	2,693	---	---	(98)	---	---	---	12	12	2,595	---	---	(98)
Office of the Executive Secretary	41	55	7,448	---	---	896	---	---	---	41	55	8,344	---	---	896
2 Stakeholder Relations	---	---	\$0	17	17	\$2,800	---	---	\$0	17	17	\$2,800	17	17	\$2,800
Office of State and Local Law Enforcement	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---
Private Sector Coordination Office	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---
Office of Intergovernmental Programs	---	---	---	17	17	2,800	---	---	---	17	17	2,800	17	17	2,800
3 Office of Policy	194	182	43,263	8	13	3,301	25	13	15,000	227	208	61,564	33	26	18,301
4 Office of Public Affairs	43	43	5,991	---	---	548	---	---	---	43	43	6,539	---	---	548
5 Office of Legislative Affairs	48	36	4,997	---	---	2,100	---	---	---	48	36	7,097	---	---	2,100
6 Office of the General Counsel	101	91	20,114	---	10	3,914	---	---	---	101	101	24,028	---	10	3,914
7 Office for Civil Rights and Civil Liberties	85	80	17,417	---	5	2,390	28	14	2,297	113	99	22,104	28	19	4,687
8 Citizenship and Immigration Services Ombudsman	30	30	6,471	6	6	464	---	---	---	36	36	6,935	6	6	464
9 Privacy Office	36	34	6,804	---	2	1,167	---	---	---	36	36	7,971	---	2	1,167
10 Office of Counternarcotics Enforcement	17	17	3,718	---	---	194	---	---	---	17	17	3,912	---	---	194
Total	625	598	\$123,456	31	53	\$20,007	53	27	\$17,297	709	678	\$160,760	84	80	\$37,304

D. Summary of Reimbursable Resources

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

Collections by Source	FY 2008 Estimate			2009 Revised Estimate			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Customs and Border Protection	2	1	\$80	7	5	\$468	7	6	\$253	---	0	(\$215)
Immigration and Customs Enforcement	---	---	\$7	---	---	\$9	---	---	\$9	---	---	\$0
Intelligence & Analysis	3	3	\$960	3	3	\$960	3	3	\$960	---	---	\$0
Science and Technology	---	---	\$4	2	2	\$129	1	1	\$67	(1)	(1)	(\$62)
United States Citizenship and Immigration Services	1	0	\$54	2	1	\$125	2	1	\$78	---	(1)	(\$47)
Operations Coordination	4	3	\$406	5	4	\$540	4	3	\$454	(1)	(1)	(\$86)
Transportation Security Administration	---	---	\$1	---	---	\$1	---	---	\$1	---	---	\$0
Domestic Nuclear Detection Office	2	1	\$76	3	2	\$210	2	1	\$124	(1)	(1)	(\$86)
Federal Emergency Management Agency	---	---	\$20	---	---	\$25	---	---	\$25	---	---	\$0
National Protection and Programs Directorate	4	1	\$157	6	5	\$426	4	3	\$255	(2)	(2)	(\$171)
Chief Information Officer	1	0	\$38	2	1	\$104	2	1	\$62	---	(0)	(\$42)
Total Budgetary Resources	17	9	\$1,803	30	24	\$2,997	25	18	\$2,288	(5)	(6)	(\$709)

Obligations by Program/Project Activity	FY 2008 Estimate			2009 Revised Estimate			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Executive Leadership and Direction (Immediate Office of the Secretary)	---	---	\$49	---	---	\$61	---	---	\$61	---	---	\$0
Office of Policy	12	4	\$464	25	19	\$1,646	20	13	\$937	(5)	(6)	(\$709)
Office of the General Counsel	5	5	\$790	5	5	\$790	5	5	\$790	---	---	\$0
Office for Civil Rights and Civil Liberties	---	---	\$500	---	---	\$500	---	---	\$500	---	---	\$0
Total Obligations	17	9	\$1,803	30	24	\$2,997	25	18	\$2,288	(5)	(6)	(\$709)

Explanation of Increase/Decrease.

Office of Policy: In FY 2008 the Office of Policy initiated the DHS Fellows Program. The entire program included 29 Fellows, with just under half of those funded by other DHS components. The large increase from 2008 to 2009 for Policy is due to the fact that Fellows begin their program approximately mid-year, and continue for a full year in the following FY. Additionally, FY 09 includes an estimate for a new Fellows class, but at about half the total amount of the original class. FY 2010 estimates a full year for the smaller FY 2009 class and a half year for the 2010 class.

Note: FY 2008 Actuals and FY 2009 Estimates are updated from the President's Budget Submission.

E. Summary of Requirements By Object Class

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

Object Classes	FY 2008 Actuals	2009 Enacted	2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	37,439	46,333	62,246	15,913
11.3 Other than full-time permanent	9,515	11,084	11,351	267
11.5 Other Personnel Compensation	1,822	1,926	2,427	501
11.8 Special Service Pay	169	479	489	10
12.1 Benefits	12,807	15,204	21,398	6,194
Total, Personnel Comp. & Benefits	\$61,752	\$75,026	\$97,911	\$22,885
Other Object Classes:				
21.0 Travel	4,591	4,450	5,155	705
22.0 Transportation of things	122	147	147	---
23.1 GSA rent	3,997	9,319	10,046	727
23.2 Other rent	128	41	41	0
23.3 Communications, utilities, & other misc. charges	315	181	354	173
24.0 Printing and reproduction	105	295	310	15
25.1 Advisory and assistance services	10,911	8,094	12,622	4,528
25.2 Other services	3,531	4,720	4,908	188
25.3 Purchases of goods & svcs. from Gov't accounts	11,407	19,268	26,674	7,406
25.4 Operation & maintenance of facilities	41	---	40	40
25.6 Medical care	40	30	30	0
25.7 Operation and maintenance of equipment	43	---	---	---
25.8 Subsistence and support of persons	---	---	---	---
26.0 Supplies and materials	1,445	969	1,130	161
31.0 Equipment	588	916	1,392	476
42.0 Indemnity	46	---	---	---
Total, Other Object Classes	\$37,310	\$48,430	\$62,850	\$14,420
Total, Direct Obligations	\$99,062	\$123,456	\$160,760	\$37,304

F. Permanent Positions by Grade

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

Grades and Salary Ranges	2008	2009	2010	2009 to 2010
	Actual Pos.	Enacted Pos.	Request Pos.	Change Total
Total, SES	59	49	62	13
Total, EX	3	1	3	2
GS-15	165	150	186	36
GS-14	83	130	99	(31)
GS-13	76	91	107	16
GS-12	48	58	61	3
GS-11	45	47	75	28
GS-10	---	---	---	---
GS-9	57	57	61	4
GS-8	7	6	9	3
GS-7	31	22	31	9
GS-6	1	1	1	---
GS-5	4	5	4	(1)
GS-4	12	1	9	8
GS-3	1	1	1	---
GS-2	---	---	---	---
Other Graded Positions	---	6	---	(6)
Ungraded Positions	---	---	---	---
Total Permanent Positions	592	625	709	84
Unfilled Positions EOY	77	---	---	---
Total Perm. Employment EOY	512	625	709	84
FTE	483	599	678	79
Headquarters	589	617	704	87
U.S. Field	3	---	5	5
Foreign Field	---	8	---	(8)
Total Permanent Positions	592	625	709	84
Average ES Salary	\$158,143	\$155,983	\$164,293	\$8,310
Average GS Salary	\$90,349	\$83,012	\$95,503	\$12,491
Average GS Grade	12.58	13.00	12.32	(0.68)

G. Capital Investment and Construction Initiative Listing

**DEPARTMENTAL MANAGEMENT AND OPERATIONS
OFFICE OF THE SECRETARY AND EXECUTIVE MANAGEMENT**

NOT APPLICABLE

H. PPA Budget Justifications

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

PPA: PPA Name		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$2,389	\$4,043	\$4,636	\$593
11.3	Other than perm	2,535	2,494	2,554	60
11.5	Other per comp	256	238	262	24
11.8	Spec Srvc Pay	169	479	489	10
12.1	Benefits	1,313	1,966	2,625	659
21.0	Travel	1,593	1,333	2,246	913
23.1	GSA rent	1,133	1,023	967	(56)
23.3	Communication, Utilities, and misc charges	66	151	151	---
24.0	Printing	29	58	58	---
25.1	Advisory & Assistance Services	416	884	884	---
25.2	Other Services	197	222	222	---
25.3	Purchase from Govt. Accts.	958	1,563	2,489	926
25.6	Medical care	4	8	8	0
26.0	Supplies & materials	294	203	203	0
31.0	Equipment	86	16	16	---
Total, Executive Leadership and Direction		\$11,438	\$14,681	\$17,810	\$3,129
Full Time Equivalents		59	85	85	---

PPA Mission Statement

Executive Leadership and Direction consolidates the Immediate Office of the Secretary, the Immediate Office of the Deputy Secretary, the Office of the Chief of Staff, and the Office of the Executive Secretary into a single PPA. These four PPAs are consolidated because they jointly provide executive direction and directly support the Secretary.

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

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

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

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

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$6,662	\$9,220	\$10,566	\$1,346

Salaries and Benefits fund for compensation directly related to duties performed for the Executive Leadership and Direction by Federal civilian employees. The FY 2010 request includes funding for the proposed pay raise (currently predicted at 2%), benefits, and other mandatory personnel entitlements and program increases. Personnel increases are accounted for through the full funding of base FTE that were underfunded in prior years. Executive Leadership and Direction's authorized FTE level remains at 85 FTE in FY 2010.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$1,593	\$1,333	\$2,246	\$913

Requested funds cover the travel costs of Executive Leadership and Direction's Federal civilian employees, while in authorized travel status, either directly or by reimbursing the traveler. The FY 2010 request reflects increases for from various component for the Secretary's Travel, and a adjustment to base for the Office of the Deputy Secretary's travel.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
GSA rent	\$1,133	\$1,023	\$967	(\$56)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request reflects a decrease as a result of updates to the occupancy agreements. GSA Rent is paid centrally by Working Capital Fund (WCF); Executive Leadership and Direction fully reimburses the WCF its share of the GSA Rent based on the estimated FY 2010 assessment provided by the WCF activity.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous charge	\$66	\$151	\$151	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request has no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Printing	\$29	\$58	\$58	\$0

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

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$416	\$884	\$884	\$0

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

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$197	\$222	\$222	\$0

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request has no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Purchase from Government Accounts	\$958	\$1,563	\$2,489	\$926

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF, DHS Shared Services, and other government agencies including interagency service requirements. The FY 2010 request reflects a increase which is the result of increases IT related activities within the WCF and a realignment of funds from this object class to travel to cover the transfer of funds from the Office of the Chief of Staff to the Immediate Office of the Secretary for the Secretary's travel.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Medical Care	\$4	\$8	\$8	\$0

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. Specifically, DHS Shared Services assessment for the Federal Occupational Health Clinic is reflected in this object class. The FY 2010 request reflects no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Supplies & materials	\$294	\$203	\$203	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request has no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Equipment	\$86	\$16	\$16	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request has no change.

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

PPA: PPA Name		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$0	\$0	\$1,513	\$1,513
11.5	Other per comp	---	---	30	30
12.1	Benefits	---	---	457	457
21.0	Travel	---	---	30	30
25.2	Other Services	---	---	34	34
25.3	Purchase from Govt. Accts.	---	---	736	736
Total, Executive Leadership and Direction		\$0	\$0	\$2,800	\$2,800
Full Time Equivalents		---	---	17	17

PPA Mission Statement

The offices within Stakeholder Relations have programs that share a common goal: to communicate and coordinate with organizations external to DHS and the Federal government.

The mission of the Office for State and Local Law Enforcement (SLLE) is: 1) to lead the coordination of Department-wide policies relating to the role of State and local law enforcement, and 2) to serve as a liaison between State, local, and tribal law enforcement agencies and the Department. In accordance with this mission, SLLE provides a central point of contact within DHS for communication and coordination of law enforcement policies and issues, especially as they relate to grant programs and terrorism prevention efforts.

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

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

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$0	\$0	\$2,000	\$2,000

Salaries and Benefits fund for compensation directly related to duties performed for OPA by Federal civilian employees. The FY 2010 request reflects the transfers of personnel compensation, benefits, and other mandatory personnel entitlements for the Office of Intergovernmental Programs from FEMA. Stakeholder Relations' authorized FTE level increases from 0 FTE to 38 FTE in FY 2010.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$0	\$0	\$30	\$30

Requested funds cover the travel costs of Stakeholder Relations' Federal civilian employees, while in authorized travel status, either directly or by reimbursing the traveler. The FY 2010 request reflects increases for transfers of the Office of Intergovernmental Programs from FEMA.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$0	\$0	\$34	\$34

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request reflects increases for transfers of the Office of Policy and the transfer of the Office of Intergovernmental Programs from FEMA.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Purchase from Government Accounts	\$0	\$0	\$736	\$736

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF, DHS Shared Services, and other government agencies including interagency service requirements. The FY 2010 request reflects increases for transfers of Office of Intergovernmental Programs.

H: PPA Budget Justifications

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

PPA: PPA Name		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$14,129	\$12,554	\$20,451	\$7,897
11.3	Other than perm	3,047	5,022	5,139	117
11.5	Other per comp	591	592	663	71
12.1	Benefits	4,899	4,197	7,043	2,846
21.0	Travel	1,701	1,682	1,640	(42)
22.0	Transportation of things	81	91	91	---
23.1	GSA rent	654	2,391	2,970	579
23.2	Other rent	87	26	26	---
23.3	Communication, Utilities, and misc charges	9	4	177	173
24.0	Printing	20	100	115	15
25.1	Advisory & Assistance Services	3,614	5,390	9,918	4,528
25.2	Other Services	836	1,505	1,571	66
25.3	Purchase from Govt. Accts.	3,135	9,009	10,501	1,492
25.4	Operation & maintenance of facilities	41	---	40	40
25.6	Medical care	20	---	---	---
26.0	Supplies & materials	244	288	421	133
31.0	Equipment	151	412	798	386
Total, Office of Policy		\$33,259	\$43,263	\$61,564	\$18,301
Full Time Equivalents		173	182	208	26

PPA Mission Statement

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

The Policy Directorate brings together the Office of International Affairs, Homeland Security Advisory Council, Office of Immigration Statistics, and expands the Border and Transportation Security Police Office to include all aspects of the Department. It also creates a Strategic Planning Office.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$22,666	\$22,365	\$33,296	\$10,931

Salaries and Benefits fund for compensation directly related to duties performed for the Office of Policy by Federal civilian employees. The FY 2010 request includes funding for the proposed pay raise (currently predicted at 2%), benefits, and other mandatory personnel entitlements and program increases. Personnel increases are accounted for through the annualization of FTE introduced in FY 2009, as well as new personnel for the Office of Policy's IRP Division, and PSCO. All associated FTE and resources are transferred as well. This request has a net effect of increasing the Office of Policy's authorized FTE level from 185 FTE to 190 FTE in FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$1,701	\$1,682	\$1,640	(\$42)

Requested funds cover the travel costs of the Office of Policy's Federal civilian employees, while in authorized travel status, either directly or by reimbursing the traveler. The FY 2010 request reflects a decrease associated with transfers to Executive Leadership and Direction for the Secretary's Travel.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$81	\$91	\$91	\$0

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. Funding primarily supports the shipment of furniture and other household goods associated with permanent change of station moves. The FY 2010 request reflects no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$654	\$2,391	\$2,970	\$579

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 budget increase includes GSA occupancy agreement updates, Federal Protective Service (FPS) rate increases, and rent for additional space that will be required in FY 2010. GSA Rent is paid centrally by Working Capital Fund (WCF); the Office of Policy fully reimburses the WCF its share of the GSA Rent based on the estimated FY 2010 assessment provided by the WCF activity.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Rent	\$87	\$26	\$26	\$0

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request has no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous char	\$9	\$4	\$177	\$173

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request reflects a increase due to program increases..

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Printing	\$20	\$100	\$115	\$15

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 request reflects an increase related to program increases

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$3,614	\$5,390	\$9,918	\$4,528

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request includes an increase for program increases for the Office of Policy's IRP Division and PSCO

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$836	\$1,505	\$1,571	\$66

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request includes increases for non-pay inflation, and program increases.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Purchase from Government Accounts	\$3,135	\$9,009	\$10,501	\$1,492

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF, DHS Shared Services, and other government agencies including interagency service requirements. The FY 2010 request reflects a net increase that includes increases for program increases and non-pay inflation Offset by a decrease in activities within the WCF

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Operation & maintenance of facilities	\$41	\$0	\$40	\$40

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 request has no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Medical Care	\$20	\$0	\$0	\$0

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. Specifically, DHS Shared Services assessment for the Federal Occupational Health Clinic is reflected in this object class. The FY 2010 request has no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$244	\$288	\$421	\$133

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request reflects a net decrease that includes an increase for program increases for the IRP Division and PSCP.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$151	\$412	\$798	\$386

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request reflects increases for program increases associated with the IRP Division and PSCO.

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

PPA: PPA Name	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
11.1 Perm Positions	\$2,177	\$2,318	\$2,376	\$58
11.3 Other than perm	1,045	890	912	22
11.5 Other per comp	62	56	58	2
12.1 Benefits	830	970	995	25
21.0 Travel	266	400	167	(233)
23.1 GSA rent	280	648	753	105
24.0 Printing	3	3	3	0
25.1 Advisory & Assistance Services	2,209	28	28	---
25.2 Other Services	94	---	---	---
25.3 Purchase from Govt. Accts.	469	643	1,212	569
25.6 Medical care	5	5	5	0
26.0 Supplies & materials	85	10	10	---
31.0 Equipment	91	20	20	---
Total, Office of Public Affairs	\$7,616	\$5,991	\$6,539	\$548
Full Time Equivalents	34	43	43	---

PPA Mission Statement

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

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$4,114	\$4,234	\$4,341	\$107

Salaries and Benefits fund for compensation directly related to duties performed for OPA by Federal civilian employees. The FY 2010 request includes funding for the proposed pay raise (currently predicted at 2%), benefits, and other mandatory personnel entitlements and program increases. OPA's authorized FTE level remains at 43 FTE in FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$266	\$400	\$167	(\$233)

Requested funds cover the travel costs of OPA's Federal civilian employees, while in authorized travel status, either directly or by reimbursing the traveler. The FY 2010 request reflects an decrease in travel cost due to transfer of \$233K to Secretary's office.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$280	\$648	\$753	\$105

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 budget increase includes GSA occupancy agreement updates, Federal Protective Service (FPS) rate increases, and rent for additional space that will be required in FY 2010. GSA Rent is paid centrally by Working Capital Fund (WCF); OPA fully reimburses the WCF its share of the GSA Rent based on the estimated FY 2010 assessment provided by the WCF activity.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$3	\$3	\$3	\$0

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

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$2,209	\$28	\$28	\$0

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

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$94	\$0	\$0	\$0

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as contracts related to the Ready Campaign. The FY 2010 request reflects no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$469	\$643	\$1,212	\$569

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF, DHS Shared Services, and other government agencies including interagency service requirements. The FY 2010 request reflects an increase resulting increases to IT related activities within the WCF.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Medical Care	\$5	\$5	\$5	\$0

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. Specifically, DHS Shared Services assessment for the Federal Occupational Health Clinic is reflected in this object class. The FY 2010 request has no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$85	\$10	\$10	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request has no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$91	\$20	\$20	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request has no change.

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

PPA: PPA Name		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$2,075	\$1,661	\$2,861	\$1,200
11.3	Other than perm	1,119	682	700	18
11.5	Other per comp	85	94	140	46
12.1	Benefits	909	863	1,118	255
21.0	Travel	204	200	181	(19)
22.0	Transportation of things	3			---
23.1	GSA rent	---	466	448	(18)
23.2	Other rent	14	---	---	---
24.0	Printing	1	1	1	---
25.1	Advisory & Assistance Services	48	4	4	---
25.2	Other Services	193	29	29	---
25.3	Purchase from Govt. Accts.	469	927	1,545	618
25.6	Medical care	6	6	6	---
26.0	Supplies & materials	70	46	46	---
31.0	Equipment	5	18	18	---
Total, Office of Legislative Affairs		\$5,201	\$4,997	\$7,097	\$2,100
Full Time Equivalents		38	36	36	---

PPA Mission Statement

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

Specifically, OLA coordinates and develops material for congressional hearings to include creating briefing books and editing written testimony. OLA assists with witness preparation of oral testimony, including coordinating and scheduling policy and subject-focused pre-briefing prior to the hearing date. They also coordinate and manage legislative briefings in advance of a hearing. The briefings provide the policy landscape, possible questions and answers, information on other witnesses, and other last minute insights. Additionally, OLA staff coordinates and tracks deliverables which result from hearings, including questions for the record. Further, OLA is responsible for all congressional mail sent to the DHS. This involves recording and tracking correspondence, assigning due dates, ensuring letters are answered in a timely manner and proofing and editing all correspondence for the Assistant Secretary's signature.

OLA interacts with each directorate to monitor and manage the volume of correspondence to facilitate and expedite responses on high profile topics when needed. DHS has an Enterprise Correspondence Tracking (ECT) System in place to assist with providing a consistent and timely response to these requests for information. This computer-based system will streamline the correspondence process and gain insight into topics where consistent answers are critical. OLA will be heavily involved in this initiative to better track and respond to requests for information. Funding also supports OLA's preparation of Departmental witnesses to appear before congressional hearings. With over 80 congressional committees and subcommittees claiming jurisdiction over some portion of the DHS, the volume of congressional hearings has been extremely high since the creation of DHS. Numerous positions in DHS also require Senate confirmation, which includes additional paperwork, pre- and post-hearings questions, staff level interviews, and a hearing before at least one Committee of Jurisdiction.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$4,188	\$3,300	\$4,819	\$1,519

Salaries and Benefits fund for compensation directly related to duties performed for OLA by Federal civilian employees. The FY 2010 request includes funding for the proposed pay raise (currently predicted at 2%), benefits, and other mandatory personnel entitlements and program increases. Personnel increases are accounted for through the full funding of base FTE that were underfunded in prior years. These increases are offset slightly by the transfer of the Congressional Actions Section functions, 1 FTE, and associated resources to Executive Leadership and Direction. This request has a net effect of decreasing OLA's authorized FTE level from 48 FTE to 47 FTE in FY 2010.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$204	\$200	\$181	(\$19)

Requested funds cover the travel costs of OLA's Federal civilian employees, while in authorized travel status, either directly or by reimbursing the traveler. The FY 2010 request reflects an increase from inflation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Transportation of Things	\$3	\$0	\$0	\$0

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. Funding primarily supports the shipment of furniture and other household goods associated with permanent change of station moves. The FY 2010 request reflects no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
GSA rent	\$0	\$466	\$448	(\$18)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request reflects a decrease as a result of updates to the occupancy agreements. GSA Rent is paid centrally by Working Capital Fund (WCF); OLA fully reimburses the WCF its share of the GSA Rent based on the estimated FY 2010 assessment provided by the WCF activity.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Rent	\$14	\$0	\$0	\$0

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request reflects no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Printing	\$1	\$1	\$1	\$0

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

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$48	\$4	\$4	\$0

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

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$193	\$29	\$29	\$0

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request reflects no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Purchase from Government Accounts	\$469	\$927	\$1,545	\$618

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF, DHS Shared Services, and other government agencies including interagency service requirements. The FY 2010 request includes an increase for activities within the WCF.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Medical Care	\$6	\$6	\$6	\$0

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. Specifically, DHS Shared Services assessment for the Federal Occupational Health Clinic is reflected in this object class. The FY 2010 request reflects no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Supplies & materials	\$70	\$46	\$46	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request reflects no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Equipment	\$5	\$18	\$18	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request reflects no change.

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

PPA: PPA Name	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
11.1 Perm Positions	\$8,253	\$10,644	\$12,797	\$2,153
11.3 Other than perm	449	583	597	14
11.5 Other per comp	474	583	643	60
12.1 Benefits	2,195	2,884	3,545	661
21.0 Travel	203	250	250	---
23.1 GSA rent	918	1,903	1,765	(138)
23.2 Other rent	---	15	15	0
23.3 Communication, Utilities, and misc charges	240	21	21	---
24.0 Printing	10	11	11	---
25.2 Other Services	143	214	214	---
25.3 Purchase from Govt. Accts.	1,038	2,730	3,894	1,164
25.6 Medical care	---	9	9	---
26.0 Supplies & materials	410	133	133	---
31.0 Equipment	62	134	134	---
Total, Office of the General Counsel	\$14,395	\$20,114	\$24,028	\$3,914
Full Time Equivalents	79	91	101	10

PPA Mission Statement

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

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$11,371	\$14,694	\$17,582	\$2,888

Salaries and Benefits fund for compensation directly related to duties performed for OGC by Federal civilian employees. The FY 2010 request includes funding for 2% pay raise, benefits, and other mandatory personnel entitlements and program increases. Personnel increases are accounted for through the annualization of 10 FTE introduced in FY 2009. These increases are offset slightly by the transfer of the Congressional Actions Section functions, 3 FTE, and associated resources to Executive Leadership and Direction. This request has a net effect of increasing OGC's authorized FTE level from 91 FTE to 98 FTE in FY 2010.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$203	\$250	\$250	\$0

Requested funds cover the travel costs of OGC's Federal civilian employees, while in authorized travel status, either directly or by reimbursing the traveler. The FY 2010 request reflects no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
GSA rent	\$918	\$1,903	\$1,765	(\$138)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request reflects a decrease as a result of updates to the occupancy agreements. GSA Rent is paid centrally by Working Capital Fund (WCF); OGC fully reimburses the WCF its share of the GSA Rent based on the estimated FY 2010 assessment provided by the WCF activity.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Rent	\$0	\$15	\$15	\$0

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request has no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous char	\$240		\$21	\$21

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request reflects no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$10		\$11	\$11

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

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$143		\$214	\$214

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request reflects no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$1,038		\$2,730	\$3,894

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF, DHS Shared Services, and other government agencies including interagency service requirements. The FY 2010 request includes an increase for IT activities within the WCF.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Medical Care	\$0		\$9	\$9

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. Specifically, DHS Shared Services assessment for the Federal Occupational Health Clinic is reflected in this object class. The FY 2010 request has no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$410		\$133	\$133

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request reflects an increase for non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$62		\$134	\$134

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request reflects an increase for non-pay inflation.

**Department of Homeland Security
Departmental Management and Operations
Office of the Secretary and Executive Management
Office for Civil Rights and Civil Liberties**

**Funding Schedule
(Dollars in Thousands)**

PPA: PPA Name	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
11.1 Perm Positions	\$4,161	\$7,705	\$9,638	\$1,933
11.3 Other than perm	769	754	772	18
11.5 Other per comp	180	172	422	250
12.1 Benefits	1,233	2,141	3,258	1,117
21.0 Travel	228	215	271	56
23.1 GSA rent	624	1,837	2,052	215
23.2 Other rent	17	---	---	---
23.3 Communication, Utilities, and misc charges	---	5	5	0
24.0 Printing	6	37	37	---
25.1 Advisory & Assistance Services	2,299	1,494	1,494	---
25.2 Other Services	1,195	1,268	1,356	88
25.3 Purchase from Govt. Accts.	3,100	1,517	2,409	892
25.6 Medical care	1	---	---	---
25.7 Operation & maintenance of equipment	43	---	---	---
25.8 Subsistence & Support of persons	---	---	---	---
26.0 Supplies & materials	185	106	134	28
31.0 Equipment	162	166	256	90
Total, Office for Civil Rights and Civil Liberties	\$14,203	\$17,417	\$22,104	\$4,687
Full Time Equivalents	41	80	99	19

PPA Mission Statement

The mission of the Office for Civil Rights and Civil Liberties (CRCL) is to protect civil rights and civil liberties, to support DHS by providing policy advice on the full range of civil rights and civil liberties issues, and to serve as an information and communication channel with the public regarding all aspects of these issues. Section 705 of the Homeland Security Act provides that the Officer for Civil Rights and Civil Liberties shall:

“Review and assess information alleging abuses of civil rights, civil liberties, and racial and ethnic profiling by employees and officials of the Department; and make public through the internet, radio, television, or newspaper advertisements information on the responsibility and function of, and how to contact, the Officer. Submit to the President of the Senate, the Speaker of the House of Representatives, and the appropriate committees and subcommittees of Congress through the Secretary on an annual basis a report on the implementation of this section, including the use of funds appropriated to carry out this section, and allegations of abuses described under subsection (a)(1) and any actions taken by the Department in response to such allegations.”

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$6,343	\$10,772	\$14,090	\$3,318

Salaries and Benefits fund for compensation directly related to duties performed for CRCL by Federal civilian employees. The FY 2010 request includes funding for a 2% pay raise, benefits, and other mandatory personnel entitlements and program increases. Personnel increases are accounted for through the annualization of FTE introduced in FY 2009, fully funding base FTE that were underfunded in prior years, as well as new personnel for CRCL's EEO Programs, CRCL Programs, CRCL Training, Review and Compliance Unit, and Review and Compliance Headquarters Program Management. This request increases CRCL's authorized FTE level from 85 FTE to 99 FTE in FY 2010.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$228	\$215	\$271	\$56

Requested funds cover the travel costs of CRCL's Federal civilian employees, while in authorized travel status, either directly or by reimbursing the traveler. The FY 2010 request reflects increases from inflation and the number of personnel required to support CRCL's EEO Programs, CRCL Programs, CRCL Training, Review and Compliance Unit, and Review and Compliance Headquarters Program Management.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
GSA rent	\$624	\$1,837	\$2,052	\$215

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 budget increase includes GSA occupancy agreement updates, Federal Protective Service (FPS) rate increases, and rent for additional space that will be required in FY 2010. GSA Rent is paid centrally by Working Capital Fund (WCF); CRCL fully reimburses the WCF its share of the GSA Rent based on the estimated FY 2010 assessment provided by the WCF activity.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Rent	\$17	\$0	\$0	\$0

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request has no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Communication, Utilities, and miscellaneous charges \$0 \$5 \$5 \$0
 Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request has no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Printing \$6 \$37 \$37 \$0
 Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 request reflects no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Advisory and Assistance Services \$2,299 \$1,494 \$1,494 \$0
 Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request reflects no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Other Services \$1,195 \$1,268 \$1,356 \$88
 Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request includes increases for program increases.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Purchase from Government Accounts \$3,100 \$1,517 \$2,409 \$892
 Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF, DHS Shared Services, and other government agencies including interagency service requirements. The FY 2010 request includes an increase for activities within the WCF, anticipated contractual increases associated with program increases..

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Medical Care \$1 \$0 \$0 \$0
 Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. Specifically, DHS Shared Services assessment for the Federal Occupational Health Clinic is reflected in this object class. The FY 2010 request has no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Operation & Maintenance of equipment \$43 \$0 \$0 \$0
 Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request has no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Subsistence & Support of Persons \$0 \$0 \$0 \$0
 Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. The FY 2010 request has no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Supplies & materials \$185 \$106 \$134 \$28
 Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request reflects increases for program increases.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Equipment \$162 \$166 \$256 \$90
 Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request reflects increases for program increases.

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

PPA: PPA Name	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
11.1 Perm Positions	\$1,525	\$2,415	\$2,474	\$59
11.3 Other than perm	60	60	63	3
11.5 Other per comp	28	55	57	2
12.1 Benefits	525	747	765	18
21.0 Travel	126	85	85	---
22.0 Transportation of things	38	56	56	---
23.1 GSA rent	106	339	327	(12)
23.2 Other rent	3	---	---	---
24.0 Printing	18	47	47	---
25.1 Advisory & Assistance Services	1,013	104	104	---
25.2 Other Services	150	904	904	---
25.3 Purchase from Govt. Accts.	1,351	1,534	1,928	394
25.6 Medical care	3	---	---	---
26.0 Supplies & materials	55	58	58	---
31.0 Equipment	---	67	67	---
Total, Citizenship and Immigration Services Ombudsman	\$5,001	\$6,471	\$6,935	\$464
Full Time Equivalents	18	30	36	6

PPA Mission Statement

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

CISOMB's goals include: (1) The reduction of backlog of immigration benefits, as these backlogs are both the source of numerous opportunities for fraud and resulting threats to national security, as well as a frustration to the immigration customer; (2) the enhancement of customer services to promote the flow of commerce, increase economic activity and promote family unity; and, (3) the streamlining of the immigration process to improve efficiencies, so that USCIS resources can be effectively utilized.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$2,138	\$3,277	\$3,359	\$82
Salaries and Benefits fund for compensation directly related to duties performed for the CISOMB by Federal civilian employees. The FY 2010 request includes funding for the proposed 2% pay raise, benefits, and other mandatory personnel entitlements and program increases. Personnel increases are accounted for through an increase in FTE as a result of a reduction in reliance on contractors. This request increases CISOMB's authorized FTE level from 30 FTE to 36 FTE in FY 2010.				

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$126	\$85	\$85	\$0
Requested funds cover the travel costs of CISOMB's Federal civilian employees, while in authorized travel status, either directly or by reimbursing the traveler. The FY 2010 request reflects no change.				

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Transportation of Things	\$38	\$56	\$56	\$0
Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. Funding primarily supports the shipment of furniture and other household goods associated with permanent change of station moves. The FY 2010 request includes an increase for non-pay inflation.				

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
GSA rent	\$106	\$339	\$327	(\$12)
GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request reflects a decrease as a result of updates to the occupancy agreements. GSA Rent is paid centrally by Working Capital Fund (WCF); CISOMB fully reimburses the WCF its share of the GSA Rent based on the estimated FY 2010 assessment provided by the WCF activity.				

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Other Rent

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request has no change.

2008	2009	2010	2009 to 2010
Actual	Enacted	Request	Change

Printing

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

2008	2009	2010	2009 to 2010
Actual	Enacted	Request	Change

Advisory and Assistance Services

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

2008	2009	2010	2009 to 2010
Actual	Enacted	Request	Change

Other Services

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request reflects no change.

2008	2009	2010	2009 to 2010
Actual	Enacted	Request	Change

Purchase from Government Accounts

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF, DHS Shared Services, and other government agencies including interagency service requirements. The FY 2010 request reflects a increases which is the net result from IT activities within the WCF

2008	2009	2010	2009 to 2010
Actual	Enacted	Request	Change

Medical Care

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. Specifically, DHS Shared Services assessment for the Federal Occupational Health Clinic is reflected in this object class. The FY 2010 request has no change.

2008	2009	2010	2009 to 2010
Actual	Enacted	Request	Change

Supplies & materials

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request reflects no change.

2008	2009	2010	2009 to 2010
Actual	Enacted	Request	Change

Equipment

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request reflectsno change.

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

**Privacy Office
Funding Schedule**

(Dollars in Thousands)

PPA: PPA Name		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$1,625	\$3,624	\$4,099	\$475
11.3	Other than perm	212	225	230	5
11.5	Other per comp	115	102	117	15
12.1	Benefits	555	1,094	1,240	146
21.0	Travel	228	191	191	---
23.1	GSA rent	202	402	465	63
23.2	Other rent	7	---	---	---
24.0	Printing	18	27	27	---
25.1	Advisory & Assistance Services	1,312	175	175	---
25.2	Other Services	685	229	229	---
25.3	Purchase from Govt. Accts.	496	541	1,004	463
25.6	Medical care	1	---	---	---
26.0	Supplies & materials	98	118	118	---
31.0	Equipment	27	76	76	---
Total, Privacy Office		\$5,581	\$6,804	\$7,971	\$1,167
Full Time Equivalent		16	34	36	2

PPA Mission Statement

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

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

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

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$2,507	\$5,045	\$5,686	\$641

Salaries and Benefits fund for compensation directly related to duties performed for the Office of Privacy by Federal civilian employees. The FY 2010 request includes funding for a 2% pay raise, benefits, and other mandatory personnel entitlements and program increases. Personnel increases are accounted for through the annualization of FTE introduced in FY 2009, as well as new personnel for Privacy's FOIA, International Policy and Outreach, Investigations, Review and Analysis, and Training programs. This request increases Privacy's authorized FTE level from 36 FTE to 44 FTE in FY 2010.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$228	\$191	\$191	\$0

Requested funds cover the travel costs of Privacy's Federal civilian employees, while in authorized travel status, either directly or by reimbursing the traveler. The FY 2010 request reflects no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

GSA rent \$202 \$402 \$465 \$63

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 budget increase includes GSA occupancy agreement updates, Federal Protective Service (FPS) rate increases, and rent for additional space that will be required in FY 2010. GSA Rent is paid centrally by Working Capital Fund (WCF); Privacy fully reimburses the WCF its share of the GSA Rent based on the estimated FY 2010 assessment provided by the WCF activity.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Other Rent \$7 \$0 \$0 \$0

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request has no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Printing \$18 \$27 \$27 \$0

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

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Advisory and Assistance Services \$1,312 \$175 \$175 \$0

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

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Other Services \$685 \$229 \$229 \$0

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request reflects no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Purchase from Government Accounts \$496 \$541 \$1,004 \$463

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF, DHS Shared Services, and other government agencies including interagency service requirements. The FY 2010 request includes an increase for activities within the WCF, anticipated contractual increases associated with program increases.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Medical Care \$1 \$0 \$0 \$0

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. Specifically, DHS Shared Services assessment for the Federal Occupational Health Clinic is reflected in this object class. The FY 2010 request has no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Supplies & materials \$98 \$118 \$118 \$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request reflects no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Equipment \$27 \$76 \$76 \$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request reflects no change.

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

PPA: PPA Name	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
11.1 Perm Positions	\$1,105	\$1,369	\$1,401	\$32
11.3 Other than perm	279	374	384	10
11.5 Other per comp	31	34	35	1
12.1 Benefits	348	342	352	10
21.0 Travel	42	94	94	---
23.1 GSA rent	80	310	299	(11)
24.0 Printing	---	11	11	---
25.1 Advisory & Assistance Services	---	15	15	---
25.2 Other Services	38	349	349	---
25.3 Purchase from Govt. Accts.	391	804	956	152
25.6 Medical care	---	2	2	---
26.0 Supplies & materials	4	7	7	---
31.0 Equipment	4	7	7	---
42.0 Indemnity	46	---	---	---
Total, Office of Counternarcotics Enforcement	\$2,368	\$3,718	\$3,912	\$194
Full Time Equivalents	12	17	17	---

PPA Mission Statement

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

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$1,763	\$2,119	\$2,172	\$53
Salaries and Benefits fund for compensation directly related to duties performed for CNE by Federal civilian employees. The FY 2010 request includes funding for a 2% pay raise, benefits, and other mandatory personnel entitlements and program increases. CNE's authorized FTE level remains at 17 FTE in FY 2010.				

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$42	\$94	\$94	\$0

Requested funds cover the travel costs of CNE Federal civilian employees, while in authorized travel status, either directly or by reimbursing the traveler. The FY 2010 request no change

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
GSA rent	\$80	\$310	\$299	(\$11)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request reflects a decrease as a result of updates to the occupancy agreements. GSA Rent is paid centrally by Working Capital Fund (WCF); CNE fully reimburses the WCF its share of the GSA Rent based on the estimated FY 2010 assessment provided by the WCF activity.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Printing \$0 \$11 \$11 \$0
 Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 request has no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Advisory and Assistance Services \$0 \$15 \$15 \$0
 Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request reflect no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Other Services \$38 \$349 \$349 \$0
 Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request includes an increase for non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Purchase from Government Accounts \$391 \$804 \$956 \$152
 Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF, DHS Shared Services, and other government agencies including interagency service requirements. The FY 2010 request includes an increase for activities within the WCF.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Medical Care \$0 \$2 \$2 \$0
 Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. Specifically, DHS Shared Services assessment for the Federal Occupational Health Clinic is reflected in this object class. The FY 2010 request has no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Supplies & materials \$4 \$7 \$7 \$0
 Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request has no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Equipment \$4 \$7 \$7 \$0
 Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request has no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Indemnity \$46 \$0 \$0 \$0
 Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2010 request has no change.

I. Changes In FTE

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

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	425	483	598
INCREASES			
Increase #1:	40	26	27
Description: Additional FTE are required to fulfill program increases in FY 2008, FY 2009 and FY 2010.			
Increase #2:	66	31	26
Description: Additional FTE required due to planned annualization.			
Increase #3:	-	58	-
Description: Additional FTE required due to annualization of late hires in FY 2008.			
Increase #4:	-	-	-
Description: Additional FTE are provided as a result of transferring the Secretary's Briefing Staff from Analysis & Operations to the Office of the Executive Secretary.			
Increase #5:	-	-	17
Description: Additional FTE are provided as a result of transferring Intergovernmental Programs from FEMA.			
Increase #6:	-	-	6
Description: Additional FTE due to reduced reliance on contractors.			
Increase #7:	-	-	4
Description: Additional FTE due to reallocation of Other Objects to salaries.			
DECREASES			
Decrease #1:	(2)	-	-
Description: assumed responsibility for the Secure Border Coordination Office in FY 2008.			
Decrease #2:	-	-	-
Description: 3 FTE are transferred from OSEM, Office of Policy to Analysis & Operations for Counterterrorism Planning.			
Decrease #3:	(59)	-	-
Description: Hiring delays early in fiscal year due to Continuing Resolution, unavailability of \$15 million pending Secretarial certification of GAO and IG relations.			
Year-end Actual/Estimated FTE	470	598	678
Net Change from prior year base to Budget Year Estimate:	45	115	80

J. FY 2009 Schedule of Working Capital Fund by Program/Project Activity

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

FY 2009 Schedule of Working Capital Fund by Program/Project Activity

(Dollars in Thousands)

Program/Project Activity	FY 2008 Actuals ^{1/}	FY 2009 Enacted	FY 2010 Request	Increase/ Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Executive Leadership and Direction ^{2/}	\$1,054	\$2,103	\$2,971	\$868
Stakeholder Relations ^{3/}	---	---	800	800
Office of Policy	3,479	7,291	8,657	1,366
Office of Public Affairs	680	1,121	1,794	673
Office of Legislative Affairs	494	894	1,496	602
Office of the General Counsel	1,760	3,301	4,366	1,065
Office for Civil Rights and Civil Liberties	2,338	3,099	3,471	372
Citizenship and Immigration Services Ombudsman	532	684	1,066	382
Privacy Office	688	850	1,375	525
Office of Counternarcotics Enforcement	360	571	712	141
Total Working Capital Fund	\$11,385	\$19,914	\$26,708	\$6,794

^{1/} Fiscal Year 2008 amounts reflect the approved FY 2008 Working Capital Fund reprogramming.

^{2/} The Executive Leadership and Direction PPA consolidates the Immediate Office of the Secretary, the Immediate Office of the Deputy Secretary, the Office of the Chief of Staff, and the Office of the Executive Secretary into a single PPA for all fiscal years.

^{3/} The Stakeholder Relations PPA is a new PPA in FY 2010. In FY 2010, \$800 thousand in new appropriation for the Office of Intergovernmental Programs.

Department of Homeland Security

Departmental Management and Operations
Office of the Secretary and Executive Management



Fiscal Year 2010
Strategic Context
Congressional Submission

FY 2010 PRESIDENT’S BUDGET STRATEGIC CONTEXT

Office of the Secretary and Executive Management

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A. Mission and Description of the Office of the Secretary and Executive Management

The Office of the Secretary and Executive Management (OSEM) supports the Department of Homeland Security (DHS) and all of its components by bolstering core management and policy and by facilitating operational integration. This enables the Department to prevent and deter terrorist attacks, protect against and respond to threats and hazards to our nation, ensure safe and secure borders, welcome lawful immigrants and visitors, and promote the free-flow of commerce. OSEM establishes and implements policy, obtains resources, and provides oversight to all entities within the Department to meet these missions. It is the responsibility of the OSEM to deliver quality customer support services while eliminating redundancies and reducing support costs. The Department continues to work toward integration and consolidation of its resources and operations to create a seamless organization that shares services, information, and best practices across previously stove-piped organizations.

B. Major Activities and Key Strategic Issues

OSEM includes 12 separate offices that individually report to the Secretary. These offices include: the Immediate Office of the Secretary; the Office of the Deputy Secretary; the Office of the Chief of Staff; the Office of Policy; the Office of the Executive Secretary; the Office of Public Affairs; the Office of Legislative Affairs; the Office of the General Counsel; the Office for Civil Rights and Civil Liberties; the Office of Citizenship and Immigration Ombudsman; the Privacy Office, and the Office of Counternarcotics Enforcement.

Immediate Office of the Secretary: The Office of the Secretary is requesting \$5,061,000 (12 FTE) in FY 2010 to continue to provide leadership, management and direction, and oversight for all of the Department's components. The Secretary serves as the top representative of the Department of Homeland Security to the President, to the Congress, and to the general public.

Immediate Office of the Deputy Secretary: The Office of the Deputy Secretary supports the Secretary by providing leadership to the Department by focusing on internal management and direction. This role ensures that the Department will operate efficiently and effectively when carrying out its mission. In FY 2010, the Office is requesting \$1,810,000 (6 FTE) to continue to provide internal oversight to all Department operations, allowing the Secretary to focus his attention on more external matters concerning the Department of Homeland Security.

Chief of Staff: The Chief of Staff is responsible for the coordination of all Department agencies, directorates, and offices. This office is responsible for the budget, information technology, and personnel functions, as well as COOP (Continuity of Operations), as they relate to the Immediate Office of the Secretary. In FY 2010, the Office is requesting \$2,595,000 (12 FTE) to continue to streamline, coordinate, and deliver initiatives and policies that will ensure our safety, response capacity, and our freedoms.

Office of Policy: The Office of Policy is responsible for the coordination of Department-wide policies, programs, and planning to ensure consistency and integration of missions throughout the Department. The Office includes the Screening Coordination Office, which works to improve DHS screening operations. In FY 2010, the Office of Policy is requesting \$61,564,000 (208 FTE) to continue its efforts, which strengthen the Department's ability to maintain policy and operational readiness necessary to protect the Homeland by providing a centralized

coordination point for developing and communicating policies across the multiple internal and external components of the Homeland Security network. The Office of Policy also interacts with other government entities, international counterparts, academics and private stakeholders.

Office of Executive Secretary: The Office of the Executive Secretary's mission is to support the Office of the Secretary in the Homeland Security mission of leading a unified national effort to secure America. Through the accurate and timely dissemination of information and written communications throughout DHS and with homeland security partners, the Executive Secretary supports all of DHS' strategic goals. In FY 2010, the Executive Secretary is requesting \$8,344,000 (55 FTE) to continue to assist the Office of the Secretary by developing, implementing, and managing business processes for written communications, briefing book materials for the Secretary and Deputy Secretary, and all White House and interagency actions. The funding requested will enable the Office to meet the Department's increasing requirements and facilitate communications among all the DHS components, thereby encouraging a unified national effort to secure America.

Office of Public Affairs: The Office of Public Affairs is responsible for oversight and management of all external and internal communications for the Department of Homeland Security. On a daily basis, the Office responds to national media inquiries, maintains and updates the Department's website, writes speeches for principals, and coordinates speaking events for Department officials across the country. Public Affairs also develops and manages various public education programs including the Ready Campaign to increase citizen preparedness. In FY 2010, the Office of Public Affairs is requesting \$6,539,000 (43 FTE) to continue to: foster strategic communication throughout the department and with external stakeholders; manage the Department's organizational identity program, which includes usage of the DHS seal and related guidelines; oversee the Department's employee communication activities; and guide overall Federal incident communication activity and coordinate with state, local, and international partners to ensure accurate and timely information to the public during a crisis

Office of Legislative Affairs: The Office of Legislative Affairs serves as the primary liaison to members of Congress and their staffs, the White House and Executive Branch, and to other Federal agencies and governmental entities that have roles in assuring national security. The Office responds to inquiries from Congress and the White House; notifies Congress about Department initiatives, policies, and programs; and keeps other governmental bodies informed concerning Homeland Security measures that affect their operations and Department actions in jointly undertaken security endeavors. In FY 2010, the Office of Legislative Affairs is requesting \$7,097,000 (36 FTE) to continue to provide timely information about Homeland Security and national security issues to members of Congress, the White House and Executive Branch, and to other Federal agencies and governmental entities. The Office will also continue to precipitate legislative support for the Departmental programs, policies and initiatives that promote a more secure nation.

Office of the General Counsel: The Office of the General Counsel is responsible for ensuring the implementation of the Department's statutory responsibilities and policies as set forth by the Administration, the Secretary, and all officials within the Department. The Office also provides legal counsel for all Departmental offices (other than those specifically excluded by regulation or directive), determines the Department's position to provide effective legal services involving

claims, protests, litigation, and alternative dispute resolution, and represents the Department in all legal forums. In FY 2010, General Counsel is requesting \$24,028,000 (101 FTE) to continue to: serve as chief legal advisor to the Secretary and as chief legal officer for the Department; ensure that the Department's efforts to secure the Nation are consistent with civil rights and liberties of all citizen; integrate approximately 1,700 lawyers into an effective, client-oriented, full-service legal team; assist in policy and operational initiative planning; coordinate with Homeland Security Council and counterparts throughout the Executive Branch; and communicate and coordinate with each component of DHS on legal matters that affect the DHS mission.

Office for Civil Rights and Civil Liberties: The Office for Civil Rights and Civil Liberties is responsible for protecting civil rights and civil liberties, providing policy advice to Departmental leadership on civil rights and civil liberties issues, and serving as an information and communication channel to the public on these issues. The Office is also responsible for overseeing the Departmental Equal Employment Opportunity (EEO) programs, and in FY 2007, it implemented a more effective processing mechanism for EEO complaints. In FY 2008, the Office continued engagement with American Arab, Muslim, Sikh, South Asian, and other ethnic and religious communities. The Office also plans to implement new training products. In FY 2010, Civil Rights and Civil Liberties is requesting \$22,104,000 (99 FTE) to fund increased staffing needs.

Citizenship and Immigration Services Ombudsman: The Citizenship and Immigration Services Ombudsman assists individuals and employers in resolving problems with United States Citizenship and Immigration Services (USCIS), identifies individual and employee problems areas within USCIS, and proposes changes to mitigate identified problems. In FY 2008, the Office completed the fourth Annual Report to Congress, which addressed 15 pervasive and serious problems and included 25 recommendations for change. In FY 2008, the Ombudsman gathered information and feedback from USCIS customers and stakeholders in an effort to improve the process for resolving problems individuals and employers face with USCIS. In FY 2010, the Office is requesting \$6,935,000 (36 FTE) to continue to initiate and expand activities to promote interagency cooperation and holistic approaches to immigration. With this in mind, Ombudsman plans to establish a Virtual Ombudsman's Office to provide for online case problem submission, improved analysis and reporting capabilities, and an electronic interface with customers and stakeholders as another avenue to share concerns and solutions.

Privacy Officer: The DHS Privacy Officer is the first statutorily mandated Privacy Officer within the Federal government. The Office ensures that appropriate access to information is consistent with the vision, strategic mission, and core values of the Department, and implements the policies of the Department to defend and protect the individual rights, liberties, and information interests of U.S. citizens. The Privacy Office has oversight of all privacy policy matters, including compliance with the Privacy Act of 1974, the Freedom of Information Act, and the completion of privacy impact statements on all new programs, as specified in the E-Government Act of 2002 and Section 222 of the Homeland Security Act. In FY 2010, the Privacy Office is requesting \$7,971,000 (36 FTE) to continue to protect the collection, use, and disclosure of personally identifiable information (PII) and Departmental information.

Office of Counternarcotics Enforcement: The Office of Counternarcotics Enforcement coordinates policy within the Department, and with other Federal, state, and local agencies with respect to stopping the entry of illegal drugs into the United States. The Office ensures the adequacy of resources within the Department and recommends the appropriate financial and personnel resources necessary to help the Department fulfill its responsibilities to stop the entry of illegal drugs into the United States. In FY 2007, Counternarcotics Enforcement worked with other components in the Department to develop a comprehensive package of policy initiatives, including the Southwest Border Counternarcotics Strategy, a Northern Border and Maritime border strategy, and an international bulk cash smuggling report. In FY 2008, the Office continued the Drug-Terror Nexus Project by reaching out to intelligence agencies and operators to ensure the rapid gathering and dissemination of intelligence. In FY 2010, Counternarcotics Enforcement is requesting \$3,912,000 (17 FTE) to continue to expand outreach to the counterdrug law enforcement community and facilitate information sharing through departmental and inter-agency working groups. The Office will also work to increase involvement in counterdrug issues related to Afghanistan and Southwest Asia. Additionally, Counternarcotics Enforcement will continue to be involved in the performance measurement system of DHS counterdrug agencies.

C. Resources Requested and Performance Impact

The Department is requesting for the OSEM a total of \$160,760,000 for 708 positions and 678 FTE in FY 2010, representing an increase of 84 positions, 80 FTE, and \$37,304,000, over the FY 2009 Enacted budget of \$123,456,000. The FY 2010 request includes adjustments to base of \$20,007,000 and program increases of \$17,297,000.

Program increases include:

- 25 positions, 13 FTE and \$15,000,000 for the Office of Policy;
- 28 positions, 14 FTE and \$2,297,000 for the Office for Civil Rights and Civil Liberties;

D. How OSEM Programs and Their Performance Goals Align to and Support the DHS Strategic Plan Objectives.

OSEM provides leadership, direction, and management to the Department. The Office establishes and implements policy, obtains resources, and provides oversight to all entities within the Department. It is the responsibility of OSEM to deliver quality customer support services while eliminating redundancies and reducing support costs. OSEM programs support the following DHS goal:

Goal Five: Strengthen and Unify DHS Operations and Management.

E. Performance Based Budget Highlights by Program ¹

The OSEM FYHSP performance goal, performance measure, budget, and FTE are:

Program: Office of the Secretary and Executive Management						
Performance Goal: Provide comprehensive leadership, oversight, and support to all components and improve the efficiency and effectiveness of the Department and its business and management services.						
Objective 5.1 Strengthen and Unify DHS Operations and Management- 71.5% allocation						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$82,700	\$125,858	\$95,336	\$97,353	\$127,229	\$160,760
FTE	361	375	469	542	599	599

Measure: Percent of DHS strategic objectives with programs that meet their associated performance targets.						
Description of Measure: This measure is defined as the total number of Department of Homeland Security (DHS) strategic objectives with programs that meet their associated performance targets. Performance data is tabulated against the 33 strategic objectives of the DHS Strategic Plan. DHS gauges its success in meeting its mission through implementation of the DHS Strategic Plan. The Strategic Plan includes strategic goals and objectives as well as strategies and programs that describe what the Department does and what the Department will accomplish. Each program is linked to the DHS strategic goals and objectives and has specific performance measures. DHS demonstrates the value and outcomes of its services through the results of program performance metrics. The performance outcomes of DHS programs essentially tell how the Department is impacting citizens, stakeholders, and customers and meeting its mission.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	44%	90%	75%	80%	85%	85%
Actual:	84.9%	69%	67%	N/A	N/A	N/A

¹ In this section, FY 2007 is based on revised enacted vice actual obligations

DIGEST OF FY 2010 BUDGET ESTIMATES BY ACTIVITY AND FYHSP PROGRAM
(dollars in thousands)

Budget Activity	FY2008 Actuals		FY2009 Enacted		FY2010 President's Budget		FY2010 Request					
							Program Changes				Other Changes	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
BUDGET ACTIVITY												
1. Office of the Secretary and Executive Management	542	97,353	599	127,229	599	160,690	0	33,161	0	17,297	0	15,864
Subtotal, Budget Authority (All Sources)	542	97,353	599	127,229	599	160,690	0	33,161	0	17,297	0	15,864
Adjustments for Other Funding Sources:												
Total enacted appropriations and budget estimates	542	97,353	599	127,229	599	160,690	0	33,161	0	17,297	0	15,864

Department of Homeland Security

*Office of the Federal Coordinator for
Gulf Coast Rebuilding*



Fiscal Year 2010
Congressional Justification

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i. Summary of FY 2010 Budget Estimates by Appropriation

Department of Homeland Security
Office of the Federal Coordinator for Gulf Coast Rebuilding
 Summary of FY 2010 Budget Estimates by Appropriation
 Total Appropriations
 (Dollars in Thousands)

Budget Activity	FY 2008 Actuals		FY 2009 Enacted		FY 2010 President's Budget		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Office of the Federal Coordinator for Gulf Coast Rebuilding	9	\$2,440	9	\$1,900	10	\$2,000	1	\$100	---	\$0	1	\$100
Net, Enacted Appropriations and Budget Estimates	9	\$2,440	9	\$1,900	10	\$2,000	1	\$100	0	\$0	1	\$100

Office of the Federal Coordinator for Gulf Coast Rebuilding
 Homeland and Non-Homeland Allocation by Program/Project Activity
 (Dollars in Thousands)

Budget Activity	2008 Actuals						2009 Enacted						2010 President's Budget					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Salaries and Expenses	6	\$1,708	3	\$732	9	\$2,440	6	\$1,330	3	\$570	9	\$1,900	7	\$1,400	3	\$600	10	\$2,000
Office of the Federal Coordinator for Gulf Coast Rebuilding	6	1,708	3	732	9	2,440	6	1,330	3	570	9	1,900	7	1,400	3	600	10	2,000
Total Direct Appropriations and Budget Estimates	6	\$1,708	3	\$732	9	\$2,440	6	\$1,330	3	\$570	9	\$1,900	7	\$1,400	3	\$600	10	\$2,000

iv: Schedule of Authorized/Unauthorized Appropriations by PPA

Department of Homeland Security
Office of the Federal Coordinator for Gulf Coast Rebuilding
 Schedule of Authorized/Unauthorized Appropriations by Program Project/Activity
 (Dollars in Thousands)

Budget Activity				
	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2010 President's Budget
	Fiscal Year	Amount	Amount	Amount
Salaries and Expenses		\$2,000	\$2,000	\$2,000
Office of the Federal Coordinator for Gulf Coast Rebuilding	2010	2,000	2,000	2,000
Total Direct Authorization/Appropriation		\$2,000	\$2,000	\$2,000

Department of Homeland Security

*Office of the Federal Coordinator for
Gulf Coast Rebuilding*



Fiscal Year 2010
Congressional Justification

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Budget Request and Supporting Information

Office of the Federal Coordinator for Gulf Coast Rebuilding

I. Appropriation Overview

A. Mission Statement for the Gulf Coast Rebuilding Office:

Executive Order 13390, as amended, created the Gulf Coast Rebuilding Office and designated a Coordinator of Federal support for the recovery and rebuilding of the Gulf Coast Region. The Coordinator is responsible for working with Federal, State and local officials to identify the priority needs for long-term rebuilding; communicating those needs to the decision makers in Washington, DC; and advising the President on the most effective, integrated and fiscally responsible Federal strategies for support of Gulf Coast recovery.

B. Budget Activities:

The Office of the Federal Coordinator for Gulf Coast Rebuilding coordinates the long-term Federal rebuilding efforts by working with State and local officials to focus on a set of prioritized, integrated and long-term initiatives to rebuild the region, such as: restoring long-term safety and security, renewing economic activity, and revitalizing communities.

The following is a list of major activities accomplished by the Office of the Federal Coordinator for Gulf Coast Rebuilding:

- Since the 2005 hurricanes, Louisiana has stressed that its top priority is rebuilding and strengthening its hurricane protection system. OFCGCR has worked with all partners, including the Corps of Engineers, to ensure that this is accomplished. The OFCGCR worked alongside the Corps and with the State of Louisiana to ensure that all agreements, including one providing 30 year repayment terms, were executed. The Corps is presently on schedule to provide 100-year hurricane protection to the greater New Orleans area.
- Facilitated the streamlining of compliance with HUD environmental and historic preservation requirements for approximately 4000 properties held by the Louisiana Land Trust (LLT) and the New Orleans Redevelopment Authority.
- Convened roundtable of experts, local officials, and local stakeholders to provide ideas to meet the affordable rental housing needs on the Gulf Coast.

C. Budget Request Summary:

The Office of the Federal Coordinator for Gulf Coast Rebuilding requests 14 positions, 10 FTE, and \$2.0 million for FY 2010. This request anticipates that a new executive order will further amend Executive Order 13390 and extend the term of this office through FY 2010. This appropriation request seeks to fully fund the Office of the Federal Coordinator program through FY 2010. Therefore, this request is an increase of 1 FTE and \$0.1 million above the FY 2009 enacted level of 14 positions, 9 FTE, and \$1.9 million.

II. Summary of FY 2010 Budget Estimates by Organization

**Department of Homeland Security
Office of the Federal Coordinator for Gulf Coast Rebuilding**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actuals		FY 2009 Enacted		FY 2010 President's Budget		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Office of the Federal Coordinator for Gulf Coast Rebuilding	9	\$2,440	9	\$1,900	10	\$2,000	1	100	---	---	1	100
Net, Enacted Appropriations and Budget Estimates	9	\$2,440	9	\$1,900	10	\$2,000	1	\$100	---	\$0	1	\$100

III. Current Services Program Description by Organization

Office of the Federal Coordinator for Gulf Coast Rebuilding Program Performance Justification

(Dollars in thousands)

OFFICE OF THE FEDERAL COORDINATOR FOR GULF COAST REBUILDING

	Perm Pos	FTE	Amount
2008 Actual	9	9	2,440
2009 President's Budget	14	9	1,900
2010 Adjustments-to-Base	0	1	100
2010 Current Services	14	10	2,000
2010 Program Change	0	0	0
2010 Request	14	10	2,000
Total Change 2009-2010	0	1	100

The Office of the Federal Coordinator for Gulf Coast Rebuilding requests 14 positions, 10 FTE, and \$2.000 million to fully fund this activity in FY 2010. This office is due to close on February 28, 2009, in accordance with Executive Order 13390, as amended by Executive Order 13463. OFCGCR anticipates that a new executive order will further amend Executive Order 13390 and extend the term of the office to the end of FY 2010.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Office of the Federal Coordinator for Gulf Coast Rebuilding (OFC) coordinates the long-term Federal rebuilding efforts by working with Federal, State and local officials to focus on a set of prioritized, integrated and long-term initiatives to rebuild the region, such as: restoring long-term safety and security, renewing economic activity, and revitalizing communities.

The Coordinator is responsible for working with the Federal, State and local officials to identify the priority needs for long-term rebuilding; communicating those needs to the decision makers in Washington, DC; and advising the President on the most effective integrated and fiscally responsible Federal strategies for support of Gulf Coast recovery.

The President created the Gulf Coast Rebuilding Office and designated a Coordinator of Federal support for the recovery and rebuilding of the Gulf Coast Region by Executive Order 13390 on November 1, 2005. Since the 2005 hurricanes, Louisiana has stressed that its top priority is rebuilding and strengthening its hurricane protection system. OFC has worked with all partners, including the Corps of Engineers, to ensure that this is accomplished. To date, the President has worked with Congress to secure more than \$7.0 billion for repair and restoration of floodwalls and levees and has committed to seeking up to \$7.4 billion in additional funding for greater New Orleans hurricane protection. In addition, OFC worked with the Louisiana delegation and other members of Congress, consistent with Administration policy priorities, to ensure that Louisiana and other Gulf States received a share of oil and gas drilling royalties, which are, in Louisiana, dedicated to hurricane protection.

IV. Program Justification of Changes

**Department of Homeland Security
Office of the Federal Coordinator for Gulf Coast Rebuilding
Justification of Program Changes
(Dollars in Thousands)**

*Office of the Federal Coordinator for Gulf Coast Rebuilding does not have any program increases for the FY 2010 CJ Submission.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Office of the Federal Coordinator for Gulf Coast Rebuilding
Appropriation Language**

For necessary expenses of the Office of the Federal Coordinator for Gulf Coast Rebuilding,
[\$1,900,000] **\$2,000,000.**

Explanation:

The proposed change to this legislative language anticipates that Executive Order 13390, as amended, will be further amended to extend the term of the Office of the Federal Coordinator for Gulf Coast Rebuilding through FY 2010.

B. FY 2008 to FY 2009 Budget Change

**Department of Homeland Security
Office of the Federal Coordinator for Gulf Coast Rebuilding**

FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actuals	9	9	\$2,440
2009 Enacted	14	9	1,900
Adjustments-to-Base			
Increases			
Annualization of prior year part year funding.....	---	1	61
Annualization of 2009 pay raise.....	---	---	15
2010 pay increase.....	---	---	24
GSA Rent.....	---	---	---
Non-pay inflation excluding GSA Rent.....	---	---	---
Working Capital Fund	---	---	---
Total Increases.....	---	1	100
Total Adjustments-to-Base	---	1	100
2009 Current Services	14	10	2,000
Program Changes			
Fully fund OFCGCR through FY 2010	---	---	---
Total Program Changes	---	---	---
2010 President's Budget	14	10	2,000
2009 to 2010 Total Change	---	1	100

C. Summary of Requirements

**Department of Homeland Security
Office of the Federal Coordinator for Gulf Coast Rebuilding**

Summary of Requirements
(Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actuals	9	9	\$2,440
2009 President's Budget	14	9	1,900
2010 Current Services	14	10	2,000
Program Changes	---	---	---
2010 Total Request	14	10	2,000
2009 to 2010 Total Change	---	1	100

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 President's Budget			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Office of the Federal Coordinator for Gulf Coast Rebuilding	14	9	\$1,900	---	1	\$100	---	---	\$---	14	10	2,000	---	1	100
Total	14	9	\$1,900	---	1	\$100	---	---	\$0	14	10	\$2,000	---	1	\$100

D. Summary of Reimbursable Resources

**Department of Homeland Security
Office of the Federal Coordinator for Gulf Coast Rebuilding**

NOT APPLICABLE

E. Summary of Requirements by Object Class

Department of Homeland Security Office of the Federal Coordinator for Gulf Coast Rebuilding

Summary of Requirements by Object Class (Dollars in Thousands)

Object Classes	FY 2008 Actuals	2009 Enacted	President's Budget	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$138	215	\$222	\$7
11.3 Other than full-time permanent	1,063	1,148	1,170	22
11.5 Other Personnel Compensation	---	56	57	1
12.1 Benefits	279	206	372	166
Total, Personnel Comp. & Benefits	\$1,480	\$1,625	\$1,821	\$196
Other Object Classes:				
21.0 Travel	293	65	65	---
23.2 Other rent	427	96	---	(96)
23.3 Communications, utilities, & other misc. charges	7	---	---	---
24.0 Printing and reproduction	---	---	---	---
25.1 Advisory and assistance services	16	25	25	---
25.2 Other services	28	30	30	---
25.3 Purchases of goods & svcs. from Gov't accounts	170	48	48	---
25.6 Medical care	2	2	2	---
26.0 Supplies and materials	16	7	7	---
31.0 Equipment	1	2	2	---
Total, Other Object Classes	\$960	\$275	\$179	(\$96)
Total, Direct Obligations	\$2,440	\$1,900	\$2,000	\$100

F. Permanent Positions by Grade

Department of Homeland Security Office of the Federal Coordinator for Gulf Coast Rebuilding

Permanent Positions by Grade

Grades and Salary Ranges	2008	2009	2010	2009 to 2010
	Actuals	President's Budget	President's Budget	Change
	Pos.	Pos.	Pos.	Total
Total, SES	2	3	3	---
Total, EX				---
GS-15	2	4	4	---
GS-14	1	2	2	---
GS-13	1	2	2	---
GS-12				---
GS-11	1	1	1	---
GS-10				---
GS-9	1	1	1	---
GS-8				---
GS-7				---
GS-6				---
GS-5				---
GS-4				---
GS-3	1	1	1	---
GS-2				---
Other Graded Positions				---
Ungraded Positions	---	---	---	---
Total Permanent Positions	9	14	14	---
Unfilled Positions EOY	5			---
Total Perm. Employment EOY	9	14	14	---
FTE	9	9	10	1
Headquarters	9	9	10	1
U.S. Field				---
Foreign Field				---
Total Permanent Positions	9	9	10	1
Average ES Salary	\$ 168,242	\$ 166,322	\$ 166,322	\$ ---
Average GS Salary	\$ 66,077	\$ 80,497	\$ 80,497	\$ ---
Average GS Grade	13.00	13.00	13.00	---

G. Capital Investment and Construction Initiative Listing

**Department of Homeland Security
Office of the Federal Coordinator for Gulf Coast Rebuilding**

NOT APPLICABLE

H. Object Class Budget Justifications

Department of Homeland Security
Office of the Federal Coordinator for Gulf Coast Rebuilding
Funding Schedule
(Dollars in Thousands)

	FY 2008 Actuals	FY 2009 Enacted	FY 2010 President's Budget	2009 to 2010 Change
Object Classes:				
11.1 Perm Positions	138	215	\$222	7
11.3 Other than perm	1,063	1,148	1,170	22
11.5 Other per comp	0	56	57	1
12.1 Benefits	279	206	372	166
21.0 Travel	293	65	65	0
23.2 Other rent	427	96	---	(96)
23.3 Communication, Utilities, and misc charges	7	---	---	0
24.0 Printing		---	---	0
25.1 Advisory & Assistance Services	16	25	25	0
25.2 Other Services	28	30	30	0
25.3 Purchase from Govt. Accts.	170	48	48	0
25.6 Medical care	2	2	2	0
26.0 Supplies & materials	16	7	7	0
31.0 Equipment	1	2	2	0
Total Office of the Federal Coordinator for Gulf Coast Rebuilding	2,440	1,900	2,000	100
Full Time Equivalents	9	9	9	9

Office of the Federal Coordinator for Gulf Coast Rebuilding Mission Statement

The Office of the Federal Coordinator for Gulf Coast Rebuilding coordinates the long-term Federal rebuilding efforts by working with Federal, State, and local officials to focus on a set of prioritized, integrated and long-term initiatives to rebuild the region such as restoring long-term safety and security, renewing economic activity and revitalizing communities. Liasse between Federal, State and local officials and advise the President and his senior leadership on the most effective, integrated, and fiscally responsible Federal strategies for supporting a full and vibrant recovery.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	President's Budget	Change
Salaries and Benefits	\$1,480	\$1,625	\$1,821	\$196

Salaries and Benefits includes costs for 10 FTE. The FY 2010 request includes an increase of 2.0 percent increase in personnel compensation.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	President's Budget	Change
Travel	\$293	\$65	\$65	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 increase has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	President's Budget	Change
Other Rent	\$427	\$96	\$0	(\$96)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. In FY 2010 OFCGCR will need to pay the Working Capital Fund for services received

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	President's Budget	Change
Communication, Utilities, and miscellaneous char	\$7	\$0	\$0	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	President's Budget	Change
Printing	\$0	\$0	\$0	\$0

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

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	President's Budget	Change
Advisory and Assistance Services	\$16	\$25	\$25	\$0

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

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	President's Budget	Change
Other Services	\$28	\$30	\$30	\$0

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	President's Budget	Change
Purchase from Government Accounts	\$170	\$48	\$48	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	President's Budget	Change
Medical Care	\$2	\$2	\$2	\$0

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2010 request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	President's Budget	Change
Supplies & materials	\$16	\$7	\$7	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	President's Budget	Change
Equipment	\$1	\$2	\$2	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request has no change.

I. Changes in Full-Time Equivalents

**Department of Homeland Security
Office of the Federal Coordinator for Gulf Coast Rebuilding**

Changes in Full-Time Equivalents

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	9	9	9
INCREASES			
Increase #1:			
Description: Anticipates President Obama issues an executive order to extend the term OFCGCR remains open to the end of FY 2010.		0	1
Sub-Total Increases	0	0	0
DECREASES			
Decrease #1:			
Description:			
Sub-Total Decreases	0	0	0
Year-end Actual/Estimated FTEs	9	9	10
Net Change from prior year base to Budget Year Estimate:	0	0	1

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity

Department of Homeland Security
Office of the Federal Coordinator for Gulf Coast Rebuilding
 FY 2010 Schedule of Working Capital Fund by Program/Project Activity
 (Dollars in Thousands)

Program/Project Activity	FY 2008 Actuals	FY 2009 Enacted	FY 2010 President's Budget	Increase/ Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Office of the Federal Coordinator for Gulf Coast Rebuilding	\$128	\$76	\$0	(\$76)
Total Working Capital Fund	\$128	\$76	\$0	(\$76)

This request anticipates that the Office of the Federal Coordinator for Gulf Coast Rebuilding (OFCGCR) will remain open in FY 2010, and therefore, will need to pay the Working Capital Fund for services received. The FY 2010 WCF payment is based on FY 200

Department of Homeland Security

Departmental Management and Operations

Under Secretary for Management



Fiscal Year 2010
Congressional Justification

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i. Summary of FY 2010 Budget Estimates by Appropriation

**Department of Homeland Security
Departmental Management and Operations
Under Secretary for Management
Summary of FY 2010 Budget Estimates by Appropriation
Total Appropriations
(Dollars in Thousands)**

Budget Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Under Secretary for Management	309	\$148,540	466	\$185,793	602	\$256,990	136	\$71,197	93	\$64,355	43	\$6,842
DHS Headquarters Project	---	4,485	---	6,000	---	6,000	0	\$0	---	---	---	---
DHS Consolidated Headquarters Project	---	---	---	---	---	75,000	0	\$75,000	---	75,000	---	---
Total Enacted Appropriations and Budget Estimates	309	\$153,025	466	\$191,793	602	\$337,990	136	\$146,197	93	\$139,355	43	\$6,842

NOTES:

FY 2008 Actuals reflect:

\$5 million reduction, P.L. 110-161

\$7.748 million transfers for unanticipated USM requirements

American Recovery and Reinvestment Act (ARRA)	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
USM - St. Elizabeth's Project			---	\$200,000								
Total	---		---	\$ 200,000								

ii: Homeland and Non-Homeland Allocation

Department of Homeland Security
Under Secretary for Management
 Homeland and Non-Homeland Allocation by Program/Project Activity
 (Dollars in Thousands)

Budget Activity	2008 Actual						2009 Enacted						2010 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Under Secretary for Management	229	\$115,672	80	\$37,353	309	\$153,025	326	\$141,829	140	\$49,964	466	\$191,793	416	\$243,271	186	\$94,719	602	\$337,990
Immediate Office of the Under Secretary for Management	5	1,515	3	1,010	8	2,525	8	1,592	5	1,062	13	2,654	8	1,718	5	1,146	13	2,864
Office of Administration	32	22,589	22	15,059	54	37,648	44	26,656	29	17,771	73	44,427	48	26,095	32	17,396	80	43,491
DHS Headquarters Project	---	4,485	---	---	---	4,485	---	6,000	---	---	---	6,000	---	6,000	---	---	---	6,000
DHS Consolidated Headquarters Project	---	---	---	---	---	---	---	---	---	---	---	---	---	45,000	---	30,000	---	75,000
Office of Human Capital	26	7,237	18	4,824	44	12,061	47	17,296	32	11,531	79	28,827	53	20,642	36	13,762	89	34,404
Office of Human Capital - Operational Initiatives and HR Management System	---	5,870	---	3,913	---	9,783	---	6,000	---	4,000	---	10,000	---	6,000	---	4,000	---	10,000
Office of Procurement	55	18,820	37	12,546	92	31,366	110	23,402	74	15,601	184	39,003	169	42,623	113	28,415	282	71,038
Office of Security	111	55,157	---	---	111	55,157	117	60,882	---	---	117	60,882	138	95,193	---	---	138	95,193
Total Direct Appropriations and Budget Estimates	229	\$115,672	80	\$37,353	309	\$153,025	326	\$141,829	140	\$49,964	466	\$191,793	416	\$243,271	186	\$94,719	602	\$337,990
Less: Adjustments for Other Funding Sources:																		
Net, Enacted Appropriations and Budget Estimates	229	115,672	80	37,353	309	153,025	326	141,829	140	49,964	466	191,793	416	243,271	186	94,719	602	337,990

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

**Department of Homeland Security
Under Secretary for Management**

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2009	10/30/2008	Explanatory Statement	October: Office of the Chief Human Capital Officer: The Office is directed to provide monthly reports to the Committees on Appropriations detailing; vacancies requested, by office, that have not been processed; vacancies announced, by office; and the amount of time after a vacancy has closed before a selection list is sent back to the requesting entity.	USM for Signature
2009	30-Nov-08	Explanatory Statement	November: Monthly Reports to the Committee - Office of the Chief Human Capital Officer: The Office is directed to provide monthly reports to the Committees on Appropriations detailing; vacancies requested, by office, that have not been processed; vacancies announced, by office; and the amount of time after a vacancy has closed before a selection list is sent back to the requesting entity.	USM for Signature
2009	30th of Every Month	Explanatory Statement	December-March: Monthly Reports to the Committee - Office of the Chief Human Capital Officer: The Office is directed to provide monthly reports to the Committees on Appropriations detailing; vacancies requested, by office, that have not been processed; vacancies announced, by office; and the amount of time after a vacancy has closed before a selection list is sent back to the requesting entity.	Pending Office Approval
2009	1-Dec-08	Explanatory Statement	CAO- Energy Shortfalls: The Secretary is directed to submit a plan by December 1, 2008, that includes estimates of the energy costs for all DHS component agencies in fiscal year 2009 and identifies how these shortfalls will be addressed.	Pending Office Approval
2009	30-Sep-09	Explanatory Statement	CAO - Greenhouse Gas Emissions: By September 30, 2009, the Secretary shall provide to Congress a detailed inventory of DHS's greenhouse gas emissions and a plan to reduce these emissions.	Pending Office Approval
2009	2/13/2009	Senate Report 110-396	CHCO : Quarterly FY09 Detailee Report - The Committee requires the Department to continue the quarterly detailee report. These reports shall be drafted in accordance with the revised guidance set forth in Senate Report 110-84.	Pending Office Approval

iv: Schedule of Authorized/Unauthorized Appropriations by PPA

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

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

Budget Activity				
	Last Year of Authorization	Authorized Level	in Last Year of Authorization	FY 2010 Request
	Fiscal Year	Amount	Amount	Amount
Immediate Office of the Under Secretary for Management				\$2,864
Office of Administration				\$43,491
DHS Headquarters Project				\$6,000
DHS Consolidated Headquarters Project				\$75,000
Office of Human Capital				34,404
Office of Human Capital - Operational Initiatives and HR Management System				10,000
Office of Procurement				71,038
Office of Security				95,193
Total Direct Authorization/Appropriation				\$337,990

Department of Homeland Security

Departmental Management and Operations

Under Secretary for Management



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

DEPARTMENTAL MANAGEMENT AND OPERATIONS UNDER SECRETARY FOR MANAGEMENT

I. Appropriation Overview

A. Mission Statement for Under Secretary of Management

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

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

B. Management Offices:

Immediate Office of Under Secretary of Management (OUSM)

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

Office of the Chief Administrative Officer (OCAO)

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

DHS Headquarters Project

Although the physical limitations of the NAC render it unsuitable as the permanent DHS headquarters, we plan to retain this property to house certain mission support functions that will not relocate to the new Consolidated DHS Headquarters Campus currently at St. Elizabeth's. Accordingly, DHS will need to continue to invest in this property to sustain our operational capabilities while St. Elizabeth's is developed and leverage those investments as we realign the overall real estate portfolio to support DHS operations and integration.

DHS Consolidated Headquarters Project

The DHS Consolidated Headquarters Project is in accordance with the DHS National Capital Region Housing Master Plan signed by the Secretary and submitted to the Congress 25 October 2006 as required by Public Law 109-295 (FY-07 Homeland Security Appropriations Act). The project will consolidate executive program leadership of the Department in a secure setting for policy, management and operational coordination to facilitate the incident management functions and command and control capabilities. The Plan also proposes to reduce the total number of locations housing DHS and component headquarters facilities, which currently stands at over 40 locations and 70 buildings scattered throughout the National Capital Region (NCR) for more efficient management.

Office of the Chief Human Capital Officer

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

Office of the Chief Procurement Officer

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

Acquisition Support and Oversight

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

Strategic Initiatives

- **Acquisition Policy and Legislation:** Responsible for developing DHS acquisition regulations and policies, developing proposed acquisition legislation, and responding to proposed acquisition related legislation.

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

Office of Small and Disadvantaged Business Utilization (OSDBU)

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

Office of Security

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

C. Budget Request Summary:

The Under Secretary for Management requests 699 positions, 602 FTE, and \$337,990,000 for the FY 2010 Request. The total adjustments-to-base is 4 positions, 43 FTE, and \$6,842,000. The program increases include 184 positions, 93 FTE, and \$139,355,000 to:

- Implement the Departmental Enterprise Records Management System. (3 positions, 2 FTE, and \$3,100,000)
- Support the consolidation of mission support elements not re-locating to the St. Elizabeth's Campus. (0 positions, 0 FTE, and \$75,000,000)
- Support the Right-sizing of Human Capital programs. (8 positions, 4 FTE, and \$3,255,000)
- Continue the Department-wide Acquisition Intern Program. (100 positions, 50 FTE, and \$7,000,000)
- Support increased needs for Select Acquisition Transactions. (24 positions, 12 FTE, and \$9,000,000)
- Implement Acquisition Policy and Oversight for DHS' acquisition programs. (20 positions, 10 FTE, and \$9,000,000)
- Meet increased Departmental personnel security adjudication needs. (9 positions, 5 FTE, and \$3,000,000)
- Support staffing for the Special Access Program Control Office (SAPCO). (20 positions, 10 FTE, and \$5,000,000)
- Meet the requirements for HSPD-12 Card Issuance. (0 positions, 0 FTE, and \$25,000,000)

II. Summary of FY 2010 Budget Estimates by Organization

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

Program/Project Activity	FY 2008 Actuals		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Immediate Office of the Under Secretary for Management	8	\$2,525	13	\$2,654	13	\$2,864	---	\$210	---	---	---	\$210
Office of Administration	54	37,648	73	44,427	80	43,491	7	-936	2	3,100	5	-4,036
DHS Headquarters Project	---	4,485	---	6,000	---	6,000	---	0	---	---	---	0
DHS Consolidated Headquarters Project	---	---	---	---	---	75,000	---	75,000	---	75,000	---	0
Office of Human Capital	44	12,061	79	28,827	89	34,404	10	5,577	4	3,255	6	2,322
Office of Human Capital - Operational Initiatives and HR Management System	---	9,783	---	10,000	---	10,000	---	0	---	---	---	0
Office of Procurement	92	31,366	184	39,003	282	71,038	98	32,035	72	25,000	26	7,035
Office of Security	111	55,157	117	60,882	138	95,193	21	34,311	15	33,000	6	1,311
Total Enacted Appropriations and Budget Estimates	309	\$ 153,025	466	\$ 191,793	602	\$ 337,990	136	\$ 146,197	93	\$ 139,355	43	\$ 6,842

American Recovery and Reinvestment Act (ARRA)	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
USM - St. Elizabeth's Project			---	\$200,000								
Total			---	\$ 200,000								

III. Current Services Program Description by Organization

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

IMMEDIATE OFFICE, US/M

	Perm Pos	FTE	Amount
2008 Actual	9	8	\$2,525
2009 Enacted	13	13	2,654
2010 Adjustments-to-Base	0	0	210
2010 Current Services	13	13	2,864
2010 Program Change	0	0	0
2010 Request	13	13	2,864
Total Change 2009-2010	0	0	210

Under Secretary for Management requests \$2.864 million for this activity. This is an increase of \$210 thousand over the FY 2009 level.

CURRENT SERVICES PROGRAM DESCRIPTION:

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

OFFICE OF CHIEF ADMINISTRATIVE OFFICER

	Perm Pos	FTE	Amount
2008 Actual	54	54	\$37,648
2009 Enacted	83	73	44,427
2010 Adjustments-to-Base	1	5	-4,036
2010 Current Services	84	78	40,391
2010 Program Change	3	2	3,100
2010 Request	87	80	43,491
Total Change 2009-2010	4	7	-936

Under Secretary for Management requests \$43.491 million for this activity. This is a decrease of \$936 thousand below the FY 2009 level.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Office of Chief Administrative Officer (OCAO) is responsible for asset management (logistics, real estate, personal property, aviation, transportation, fleet, marine vessels), mail screening and delivery, occupational safety and health, environmental planning and management, historic preservation, energy management, records, directives, forms, library services, printing and graphics for the Department as well as consolidating and optimizing the same. OCAO is also responsible for the Executive Service Center that supports the Office of the Secretary and Executive Offices.

DHS HEADQUARTERS PROJECT

	Perm Pos	FTE	Amount
2008 Actual	0	0	\$4,485
2009 Enacted	0	0	6,000
2010 Adjustments-to-Base	0	0	0
2010 Current Services	0	0	6,000
2010 Program Change	0	0	0
2010 Request	0	0	6,000
Total Change 2009-2010	0	0	0

Under Secretary for Management requests \$6.0 million for this activity. This request maintains the FY 2009 level.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Nebraska Avenue Complex (NAC) is the headquarters facility for DHS, and presence at the Complex continues to expand as well as at other locations to meet current demands. Although the physical limitations of the NAC render it unsuitable as the permanent DHS headquarters, we must sustain our operational capabilities at the NAC for effective mission execution until the new consolidated headquarters at St. Elizabeth's is constructed. We will leverage current services investments for future use of the NAC to house certain mission support functions that do not relocate to St. Elizabeth's.

DHS CONSOLIDATED HEADQUARTERS PROJECT

	Perm Pos	FTE	Amount
2008 Actual	0	0	\$0
2009 Enacted	0	0	0
2010 Adjustments-to-Base	0	0	0
2010 Current Services	0	0	0
2010 Program Change	0	0	75,000
2010 Request	0	0	75,000
Total Change 2009-2010	0	0	75,000

Under Secretary for Management requests \$75.0 million for this activity. This is an increase of \$75.0 million over the FY 2009 level.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Department of Homeland Security (DHS) National Capital Region (NCR) Housing Master Plan was developed to provide the strategic vision for facilities that support a unified department, organizational structure, operations and culture. Funds for Phase 1 of the St. Elizabeth’s Campus portion of the DHS NCR Housing Master Plan were appropriated to the U.S. Coast Guard (\$98 million) in FY 2009 and were provided in the American Recovery and Reinvestment Act (ARRA) (\$200 million to DHS and \$450 million to the General Services Administration (GSA). While St. Elizabeth’s will accommodate the main Department and Component headquarters mission execution functions, it does not have the capacity to accommodate all of the DHS mission support functions. As a result, the DHS NCR Housing Master Plan proposes to consolidate and realign the remaining functions that are currently dispersed throughout the NCR in 40 locations to support functional integration, improve effectiveness and efficient management of the real estate portfolio.

OFFICE OF THE CHIEF HUMAN CAPITAL OFFICER

	Perm Pos	FTE	Amount
2008 Actual	50	44	\$21,844
2009 Enacted	82	79	38,827
2010 Adjustments-to-Base	3	6	2,322
2010 Current Services	85	85	41,149
2010 Program Change	8	4	3,255
2010 Request	93	89	44,404
Total Change 2009-2010	11	10	5,577

Under Secretary for Management requests \$44.4 million for this activity. This is an increase of \$5.6 million and 10 FTE over the FY 2009 level.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Office of the Chief Human Capital Officer (OCHCO) provides overall management and administration for the Department’s human capital. In FY 2009, the OCHCO issued the FY 2009 – 2013 Human Capital Strategic Plan which includes four cross-cutting enterprise goals that address the human capital environment challenges and will help DHS to realize its human capital vision. In the development of the Plan, the CHCO adopted a Human Capital Planning Framework (framework) that provides a collaborative and structured approach to understanding the human capital landscape at DHS as well the development of goals and an implementation plan that are achievable, realistic and focused on strategic priorities. The alignment of the four cross-cutting enterprise goals to OCHCO programs and budgets is outlined in the table below with a description and status of the programs immediately following:

Alignment of Human Capital Enterprise Goals to OCHCO Programs and Budgets	
Human Capital Strategic Goals	Programs/Budgets
Goal 1: Talent Acquisition and Retention - Become a premier employer that attracts and retains high quality, diverse talent by investing in employees through continuous learning and cross-Component career opportunities. DHS is a culture where every employee can maximize his/her potential.	Workforce Planning Recruitment Service Excellence Salaries and Expenses Human Resources Information Technology
Goal 2: Diversity - Enhance diversity at all levels throughout DHS to better reflect the composition of the Nation so that our workforce will provide the widest range of solutions, ideas, perspectives, opportunities and decisions to protect and secure America.	Recruitment Diversity Veteran's Outreach Salaries and Expenses Human Resources Information Technology
Goal 3: Employee Learning and Development – Build enterprise-wide capabilities and systems that provide training, education and professional development opportunities that enable “Team DHS” to meet strategic, operational and tactical mission requirements.	Learning and Development Salaries and Expenses Human Resources Information Technology
Goal 4: Policy - Implement consistent but flexible enterprise-wide human capital policies, programs and practices to strengthen and unify DHS operations and management.	Workforce Planning Service Excellence Performance Culture Accountability Strategic Planning Program Management Salaries and Expenses Human Resources Information Technology

- **Salaries and Expenses:** The primary purpose of this budget is to provide funding to support personnel who are responsible for the management and oversight of Department-wide Human Capital programs and resources, to include, salaries and benefits, associated expenses such as travel, training, supplies, and shared service costs (i.e., rent, information technology, procurement, etc.).
- **Talent Management:** The purpose of this functional area is to support the workforce planning initiative to determine current and future staff needs, analyze turnover and attrition and use exit surveys to determine who is leaving the Department and why; and funding to support continued development of recruitment and diversity events to fill critical positions as well as provide opportunities to enhance retention across the Department.
 - **Workforce Planning:** Strategic workforce planning addresses two critical needs: (1) aligning an organization’s human capital program with its current and emerging mission

and programmatic goals and (2) developing long-term strategies for acquiring, developing, and retaining staff to achieve programmatic goals.

- During FY 2010, DHS will conduct competency reassessments for DHS-specific mission critical occupations (e.g. CIS, ICE, and FLETC) and government-wide mission critical occupations (e.g. IT, Acquisition, Human Resources and Leadership) and should include additional baseline competency assessments mission critical occupations. As a result of these assessments, gap closure plans and improvement plans with specific training and development interventions (e.g. online courses, classroom courses, details, rotations, etc) will be developed and implemented accordingly.
- Performance targets include consistent application of DHS Workforce Planning Guidance across Components/Offices/Directorates to ensure targeted training recruitment and compensation strategies are deployed DHS-wide. Identified competency gaps have planned training and development interventions to close gaps. Succession/Transition planning will be conducted to identify additional critical positions which need to be filled in a timely manner so as not to adversely impact the DHS mission.
- **Diversity and Recruitment and Veteran's Outreach:** The Department is committed to creating a diverse and multi-cultural organization and has made the strong commitment to workforce diversity by making recruitment and diversity a primary goal for fiscal years 2009 to 2013. While the Department has made progress during the first 5 years of its existence, the Department recognizes that improvements in the areas of diversity and recruiting a talented and skilled workforce remain a priority.
 - DHS has designated its Management Council as the de facto DHS Diversity Council. This Council is composed of top-level officials from every Component and chaired by the Under Secretary for Management. The OCHCO and the Office of Civil Rights and Civil Liberties serve as ex officio advisors. The Council meets quarterly to find ways to improve diversity across all occupations within DHS by focusing on recruitment, retention and development opportunities.
 - The Diversity Council adopted the DHS Diversity Strategy in March 2008. Through the Diversity Strategy, the Department is actively establishing formal partnerships with organizations, such as the Black Executive Exchange Program (BEEP), National Association of Hispanic Federal Executives (NAHFE) and the African American Federal Executive Association (AAFEA), to increase the Department's outreach to diverse audiences. Other goals of the Diversity Strategy include:
 - Establishing an external Diversity Outreach Advisory Forum of interested stakeholders to guide and inform DHS' diversity outreach plans and efforts
 - Prototyping diversity management training for managers and executives
 - Reviewing Senior Executive Service (SES) hiring procedures to identify potential practices and procedures, which would integrate attention to diversity in our processes
 - Issuing specific guidance to hold executives accountable for the "Diversity Advocate" competency in their performance plans

- The Department is also committed to hiring more veterans. To assist veterans seeking to continue their service to America by working for DHS, the OCHCO has created a one-stop web page with resources for veterans seeking employment. In addition, OCHCO established a Veterans Outreach Forum of external stakeholders to advise DHS on veterans outreach initiatives to increase veteran representation within DHS.
- **Performance Culture:** The purpose of this functional area is to analyze results of the Federal Human Capital Survey, implement and monitor Department and Component action plans in response to the survey; enhance a DHS-wide culture of high performance that promotes consistent cascading of organizational objectives down from formal strategic goals to individual employee performance work plans; deliver the annual Secretary’s Recognition and Award Ceremony; strengthen involvement of employee organizations and unions in the formulation of policies that impact employees; and ultimately strengthen morale and encourage common values across the Department through strong leadership support, communication, and mission accomplishment.
 - The results of the 2008 Federal Human Capital Survey (FHCS) show that DHS faces significant challenges with employee satisfaction in the areas of job satisfaction, talent management, leadership and knowledge management, and results-oriented performance culture. In FY 2010, the Department will continue to invest in numerous initiatives designed to improve upon the deficiencies and challenges identified in the surveys, including a cross-Component DHS Survey Engagement Team and working groups to lead the way and share best practices. These activities align with stated goals and activities outlined in the Future Years Homeland Security Program (FYHSP) and include:
 - Holding focus groups to determine the root causes of employee dissatisfaction;
 - Expediting hiring efforts to attract and onboard new employees more efficiently;
 - Building career ladders to provide career mobility for more positions throughout the Department;
 - Enhancing leadership training to improve the skills and flexibility of our leaders;
 - Increasing communication efforts to inform employees of key issues affecting their careers;
 - Continuing to rollout the Performance Management Program to provide consistency and build greater accountability for performance, recognition, and mission accomplishment.
- **Learning and Development:** The DHS Learning and Development Strategy (Strategy) calls for the centralization and consolidation of several DHS employee learning and professional development opportunities. This consolidation and centralization enhances consistency of training content, fosters a DHS mission-focused culture, and promotes cost savings. The Strategy includes design, development, delivery and evaluation of DHS employee learning and professional development opportunities. The overall goal of the Strategy is to grow a cadre of future leaders and offer programs and individual courses that cultivate awareness and understanding of the Department and the various missions and organizations that function together to accomplish the DHS mission. The Strategy’s initiatives are divided into four “strategic pillars” within the DHS University System and include: (1) the Preparedness Center; (2) the Leadership Institute; (3) the

Homeland Security Academy; and (4) the Center for Academic and Interagency Outreach. Through these four pillars, the following developmental programs and courses are offered:

- **Leadership development at the entry and mid-grade level:** Numerous classroom leadership development programs for non-supervisory GS10s and below and GS11s-13s have been designed, developed and delivered.
- **DHS Fellows program:** The DHS Fellows Program has already had three cohorts attend the nine-month-long program since January 2007. This program is run in concert with the Partnership for Public Service and aims to: (1) increase leadership skills and contribute to the DHS's succession planning efforts and (2) professionally develop individuals from throughout DHS who serve in key positions. Beginning in FY 2009, the Program is serving as a "feeder" for the DHS Senior Executive Service Candidate Development Programs.
- **Executive Order 13434 (National Security Professional Development):** The Department of Homeland Security as a whole, and this office in particular, are leading the interagency effort to develop a Training, Education and Professional Development program for National Security Professionals in order to obtain a baseline of professional knowledge, skills and abilities for effective intergovernmental coordination and actions during times of crisis—whether manmade or natural.
- **Rotations and mentoring programs:** In the 2007 Appropriations bill, Congress mandated that the Secretary of Homeland Security provide for a senior rotations program within DHS and this office has produced the DHS Management Directive for both Rotation and Mentoring Programs and is the OCHCO focal point for their implementation. Title 5CFR-412 mandates that Senior Executive Service (SES) Candidate Development Programs (CDPs) have rotation programs. This office is responsible for the implementation and oversight of the SES CDPs and is currently working with the Transportation Security Administration (TSA), Customs and Border Protection (CBP), and United States Secret Service (USSS) on the development and implementation of their mission-specific SES CDPs. The SES CDPs at the TSA, CBP, and USSS align with the SES CDP program offered by Leadership Institute at Department level. The Component programs are geared to the needs of employees in mission-critical occupational specialties within these Components. Employees in mission support occupational specialties within these Components are included in the department level SES CDP.
- **Federally mandated training:** DHS is in the process of standardization of its federally mandated training programs and courses by designing, developing and delivering these training programs and courses in both online and in-residence versions as needed. The standardization of programs and courses will provide offsets to the components and offices within DHS. The standard federally mandated training programs provided include: IT Security Awareness, Ethics, Anti-Discrimination/Prevention of Sexual Harassment, Constitution Day, No Fear/Whistleblower/ Thrift Savings Plan, Privacy Act, Freedom of Information Act, Equal Employment Opportunity, Information Resource Management, Critical Infrastructure Protection, Workplace Safety, GSA Smart Pay, and Customer Assistance.

- **DHS 101 program:** The DHS 101 orientation and familiarization program has been established within the Department and offered in two venues – in residence for the National Capital Region, and on-line in order to reach a nation-wide DHS workforce.
- **Service Excellence:** The purpose of this functional area is to continue to improve the HR Operational Services throughout the Department. The better our services are in terms of quality, timeliness, and consistency, the better our employees will understand and welcome the processes and their impact on the quality of work-life at DHS. Streamlining the hiring process and identifying best practices directly address one of the key Human Resource concerns expressed by employees in the Federal Human Capital Survey. In an effort to address these concerns, the OCHCO plans to:
 - Increase the skill and proficiency levels of Human Resources (HR) staff with development in critical new skills and continuing professional development in technical skills;
 - Extend the deployment of various automated HR systems eventually to include all components and enhance self service approaches;
 - Continue activities that focus on HR transactional process improvement and implement identified best practices throughout the Department based upon customer feedback, component experiences, and monitoring of Service Level Agreements; and
 - Continue exploring and expanding the feasibility of establishing other ‘shared services’ and/or ‘centers of excellence’ approaches to delivery of HR services, support, and products throughout the Department and deploy as appropriate.
- **Accountability:** The purpose of this program is to ensure that Human Capital Management Systems within the Department are assessed and measured in the areas of mission alignment, effectiveness, and efficiency; and that the systems are compliant with merit system principles, prohibited personnel practices, and current laws, rules and regulations.
 - Department-wide Human Resource Operational Audit (HROA) and Delegated Examining Unit (DEU) reviews are being conducted across the Department. The OCHCO is currently in the second year of a three year audit cycle. The reviews ensure legal and regulatory compliance, provide mechanisms for sharing best practices, and provide an immediate forum to strategize corrective actions used to overcome human capital management system barriers and program deficiencies. The Department plans to continue to conduct approximately 10-12 HROA and DEU reviews, issue reports of findings, and track follow-up activities on an annual basis.
 - The DHS Human Capital Accountability Program establishes a formal comprehensive and integrated set of human capital goals and objectives that detail the policy and program priorities and initiatives consistent with the Department’s strategic plans and annual performance goals. These goals address each of the Human Capital Assessment and Accountability Framework systems including; strategic alignment, leadership and knowledge management, results-oriented performance culture, talent management, and accountability. The HCAAF evolved from a set of Human Capital standards, issued by the Office of Personnel Management (OPM) in 2002, which were developed through a collaborative effort among OPM, the Office of Management and Budget (OMB), and the Government Accountability Office (GAO).

- **Human Resources Information Technology (HRIT):** The mission of the HRIT program is to merge and modernize the DHS HRIT infrastructure to provide flexibility and the management information that will allow DHS to continuously evolve in response to changing business, legislative and economic drivers. Consolidation will fulfill the critical need for complete visibility of all Department employees thereby enabling executives to strategically manage the workforce while supporting the Department's mission.
 - The HRIT program includes five operating enterprise solutions: TALENTLink (Recruitment), EmpowHR (Personnel), webTA (Time & Attendance), eOPF (Electronic Personnel Folders), and NFC Corporate (Payroll/Personnel). The program will expand enterprise application coverage through ongoing deployments and increase HR capabilities in order to achieve the following benefits within the Department:
 - Increase workforce productivity. Optimal mission support will result from efficient HR operations and business processes.
 - Improve leadership and operations. Modernized HR systems will greatly assist in filling vacancies within the Department and provide visibility for strategic decision-making.
 - Improve Human Capital information. Real-time, trusted and enterprise-wide human capital information is readily accessed and analyzed through a centralized business intelligence function and state of the art data integration and reporting tool.
 - Reduce risk for HRIT-led migrations. Supported by seasoned leadership with extensive experience in systems migrations, HRIT will build upon the successes and maturity gained through each subsequent migration.
 - Achieve cost savings and/or cost avoidance. Reduced maintenance costs, single vendor reliance and the vast commitment of internal resources now dedicated to the maintenance of outdated, highly customized, software will be realized through the HRIT Program.
 - In addition to expanding coverage of the operational enterprise solutions, the HRIT program will continue to conduct assessments to identify capability gaps. The gaps will result in increasing operational systems' capabilities through upgrades, or acquiring and implementing new enterprise solutions. It is expected the HRIT program will implement a new enterprise performance management system in FY2010.
 - **Strategic Planning and Program Management:** The purpose of this functional area is two-fold: (1) ensures implementation of the 2009-2013 DHS Human Capital Strategic Plan so that human capital goals are achieved and the Five-Year Human Capital Vision is realized; and (2) embeds the rigor of a mature program management operation into the day-to-day activities of the OCHCO, which would also expand program reviews to include internal controls management, risk analysis and mitigation, and contract performance/management.

OFFICE OF THE CHIEF PROCUREMENT OFFICER

	Perm Pos	FTE	Amount
2008 Actual	174	92	\$31,366
2009 Enacted	210	184	39,003
2010 Adjustments-to-Base	0	26	7,035
2010 Current Services	210	210	46,038
2010 Program Change	144	72	25,000
2010 Request	354	282	71,038
Total Change 2009-2010	144	98	32,035

Under Secretary for Management requests \$71.038 million and 282 FTE for this activity. This is an increase of \$32.035 million and 98 FTE over FY 2009.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Office of the Chief Procurement Officer (OCPO) establishes the acquisition regulations, policies and procedures for DHS. It oversees the department's acquisitions and acquisition programs and assists the acquisition community with implementing difficult or complex acquisitions to reduce risk and ensure success. The Office of the Chief Procurement Officer has implemented a centrally funded and managed Acquisition Professional Career Program modeled after the highly successful Navy Intern Program. This program features three, single year rotations through various components and provides the participants with all the experience and training they need to become journeyman level acquisition professionals.

OCPO strategically sources common items across DHS to create more efficient procurements, manages DHS' competitive sourcing actions, and reports externally on DHS' progress. OCPO is also responsible for acquisition workforce planning, centralized acquisition workforce recruitment and training; and manages the acquisition professional career program.

OFFICE OF SECURITY

	Perm Pos	FTE	Amount
2008 Actual	111	111	\$55,157
2009 Enacted	123	117	60,882
2010 Adjustments-to-Base	0	6	1,311
2010 Current Services	123	123	62,193
2010 Program Change	29	15	33,000
2010 Request	152	138	95,193
Total Change 2009-2010	29	21	34,311

Under Secretary for Management requests \$95.193 million for this activity. This is an increase of \$34.311 million and 22 FTE over FY 2009.

CURRENT SERVICES PROGRAM DESCRIPTION:

The mission of the Office of Security (OS) is to lead a collaborative security program to safeguard the Department's personnel, information, and property so the Department may secure the Homeland.

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

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

- The Administrative Security Division - develops, implements, and oversees policies, programs and standards necessary to safeguard classified and sensitive but unclassified information;
- The Counterintelligence and Investigations Division - protects DHS personnel, information and property from foreign intelligence services, terrorists, and criminals. This division also identifies, analyzes, and defends against espionage directed at DHS and conducts investigations of crimes committed against DHS personnel, property and facilities;
- The Special Security Programs Division - manages the DHS Sensitive Compartmented Information (SCI) and Special Access Programs.
- The Physical Security Division - protects DHS personnel, controls access to DHS Headquarters facilities, and safeguards against damage and theft;
- The Personnel Security Division - ensures the highest levels of confidence in DHS employee and contractor trustworthiness, loyalty, integrity, and reliability. The division conducts background investigations, makes suitability and security clearance eligibility determinations and provides oversight of personnel security policy throughout the Department;
- The Training and Operations Security Division - ensures that all DHS employees are trained to recognize and defend against threats of the Department's personnel, information, and property;
- The Operations Division- provides an accurate account of the budget, both classified and non classified. This division ensures coordination of security related budget issues with the DHS Budget Office (Office of the Financial Officer), the Office of National Director of Intelligence (IDNI), the Office of Management and Budget (OMB), the House Appropriations Committee (HAC), and the Senate Appropriations Committee (SAC). The Operations Division also completes procurement actions, which require market research and evaluations so that the government can achieve the best value and executes reimbursable agreements with other government agencies.

IV. Program Justification of Changes

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

Program Increase 1: DHS Consolidated Headquarters Project

Strategic Goal(s) & Objective(s): **Goal 5: Strengthen and Unify DHS Operations and Management**

Organization: Office of the Chief Administrative Officer

Program Increase: Positions 0 FTE 0 Dollars \$75,000

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level									\$0
Program Increase									\$ 75,000
Total Request	0	0	0	0	0	\$0	0	0	\$75,000

Description of Item:

The Department of Homeland Security (DHS) National Capital Region (NCR) Housing Master Plan was developed to provide the strategic vision for facilities that support a unified department, organizational structure, operations and culture. The Plan was submitted to the Congress October 25, 2006 as required by Public Law 109-295. The plan outlines priorities of implementation and addresses the mission fragmentation caused by the Headquarters (HQ) elements being located in over 40 locations throughout the NCR. To meet current demands and component projected needs in FY 2010 for headquarters facilities, the department will require about 8 million gross square feet (GSF) of office space in the NCR. This need has the potential to further increase to 10 million GSF by 2015 based on component estimates of growth across program areas. Actual growth needs will be addressed in a future budget submission. Funds for Phase 1 of the St. Elizabeth’s Campus portion of the DHS NCR Housing Master Plan were provided in the FY 2009 DHS Appropriation and the American Recovery and Reinvestment Act (ARRA). While St. Elizabeth’s will accommodate the main Department and Component HQ mission execution functions, it does not have the capacity to accommodate all of the DHS mission support functions. As a result, the DHS NCR Housing Master Plan proposes to consolidate and realign the remaining functions that are currently dispersed throughout the NCR to support functional integration, improve effectiveness and efficient management of the real estate portfolio.

Justification

The Department of Homeland Security (DHS) mission is to lead a unified national effort to secure America. Yet the Department's legacy facilities are dispersed throughout the National Capital Region (NCR) with sub-optimal security protections and negatively impacting critical communication, coordination, and cooperation across DHS Components.

The Department will consolidate the mission execution functions of executive leadership, operations coordination, policy development and program management in an Interagency Security Committee (ISC) Level 5 secure campus setting at St. Elizabeths. The remaining mission support functions not locating at St. Elizabeth's should also be consolidated in facilities also meeting the ISC criteria based on occupancy levels and mission criticality to reduce the risk of compromising the Department's ability to support all prevention and response activities. Consolidation will reduce the Department's overall homeland security risk by increasing the security posture for the department's assets, enhancing incident prevention, increasing interdiction of plots against the United States, and while improving overall response capability. Consolidation will also lower the total number of locations that house DHS Components to as few as possible to reduce fragmenting of component business units; and will standardize the work environment and to improve communications, coordination and cooperation across all DHS Headquarters units. Consolidating locations aims to foster a "one-DHS" culture and will optimize our prevention and response capabilities across the spectrum of operations.

This is a one time opportunity

Funding is required in the FY 2010 budget because more than 82 percent of the existing leases are expiring before FY 2015 and it may prove beneficial to replace the large volume of expiring leases in an overall consolidation in the current depressed real estate market. This is an opportunity to efficiently consolidate the DHS HQ that allows for coordinated action to procure new leased space and replace the numerous lease locations that we currently occupy. If we do not consolidate into few locations, the components will be required to recompute current leases in a less coordinated manner and at a higher overall cost than implementing the consolidation plan. The Master Plan envisions a reduction in the total number of locations from 40 down to less than 10 and a reversal of the current 70 percent leased, 30 percent federally owned distribution of real property holdings. Federal ownership provides lower total ownership costs, however complete reliance on federal ownership is not feasible due to the growth and maturing nature of the department and the need to quickly provide surge capability for new and/or expanded programs.

DHS currently has approximately 25 space requests pending with the General Services Administration (GSA) to accommodate existing requirements within the NCR that already exceed the capacities of the department's real estate portfolio. These requests coupled with the existing 40 locations have the potential to further exacerbate the challenges to the effective and efficient management of the portfolio in support of operations and integration. Without consolidation, as organizations mature and new program requirements develop, space requests will continue to be addressed with limited opportunities for strategic realignments and leveraging of existing locations.

The status quo will continue to impact the effective communications, coordination and cooperation among the headquarters and components due to the increasingly scattered nature of the portfolio. Consolidation will also contribute to a reduction in facility operation and maintenance costs and provide quality of life features and other amenities to attract and retain the best professional workforce. Consolidation will assist in developing a culture of success for DHS to achieve its mission.

Impact on Performance (Relationship of Increase to Strategic Goals)

Without the requested funds, it will be more difficult for DHS to operate as an integrated organization and responses to natural disasters or terrorist attacks will not be as coordinated, efficient as our facilities will not be aligned to support effective mission execution. Additionally, the current dispersed inventory of leased space cannot be consolidated and before FY 2015, 82 percent of the existing leases will need to be renewed or replaced without the benefits of strategically realigning the real estate portfolio to support operations and yield more effective and efficient management.. Instead of reducing the number of locations, buildings and the proximity of components to each other, the net result will be an expansion of buildings, and locations with increased dispersion. Implementation of the DHS National Capital Region (NCR) Housing Master Plan will not be achieved unless the current disintegrated legacy housing approach is corrected to allow the establishment of a common identity, supporting teamwork and a unified culture.

Funding the Mission Support Consolidation will contribute to the department more effectively achieving its mission and directly supports the Department's Organizational Excellence Strategic Goal and facilitates the Awareness, Prevention, Protection, Response and Recovery Strategic Goals through the creation of a real estate portfolio anchored by a consolidated headquarters campus at St. Elizabeth's, focused on mission execution. The funding will allow the realignment of mission support activities that will further improve and enhance organizational efficiencies and functional integration. The Department identified implementation of the DHS National Capital Region Housing Master Plan and the creation of a unified departmental headquarters as one of the top initiatives critical to establishing a common identity, supporting teamwork and a unified culture. The consolidation of off-St. Elizabeth's campus mission support functions has the potential to achieve over \$300 million Net Present Value (NPV) savings/cost avoidances through collocation of similar functions that will facilitate increased cooperation and coordination while at the same time reducing expense for items such as travel, shuttle service and mail delivery locations,, elimination of redundancies/increasing shared services and right sizing the real estate portfolio.

Program Increase 2: Enterprise Records Management System

Strategic Goal(s) and Objective(s): **Goal 5: Strengthen and Unify DHS Operations and Management**

Organization: Office of the Chief Administrative Office

Program Increase: Positions 3 FTE 2 Dollars \$3,100

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$0
Program Increase							3	2	\$3,100
Total Request	0	0	\$0	0	0	\$0	3	2	\$3,100

Description of Item

The \$3.1 million requested will provide a base implementation of a Department-wide Enterprise Records Management System (ERMS) application that will connect and manage information contained within multiple information management systems and will streamline document and email management across components and DHS headquarters operations. The ERMS system will manage all records management lifecycle through the creation, version control, user access, retention and proper disposal of the Departments records.

The ERMS system will give the Department the capability to significantly improve its ability to identify, maintain, and access needed information quickly and efficiently dispose of the rest. Duplication of records and activities toward creating and managing those records across the Department and its Components will be considerably reduced or eliminated. This should result in extensive cost savings, improved business process efficiencies, increased regulatory compliance, and reduced litigation.

Justification

Information is one of the most important assets that DHS has toward accomplishing its mission. The efficient, effective, and proper management of information is the epicenter of mission success and a solid records management program is the epicenters core. Nearly 100 percent of all DHS documents and records created by DHS headquarters, components, and field operations originate electronically and is managed through some type of information system. In addition, DHS has 51 different web portals from 12 components that generate electronic records internally and by the general public. The current paper driven records management process is incomplete, labor intensive, highly inefficient, and does not meet organizational needs. Cohabiting paper-driven process with modern technologies invalidates gained efficiencies, effectiveness, and economies of scale.

A Department-wide ERMS system will manage documents and records by streamlining the process that best fits the existing business need, reduces or eliminates duplication of information, and thereby

preventing outdated information misdirecting mission activities and resources. ERMS will provide for streamlining of information, uniformity of information handling, and standardization of records management throughout the Department. ERMS will also enable information sharing more effectively and efficiently throughout the Department and provide effective email management for all DHS users reducing the necessity for server space and reduce hardware and service costs.

The implementation of an electronic records system to manage records is necessary to ensure that DHS personnel have access to timely, accurate, and sufficient information for making day-to-day and critical decisions. Records and information management is a critical contributing factor in DHS continuity. In emergency situations, electronic access to critical information and documents necessary for action and decision-making is a key component. Without such access, business continuity could be further impeded or disrupted and critical time lost to unnecessary inefficiency.

The implementation cost of ERMS across the organization is estimated to be approximately \$17.3M over the five year period FY 2010 through FY 2014. Successful implementation of a system will result in future cost avoidance resulting from work process efficiencies gained through standardization of non-standard practices and the electronic records transfer of key documents. In addition gained work efficiencies will result in redirecting resources toward other critical mission needs. Based on measurable returns, it is estimated that with full implementation, DHS would gain efficiencies and associated cost avoidance ranging from \$26M to \$65M.

The Department of Homeland Security (DHS), Management Directorate, Administrative Services, Records Management (RM) program requires Support Services to continue forward momentum in building and strengthening the programs across the department. RM has completed its initial foundation activities and is now transitioning into an integrated program which will involve deployment of an Electronic Records Management System (ERMS). A Contractor is requested to provide technical, engineering and management services support to complete program planning, testing, selection, training and support change management in preparation of a pilot project and possible sustain the pilot members into an Operations and Maintenance (O&M) status.

Impact on Performance (Relationship of Increase to Strategic Goals)

The implementation of ERMS will mitigate the loss of mission essential and critical knowledge for department-wide operations and component specific missions. Information is the backbone of mission success. ERMS increases the efficiencies and effectiveness of information and records management and information sharing providing standardization and uniformity across the department. This increased efficiency and effectiveness within DHS operations and management strengthens the department's ability to achieve its mission and mitigates information risk during emergencies and continuity of operations.

The current paper driven, incomplete and non-standardized records management process commingled with technology driven requirements and information generation has limited DHS' ability to effectively execute mission and mission support functions. Further, the lack of compliance with records management requirements has exposed DHS to liability under FOIA and other legal requirements.

Program Increase 3: Right-Sizing Human Capital Programs

Strategic Goal(s) & Objective(s): Goal 5: Strengthen and Unify DHS Operations and Management

Organization: Office of the Chief Human Capital Officer

Program Increase: Positions 8 FTE 4 Dollars \$3,255

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$0
Program Increase							8	4	\$ 3,255
Total Request	0	0	\$0	0	0	\$0	8	4	\$ 3,255

Description of Item

The Office of the Chief Human Capital Officer is requesting \$3.3 million for eight additional positions to meet the demands and needs of a growing Department and additional funding to pay for Working Capital Fund Shared service costs.

Justification

As defined by the FY 2009-2013 DHS Human Capital Strategic Plan, the four enterprise cross-cutting goals are to: (1) become a premier employer that attracts and retains high quality and diverse talent; (2) increase diversity at all levels throughout DHS to better reflect the composition of the nation; (3) build enterprise-wide capabilities and systems that provide employee training, education and professional development opportunities; and (4) implement consistent but flexible human capital policies, programs and practices. Accordingly, the OCHCO must now tailor and expand its competencies and staffing levels to meet the increased demands and priorities of a six-year-old department. In addition, as the Department has grown in size and complexity, the need for providing suitable human resource, learning and development programs and policy has expanded.

Based on the results of the FY 2008 Federal Human Capital Survey (FHCS), out of the 37 federal agencies surveyed, DHS ranked:

- 33rd on job satisfaction
- 34th on talent management
- 35th on leadership and knowledge management
- 35th on results-oriented performance culture

Overall, DHS employees continue to like the work they do, strongly believe that the work they do is important, know how their work relates to the agency’s goals and priorities, work together to get their jobs done and are committed to their work. However, improvement is still needed in recognizing high performers, rewarding creativity and innovation, providing personal empowerment with respect to work processes, ensuring that pay raises and promotions are based on merit, and dealing with poor performers.

Within this request, the OCHCO seeks to: (1) appropriately fund its Working Capital Fund (WCF) shared service expenses; and (2) increase its authorized federal staff positions by eight. Within DHS Headquarters, WCF shared service costs have increased by 50% for OCHCO since FY 2007. These expenses include basic services such as rent, information technology seat costs, information technology infrastructure services, financial services, procurement services, human capital services, transit services, transit subsidies, mail-room service, health clinic services, eGov initiatives, employee assistance services, Flexible Spending Account (FSA) administration, subscription services, and the like. WCF shared service expenses have increased beyond standard inflation rates, and as a result, the WCF shared service expenses are under funded.

The FY 2010 federal staff positions being requested are summarized in the table below:

FY 2010 Positions Requested	
<i>Function</i>	<i>Number of Positions</i>
Accountability	2
Policy	4
Recruiting/Diversity	1
Budget Planning & Execution	1
TOTAL	8

Additional detail for the eight federal staff positions are as follows:

- Policy (4 positions) – Human Resource Specialists (GS-201-14). ***Implement consistent yet flexible enterprise-wide human capital policies, programs, and practices to strengthen and unify DHS operations and management.*** Specific duties will be to develop, implement, and evaluate corporate policy for: (1) Classification; (2) Staffing; (3) Compensation; and (4) Benefits. Currently the OCHCO is not staffed appropriately to ensure that human capital policies are developed and implemented in a manner that would enable functional integration of human capital programs across components.
- Accountability (2 positions) – Human Resource Specialists (GS-201-14). ***Drive continuous business improvements of HC programs, sharing and leveraging best practices, reciprocal information-sharing and marketing, and institutionalizing standards and metrics through the Accountability Program.*** Specific duties will be to assess Department-wide HC Programs for effectiveness, efficiency, and compliance with merit system principles, laws, and regulations. The DHS Human Capital Accountability Program establishes a formal system to ensure human capital management programs and activities support the mission and goals of the Department and are regularly assessed to determine levels of efficiency, effectiveness, and

compliance with merit system principles, laws, and regulations. This program requires appropriate levels of staff.

- Recruitment and Diversity (1 position) – Human Resource Specialist (GS-201-13/14). ***Enhance diversity at all levels throughout DHS to better reflect the composition of the Nation...*** Specific duties will be to manage outreach activities such as: (1) Diversity Recruitment; (2) Partnerships with Diversity Stakeholder Associations; (3) Diversity Advisory Forum; and others. The Department is under significant congressional pressures to improve the diversity of the senior executive leadership cadre within the Department. Based on March 2008 congressional findings, the Department is expected to sharply boost its efforts toward diversity.
- Budget Planning and Execution (1 position) – Program Analyst (GS-343-12/13). ***Ensure that OCHCO budgets are appropriately formulated and executed in accordance with federal financial regulation.*** Specific duties will be to draft budgetary exhibits for formulation, certify availability of funds, conduct monthly reconciliations, and report budgetary status. These activities support all OCHCO program requirements designed to address the human capital priorities of the Department.

Performance Impact:

An August 2006 audit report by the U.S. Office of Personnel Management (DHS HROA Audit Report FY 2006) documented the following: Employees recognize that HR staffing shortages and heavy workloads discourage proactive partnering and consulting efforts. The staffing levels of the OCHCO have been relatively flat since the 2006 report. Appropriate OCHCO staffing levels are required if the Department is to effectively develop and sustain programs to address the morale of its workforce; embed diversity into the culture; and provide the necessary infrastructure to address key workforce management challenges.

Program Increase 4: **DHS-Wide Acquisition Workforce Intern Program**

Strategic Goal(s) & Objective(s): **Goal 5: Strengthen and Unify DHS Operations and Management**

Organization: Office of the Chief Procurement Officer

Program Increase: Positions 100 FTE 50 Dollars \$7,000

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							100	100	\$15,273
Program Increase							100	50	\$ 7,000
Total Request	66	33	\$5,100	100	83	\$13,505	200	150	\$22,273

Description of Item

This program supports the President's initiative to reform federal procurement and to achieve better business outcomes. The Acquisition Intern Program also supports the Secretary's initiative to integrate the Department. This centralized intern program builds affinity with DHS as a whole as the interns rotate through three DHS operational acquisition organizations. The Department-wide Acquisition Intern Program established in FY 2008 is a three year program. The FY 2009 budget requested funding for the second year of this program continuing funding for the FY 2008 interns and added 34 new interns to begin the three year program. The 2010 request continues to grow the career field with the anticipation of 100 positions (50FTE) and \$7.0 million for the FY 2010 Intern class.

Currently there is a shortage in many of the acquisition career fields especially in the area of contracting. In addition, more than 25 percent of DHS' contracting workforce will be eligible to retire within the next three years. In an effort to combat the severe staffing shortage, the Department began a centrally funded Department-wide DHS Acquisition Intern Program in FY 2008. This allows for the recruitment of college graduates who will receive an appropriate amount of training over three years.

Justification

The base funding of \$14.3 million covers start up and operating costs for the Acquisition Professional Career Program (APCP). In FY 08, 66 positions (33 FTE) and \$5.1 million were authorized. This provided funding for recruitment, selection, salaries and benefits and the initial training for the selected interns. In FY 2009, an additional 34 positions (17 FTE) and \$3.1 million was authorized above the base amount of \$10.2 million. There are currently 48 interns in the second year of the program, 16 on board for their first year, and an additional 36 will begin the program before the end of FY 2009. The FY 2010 base funding covers the recruitment, selection, salaries and benefits, classroom training, on-the-job training, and associated travel of the program's participants. This funding supports the planned expansion of the program to its planned 3 year end strength of 300 participants by FY 2011, graduating 100 specialists annually.

Impact on Performance (Relationship of Increase to Strategic Goals)

With this funding, DHS will be able to adequately staff the various acquisition organizations. As a result, the programs will be less vulnerable to cost overruns, schedule delays, and decreased performance. The APCP is designed to operate efficiently with a throughput of 100 interns per year which equates to a total of 300 participants in the three year program. The budget request directly addresses the critical shortage in acquisition professionals. In just the contracts career field, 25 percent of DHS's 1200 contracting professionals are retirement eligible, 37 percent will be eligible within the next five years and 60 percent will be eligible within ten years. It takes a minimum of four years for an individual to gain the experience and training to independently perform the required duties for major contract actions. The funding provides for an adequately staffed, qualified acquisition workforce, allowing DHS to effectively and efficiently acquire the more than \$18 billion (more than a third of the Departments budget) in goods and services vital to mission performance. The funding will also address the DHS IG and GAO recommendation to correctly staff critical acquisition positions.

Program Increase 5: **Select Acquisitions Transactions**

Strategic Goal(s) & Objective(s): **Goal 5: Strengthen and Unify DHS Operations and Management**

Organization: Office of the Chief Procurement Officer

Program Increase: Positions 24 FTE 12 Dollars \$9,000

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$0
Program Increase							24	12	\$9,000
Total Request	0	0	0	0	0	0	24	12	\$9,000

Description of Item

The Office of Selective Acquisitions (OSA), a new contracting component within the Office of the Chief Procurement Officer (OCPO), is chartered to provide contracting and business support to DHS classified programs.

Justification

Currently, DHS had no way to properly protect sensitive information throughout the acquisition process. OSA will provide that capability and provide contracts personnel who have the appropriate clearances to understand the requirements and see the deliverables for these programs. This is a new office that is being created in FY 2010, there is no base level funding for the initiative. The Office of the Chief Procurement Officer requested 24 positions (12 FTE) and \$9.0 million to establish an office to provide contracting support for DHS's classified programs. Approximately \$4.0 million of the request is associated with the salaries and benefits for 24 FTP (12 FTE). The remainder of the requested funding (\$5.0 million) constructs the secure infrastructure and procures the secure equipment required to process classified contracting actions.

Impact on Performance (Relationship of Increase to Strategic Goals)

While OSA is located within OCPO, it provides contracting services that benefit the entire department. OSA will protect sensitive data in the acquisition process and support the directive to award contracts on a firm fixed priced basis using competitive processes. While awarding classified contracts cannot be as transparent as unclassified procurements, OSA will maximize visibility without sacrificing security.

By executing classified contracts within a secure infrastructure, OSA will prevent DHS classified programs from being vulnerable to compromise. Critical DHS initiatives, including Cyber Security,

Intelligence and Analysis programs, and Domestic Nuclear Domestic Office (DNDO) programs, can be subject to improper execution or compromise if they are implemented in an unclassified environment. The funding will provide for the building out a minimum level (Sensitive Compartmented Information Facility (SCIF) area to house the 24 Contracting Officers/Contracting Specialists with a “storage area” for secure documents as this infrastructure does not currently exist anywhere within DHS. This will also provide for information technology modifications, secure telephones and GSA approved safes. This new office within OCPO fills a significant gap at DHS. Tailored business support for classified programs, consolidated under Management, will ensure the integrity of the process and unify and strengthen DHS operations and management.

Program Increase 6: Acquisition Program Management Division

Strategic Goal(s) & Objective(s): **Goal 5: Strengthen and Unify DHS Operations and Management**

Organization: Office of the Chief Procurement Officer

Program Increase: Positions 20 FTE 10 Dollars \$9,000

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							18	18	4,653
Program Increase							20	10	\$9,000
Total Request	0	0	0	18	9	\$3,100	38	28	\$13,653

Description of Item

The Acquisition Program Management Division (APMD), located in the Office of the Chief Procurement Officer (OCPO), provides the acquisition policy and oversight for DHS’ acquisition programs. The FY 2010 budget request (\$9million) includes 20 additional governmental positions (10 FTE). While APMD is in the OCPO, it provides a service to all of the acquisition programs throughout the Department and assists in the OMB oversight of the cost, schedule and performance of the government’s major programs. These positions with the associated funding allow the Acquisition Program Management Division (APMD) to expand its oversight and support services to cover the entire portfolio of DHS’s major acquisition programs and initiatives.

Justification

Specifically, the APMD team creates the DHS process for review and analysis of each major program, provides support and assistance for programs before they become over budget or behind schedule and creates a structure to ensure that DHS acquires the correct capability to meet its mission. The team provides non-advocate assessments to DHS leadership in support of critical investment and acquisition decisions, performs oversight of program execution (conceptualization, initiation, design, development, test, contracting, production, deployment, logistics support, modification, and disposal), performs detailed reviews of major programs, provides advise and council to program management offices, and establishes acquisition policies and procedures.

OCPO requires these additional positions and funding to ensure that the Acquisition Program Management Division is fully staffed to execute its role of improving departmental acquisition performance while providing effective departmental governance and focused support to DHS's acquisition initiatives. Additionally, the FY 2010 request begins the implementation of sound and credible Life Cycle Cost Estimating best practices within DHS acquisition programs. These services will directly result in more accurate budget projections and reduced program cost overruns.

Approximately \$4.0 million of the request supports the salaries, benefits and expenses for the 20 requested additional government positions (10 FTE). The remainder of the funds provides critical unique acquisition support from Systems Engineering and Development Institute (SEDI), and Studies and Analyses Institute (SAI), Federally Funded Research and Development Centers (FFRDC) analysts. The additional resources will provide for the annual review of more than 30 of the Department's approximately 67 major programs, which are the fundamental mechanism by which DHS leadership exercises its acquisition governance responsibilities, and are required by the Department's acquisition policy. The review these programs, and the provision of the comprehensive support services detailed below to programs, will prevent the continuation of the unsatisfactory Departmental acquisition governance and overall performance noted in multiple GAO reports, DHS IG reports, and Congressional hearings.

Impact on Performance (Relationship of Increase to Strategic Goals)

This funding fully implements the Department wide Acquisition Program Management governance structure of systems, supplies, and services to synergize, strengthen, and unify all of DHS's operations and management functions. DHS currently has roughly 50 major acquisition programs that represent a Department investment of over \$55.0 billion in acquisition cost and \$86.0 billion in life cycle cost. This funding completes a team of highly experienced and specialized experts to proactively manage the acquisition portfolio. The similar function performed within the Department of Defense is staffed with more than 600 people; however, DHS requires only a 10th of the staffing and support due to the reduced number of major programs and the proposed streamline structure for program management.

The Division ensures that the Department's mission critical acquisition programs meet DHS mission requirements, progress as planned, and satisfy statutory and regulatory requirements in an efficient and effective manner. This team is vital in ensuring that the Department is a good steward of taxpayer dollars.

Program Increase 7: Personnel Security Adjudication Team

Strategic Goal(s) & Objective(s): **Goal 5: Strengthen and Unify DHS Operations and Management**

Organization: Office of Chief Security Officer

Program Increase: Positions 9 FTE 5 Dollars \$3,000

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars	Pos	FTE	Dollars	Pos	FTE	Dollars

			(\$000)			(\$000)			(\$000)
Current Services Level							23	23	11,493
Program Increase							9	5	3,000
Total Request	23	23	10,029	23	23	11,239	32	28	14,493

Description of Item

The Office of Security (OS) requests 12 positions, 6 FTE and \$3 million to create a Personnel Security Adjudication Team. The resource breakout includes \$1 million for positions and \$2 million in additional funding for background investigations.

Justification

OS will create a DHS Personnel Security Adjudication Team for deployment across the Department to address background investigations and adjudicative surges in response to critical Department hiring requirements. The adjudication team will be stationed at Headquarters, but will be available to provide adjudication services to the Department and will be temporarily assigned to components. This team will provide expert assets capabilities during extraordinary program demands, as well as trained personnel to adjudicate clearance cases across the Department.

DHS Headquarters has experienced a surge in Federal employee hiring and contract changes which resulted in an influx of contract personnel. This surge in hiring creates a backlog in the personnel security clearance process leading to delays in the hiring of Federal employees or postponement of contractor reporting dates. The requested \$2.0 million increase will provide the necessary funding to cover the increased number of background investigations for the security clearance and suitability purposes.

The Personnel Security Adjudication Team duties when assigned to a component would be to adjudicate the sudden increase of background investigations created by the mandates or disasters.

The Personnel Security Adjudication Team duties when not assigned to a component for surge help would be to assist DHS Headquarters Personnel Security Division (PSD) adjudicate the ever increasing volume of completed background investigations. The Team would adjudicate contractor investigations, suitability, national security, HSPD-12, state, local and private sector investigations, and reinvestigations.

Impact on Performance (Relationship of Increase to Strategic Goals)

In FY 2010 OS has no available programmatic performance change to cover the cost of this proposed increase. OS needs these resources to maintain expected performance outcome within the PSD.

Program Increase 8: Special Access Program Control Office (SAPCO) Staffing

Strategic Goal(s) & Objective(s): **Goal 5: Strengthen and Unify DHS Operations and Management**

Organization: Office of Chief Security Officer

Program Increase: Positions 20 FTE 10 Dollars \$5,000

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars	Pos	FTE	Dollars	Pos	FTE	Dollars

			(\$000)			(\$000)			(\$000)
Current Services Level							0	0	\$0
Program Increase							20	10	5,000
Total Request	0	0	\$0	0	0	\$0	20	10	\$5,000

Description of Item

The Office of Security (OS) requests 20 positions, 10 FTE and \$5.0 million to create a Special Access Program Control Office (SAPCO) and to expand Sensitive Compartmented Information (SCI) Oversight.

Justification

OS requests \$2.0 million for the 20 positions, \$2.0 million for a SAPCO IT systems, and \$1.0 million for office space.

The objective of the Special Access Program Control Office (SAPCO) is to develop and implement procedures for Special Access Program (SAP) governance across the Department and its Components and to provide security management oversight for DHS SAPs. Funding identified in FY 2010 will provide OS the necessary personnel to adequately staff the office and the physical resources required to effectively carry out its assigned mission. This initiative will also ensure that the Departmental SCI compliance activities are controlled and managed in an objective and independent way and assume responsibility for the Directorate Security Officers currently under the control of S&T, DNDO and I&A.

It is imperative that DHS protect SAP and SCI programs within the Department. SAP and SCI performance impact is associated with the increased workload created by the operational needs of Department. If a SAP is created in the Department or a component, then OS must have the technology and personnel to protect this program. If the Department or component generates or uses SCI, then once again OS must have the resources to protect this information. DHS SAP and SCI functions are driven by the development of programs designed to protect the homeland. Without these resources, OS will be unable to protect the programs designed to protect the homeland.

This funding initiative also provides for the implementation of a secure information technology (IT) solution for the SAPCO. This IT system would be accredited for multilevel processing of SAP information ‘at the desk-top’ and provide connectivity between DHS Headquarters, its Components, and other Executive Branch departments and agencies that intend to partner in the DHS mission. System development will be coordinated with the Office of the Chief Information Officer, and will fit into the current IT infrastructure.

Impact on Performance (Relationship of Increase to Strategic Goals)

OS requires the requested funding to conduct this critical security function. Without these resources, OS will not be able to manage the DHS SAP and SCI functions across DHS.

Program Increase 9: HSPD-12 Card Issuance

Strategic Goal(s) & Objective(s): **Goal 5: Strengthen and Unify DHS Operations and Management**

Organization: Office of Chief Security Officer

Program Increase: Positions 0 FTE 0 Dollars \$25,000

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$0
Program Increase							0	0	25,000
Total Request	0	0	\$0	0	0	\$0	0	0	\$25,000

Description of Item

The Office of Security (OS) requests \$25.0 million for the HSPD-12 Card Issuance Program.

Justification

Funds are needed to demonstrate a unified and collaborative DHS-wide effort through a component supported, centrally managed deployment approach to HSPD-12. This will help gain significant economies of scale, reducing overall program cost, through the use of shared resources and coordinated planning across components and will establish a performance based acquisition strategy that enables the Department to meet DHS and OMB milestones and timelines.

OMB has mandated the implementation of HSPD-12, requiring the issuance of smartcards to all Federal employees and contractors. The DHS deadline is October 2010. DHS cannot meet this goal without the FY 2010 requested increase of \$25.0 million. In addition to meeting the Presidential Directive mandate, implementation of HSPD-12 is critical to improving the DHS physical and cyber security posture. The smartcards will enable:

1. Assured personal identification;
2. Increased physical security; and
3. Securing of DHS networks, systems and data through smartcard logical access

The requested funds will be used to provide enterprise PKI certificates, procure enrollment / card issuance work stations, card stock, and required support for the issuance of over 300,000 smartcards by October 2010.

Impact on Performance (Relationship of Increase to Strategic Goals)

Fully implementing HSPD-12 will allow DHS to close existing and emerging threat avenues for physical and cyber attack and secure DHS critical facilities, networks, systems and data, which hinder and delay DHS's ability to secure the homeland from man-made threats and hazards.

Completion of smartcard issuance efforts will provide the infrastructure and baseline technology to support other DHS security programs. The security features of the smartcard will improve access control for DHS facilities and IT systems. The smartcard will enable DHS to more easily detect and prevent unauthorized access and to identify fraudulent or expired credentials. Additionally, implementation of the smartcard and related technologies will benefit DHS by:

- Establishing a platform for identity and access management using three factors to validate a person's identity: something you have (e.g., a token - DHS Personal Identity Verification (PIV) card); something you know (such as a PIN or password), and something that physically identifies you (e.g., a biometric, fingerprints);
- Improving physical security of DHS facilities by enabling real-time authentication of credentials and security clearances; and
- Improving DHS' preparedness and emergency response capability by identifying first responders and armed law enforcement officers.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

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

For necessary expenses of the Office of the Under Secretary for Management, as authorized by sections 701 through 705 of the Homeland Security Act of 2002 (6 U.S.C. 341 through 345), [\$191,793,000]\$337,990,000, of which not to exceed \$3,000 shall be for official reception and representation expenses: *Provided*, That of the total amount, \$6,000,000 shall remain available until expended solely for the alteration and improvement of facilities, tenant improvements, and relocation costs to consolidate Department headquarters operations at the Nebraska Avenue Complex; and \$17,131,000 shall remain available until expended for the Human Resources Information Technology program.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
Departmental Management and Operations
Under Secretary for Management
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual	398	309	153,025
2009 Enacted	511	466	191,793
Adjustments-to-Base (ATBs)			
Transfers to and from other accounts:			
Transfer to OPS for BCEP.....	(5)	(5)	(10,800)
Transfer to OSEM for Secretary's Travel.....	---	---	(9)
Total Transfers	(5)	(5)	(10,809)
Annualization of Prior Year Funding.....	9	48	12,432
Annualization of 2009 Pay Raise.....	---	---	468
FY 2010 Pay Increase.....	---	---	1,017
GSA Rent.....	---	---	472
Non-Pay Inflation excluding GSA Rent and WCF.....	---	---	---
Working Capital Fund.....	---	---	302
Working Capital Fund NCRIO Adjustment.....	---	---	2,960
TOTAL - ATBs	4	43	6,842
2010 Current Services	515	509	198,635
Program Changes			
Office of Administration			
Consolidated Headquarters Project - Lease Consolidation.....	---	---	75,000
DHS Enterprise Records Management System.....	3	2	3,100
Office of Human Capital			
Right-sizing Human Capital Programs.....	8	4	3,255
Office of Procurement			
Acquisition Workforce Intern Program.....	100	50	7,000
Select Acquisition Transactions.....	24	12	9,000
Acquisition Program Management Policy and Oversight.....	20	10	9,000
Office of Security			
Personnel Security Adjudication Team.....	9	5	3,000
Special Access Program Control Office (SAPCO) Staffing.....	20	10	5,000
HSPD-12 Card Issuance.....	---	---	25,000
TOTAL - Program Changes	184	93	139,355
2010 Request	699	602	337,990
2009 to 2010 Total Change	188	136	146,197

NOTE:

The table above excludes ARRA funding in the amount of \$200,000,000 provided in P.L 111-5.

C. Summary of Requirements

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

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	398	309	\$153,025
2009 Enacted	511	466	191,793
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	(5)	(5)	(10,809)
Increases	9	48	17,651
Decreases	---	---	---
Total Adjustments-to-Base	4	43	6,842
2010 Current Services	515	509	198,635
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	184	93	139,355
2010 Total Request	699	602	337,990
2009 to 2010 Total Change	188	136	146,197

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Immediate Office of the Under Secretary for Management	13	13	2,654	---	---	210	---	---	0	13	13	\$2,864	---	---	\$210
2 Office of Administration	83	73	44,427	1	5	(4,036)	3	2	3,100	87	80	43,491	4	7	(936)
3 DHS Headquarters Project	---	---	6,000	---	---	0	---	---	0	---	---	6,000	---	---	---
4 DHS Consolidated Headquarters Project	---	---	---	---	---	0	---	---	75,000	---	---	75,000	---	---	75,000
5 Office of Human Capital	82	79	28,827	3	6	2,322	8	4	3,255	93	89	34,404	11	10	5,577
6 Office of Human Capital - Oper. Initiatives and HR Management System	---	---	10,000	---	---	0	---	---	0	---	---	10,000	---	---	---
7 Office of Procurement	210	184	39,003	---	26	7,035	144	72	25,000	354	282	71,038	144	98	32,035
8 Office of Security	123	117	60,882	---	6	1,311	29	15	33,000	152	138	95,193	29	21	34,311
Total	511	466	191,793	4	43	6,842	184	93	139,355	699	602	337,990	188	136	146,197

D. Summary of Reimbursable Resources

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

Collections by Source	2008 Actual			2009 Enacted			2010 Request			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Security Office: U.S. Visit			591			597			609	---	---	12
Security Office: Exec. Office of the President HIDTA			97			62			63	---	---	1
Security Office: Intergrated Security Management System (ISMS)			1,000			1,020			1,040	---	---	20
Security Office: DHS Offices			---			2,152			2,195			43
Procurement Office			1			---			---	---	---	---
Administration Office: Shared Services from DHS Offices			5,792			7,053			7,194	---	---	141
Administration Office: Consolidation of Mail Operations			---			11,000			11,220	---	---	220
Human Capital Office: DHS Offices			155			---			---	---	---	---
Total Budgetary Resources	---	---	7,636	---	---	21,884	---	---	22,321	---	---	437

Obligations by Program/Project Activity	2008 Actual			2009 Enacted			2010 Request			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Office of Security			\$1,688			\$3,831			\$3,907	---	---	76
Office of Procurement Operations			\$1			\$0			\$0	---	---	---
Office of the Chief Administrative Officer			5,792			18,053			18,414	---	---	361
Office of the Chief Human Capital Officer			155			---			---	---	---	---
Total Obligations	---	---	7,636	---	---	21,884	---	---	22,321	---	---	437

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

Object Classes	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$31,412	\$46,073	\$75,738	\$29,665
11.3 Other than full-time permanent	\$740	838	970	\$132
11.5 Other Personnel Compensation	\$1,476	937	1,169	\$232
11.8 Special Service Pay	\$0	---	---	\$0
12.1 Benefits	\$8,372	13,815	22,524	\$8,709
13.0 Benefits - former	---	---	---	\$0
Total, Personnel Comp. & Benefits	\$42,000	\$61,663	\$100,401	\$38,738
Other Object Classes:				
21.0 Travel	\$612	1,104	1,153	49
22.0 Transportation of things	\$859	3,781	3,781	---
23.1 GSA rent	\$13,056	16,849	17,085	236
23.2 Other rent	\$4,160	49	49	---
23.3 Communications, utilities, & other misc. charges	\$162	7,742	5,739	(2,003)
24.0 Printing and reproduction	\$236	187	197	10
25.1 Advisory and assistance services	\$41,655	44,943	145,417	100,474
25.2 Other services	\$22,332	26,559	30,469	3,910
25.3 Purchases of goods & svcs. from Gov't accounts	\$18,580	21,059	19,262	(1,797)
25.4 Operation & maintenance of facilities	\$104	---	---	---
25.5 Research and development contracts	\$0	---	---	---
25.6 Medical care	\$39	---	---	---
25.7 Operation and maintenance of equipment	\$8,077	3,620	3,774	154
25.8 Subsistence and support of persons	\$0	---	---	---
26.0 Supplies and materials	\$1,133	1,066	1,185	119
31.0 Equipment	\$20	3,171	9,478	6,307
32.0 Land & structures	---	---	---	---
41.0 Grants/Subsidies/Contributions	---	---	---	---
42.0 Indemnity	---	---	---	---
43.0 Interest & dividends	---	---	---	---
44.0 Refunds	---	---	---	---
91.0 Unvouchered	---	---	---	---
99.0 Other	---	---	---	---
Total, Other Object Classes	111,025	130,130	237,589	107,459
Total, Direct Obligations	\$153,025	\$191,793	\$337,990	\$146,197
Total Requirements	\$153,025	\$191,793	\$337,990	\$146,197

F. Permanent Positions by Grade

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

Grades and Salary Ranges	2008	2009	2010	2009 to 2010
	Actual Pos.	Enacted Pos.	Request Pos.	Change Total
Total, SES	21	21	22	1
Total, EX	2	2	10	8

GS-15	78	78	162	84
GS-14	158	168	136	(32)
GS-13	93	98	86	(12)
GS-12	32	32	57	25
GS-11	2	2	35	33
GS-10	0	0	0	---
GS-9	6	6	89	83
GS-8	0	0	0	---
GS-7	3	100	100	---
GS-6	0	0	1	1
GS-5	1	1	0	(1)
GS-4	2	2	0	(2)
GS-3	0	0	0	---
GS-2	0	1	1	---
Other Graded Positions	0	0	0	---
Ungraded Positions	0	0	0	---
Total Permanent Positions	398	511	699	188
Unfilled Positions EOY	89	45	97	52
Total Perm. Employment EOY	309	466	602	136
FTE	309	466	602	136
Headquarters	398	511	699	188
U.S. Field	---	---	---	---
Foreign Field	---	---	---	---
Total Permanent Positions	398	511	699	188
Average ES Salary	\$ 156,500	\$ 159,617	\$ 174,945	15,328
Average GS Salary	\$ 85,300	\$ 89,377	\$ 109,905	20,528
Average GS Grade	\$ 12	\$ 13	13	---

**G. Capital Investment and Construction Initiative Listing
Not Applicable**

H. Object Class Budget Justifications

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

PPA: Immediate Office of the Under Secretary for Management (OUSM)		2008 Actuals	2009 Enacted	2010 Request	2009 - 2010 Change
Object Classes:					
11.1	Perm Positions	\$1,070	\$956	\$1,173	217
11.3	Other than perm	123	258	258	---
11.5	Other per comp	22	---	---	---
11.8	Spec Srvc Pay	---	---	---	---
12.1	Benefits	250	275	275	---
13.0	Benefits-former	---	---	---	---
21.0	Travel	24	4	12	8
22.0	Transportation of things	---	---	---	---
23.1	GSA rent	107	262	266	4
23.2	Other rent	---	---	---	---
23.3	Communication, Utilities, and misc charges	---	---	---	---
24.0	Printing	1	1	1	---
25.1	Advisory & Assistance Services	603	456	443	(13)
25.2	Other Services	84	---	---	---
25.3	Purchase from Govt. Accts.	230	431	425	(6)
25.4	Operation & maintenance of facilities	---	---	---	---
25.5	Research & Development	---	---	---	---
25.6	Medical care	1	---	---	---
25.7	Operation & maintenance of equipment	---	---	---	---
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	10	11	11	---
31.0	Equipment	---	---	---	---
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	---	---	---	---
91.0	Unvouchered	---	---	---	---
Total, OUSM		\$2,525	\$2,654	\$2,864	\$210
Full Time Equivalents		8	13	13	---

PPA Mission Statement

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

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$1,465	\$1,489	\$1,706	\$217

The FY 2010 request includes an increase of salaries and benefits of \$217,000 which represents the annualization of the 2009 pay raise at 3.9 percent and calculates the 2010 pay raise at 2.0 percent. The OUSM personnel ensures the management integration and transformation process, as well as the transition process for the efficient consolidation of functions and personnel in the Department.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Travel	\$24	\$4	\$12	\$8

Travel includes all costs of transportation of persons, subsistence of travelers and incidental travel expenses in accordance with Federal travel regulations. FY2010 increase is due to anticipated mission critical travel.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
GSA rent	\$107	\$262	\$266	\$4

GSA Rent is estimated at \$266,000 and includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Printing	\$1	\$1	\$1	\$0

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$603	\$456	\$443	(\$13)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The resources for FY 2010 support the management integration and transformation process, as well as the transition process.

	2008	2009	2010	2009 - 2010
	Actual	President's Budget	Request	Change
Purchase from Government Accounts	\$230	\$431	\$425	(\$6)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified, as well as cost reimbursements for the Working Capital Fund (WCF). The FY2010 request is \$6,000 less than FY2009 due to a reduction in services requested.

	Actual	President's Budget	Request	Change
Medical Care	\$1	\$0	\$0	\$0

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help.

	2008	2009	2010	2009 - 2010
	Actual	President's Budget	Request	Change
Supplies & materials	\$10	\$11	\$11	\$0

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

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

PPA: Office of Administration		2008	2009	2010	2009 - 2010
		Actuals	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	\$5,569	\$6,767	\$12,873	\$6,106
11.3	Other than perm	80	154	230	76
11.5	Other per comp	176	117	175	58
11.8	Spec Srvc Pay	---	---	---	---
12.1	Benefits	1,457	1,765	3,060	1,295
13.0	Benefits-former	---	---	---	---
21.0	Travel	59	44	44	---
22.0	Transportation of things	735	3,249	3,249	---
23.1	GSA rent	9,177	8,662	7,994	(668)
23.2	Other rent	4,073	49	49	---
23.3	Communication, Utilities, and misc charges	162	5,035	3,334	(1,701)
24.0	Printing	114	51	51	---
25.1	Advisory & Assistance Services	7,424	12,167	8,366	(3,801)
25.2	Other Services	1,595	1,053	453	(600)
25.3	Purchase from Govt. Accts.	3,645	4,771	3,070	(1,701)
25.4	Operation & maintenance of facilities	104	---	---	---
25.5	Research & Development	---	---	---	---
25.6	Medical care	1	---	---	---
25.7	Operation & maintenance of equipment	2,977	7	7	---
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	297	284	284	---
31.0	Equipment	3	252	252	---
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	---	---	---	---
91.0	Unvouchered	---	---	---	---
Total, Office of Administrative Services		\$37,648	\$44,427	\$43,491	(\$936)
Full Time Equivalents		54	73	80	7

PPA Mission Statement

Administrative Services functional areas include the Executive Services Center; Asset Management (logistics, real estate, personal property, aviation, transportation, fleet, marine vessels, mail screening and delivery); and Occupational Safety and Health.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Salaries and Benefits	\$7,282	\$8,803	\$16,338	\$7,535

Salaries and Benefits includes costs for 80 FTEs. The FY 2010 request includes annualization, pay raise costs, and salary and benefit costs for 2 additional FTE to support the Enterprise Records Management System.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Travel	\$59	\$44	\$44	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Transportation of Things	\$735	\$3,249	\$3,249	\$0

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
GSA rent	\$9,177	\$8,662	\$7,994	(\$668)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. FY2010 anticipated costs are \$668,000 less than FY2009

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Other Rent	\$4,073	\$49	\$49	\$0

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Communication, Utilities, and miscellaneous char	\$162	\$5,035	\$3,334	(\$1,701)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. FY2010 request is \$1,701,000 less than prior year due to reallocation of funding for higher priority mission requirements

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Printing	\$114	\$51	\$51	\$0

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$7,424	\$12,167	\$8,366	(\$3,801)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. FY2010 request is \$3,801,000 less than prior year due to reallocation of funding for higher priority mission requirements

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Other Services	\$1,595	\$1,053	\$453	(\$600)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. FY2010 request is \$600,000 less than prior year due to reallocation of funding for higher priority mission

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$3,645	\$4,771	\$3,070	(\$1,701)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. FY2010 request is \$1,701,000 less than prior year due to reallocation of funding for higher priority mission requirements

	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$104	\$0	\$0	\$0

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Medical Care	\$1	\$0	\$0	\$0

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$2,977	\$7	\$7	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$297	\$284	\$284	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Equipment	\$3	\$252	\$252	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

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

PPA: DHS Headquarters Project		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$0	\$0	\$0	\$0
11.3	Other than perm	---	---	---	---
11.5	Other per comp	---	---	---	---
11.8	Spec Srvc Pay	---	---	---	---
12.1	Benefits	---	---	---	---
13.0	Benefits-former	---	---	---	---
21.0	Travel	---	---	---	---
22.0	Transportation of things	100	---	---	---
23.1	GSA rent	---	---	---	---
23.2	Other rent	---	---	---	---
23.3	Communication, Utilities, and misc charges	---	---	---	---
24.0	Printing	---	---	---	---
25.1	Advisory & Assistance Services	1,885	400	400	---
25.2	Other Services	---	---	---	---
25.3	Purchase from Govt. Accts.	2,500	5,600	5,600	---
25.4	Operation & maintenance of facilities	---	---	---	---
25.5	Research & Development	---	---	---	---
25.6	Medical care	---	---	---	---
25.7	Operation & maintenance of equipment	---	---	---	---
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	---	---	---	---
31.0	Equipment	---	---	---	---
32.0	Land & Structures				---
41.0	Grants/Subsidies/Contributions				---
42.0	Indemnity				---
91.0	Unvouchered				---
Total, DHS Headquarters Project		\$4,485	\$6,000	\$6,000	\$0
Full Time Equivalents		---	---	---	---

PPA Mission Statement

To streamline departmental administrative functions and create a unified Department of Homeland Security, we will continue to find, design, renovate, improve, and secure a minimum number of DHS Headquarters facilities.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$1,885	\$400	\$400	\$0

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$2,500	\$5,600	\$5,600	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

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

Funding Schedule

(Dollars in Thousands)

PPA: Consolidated Headquarters Project		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$0	\$0	\$0	\$0
11.3	Other than perm	---	---	---	---
11.5	Other per comp	---	---	---	---
11.8	Spec Srvc Pay	---	---	---	---
12.1	Benefits	---	---	---	---
13.0	Benefits-former	---	---	---	---
21.0	Travel	---	---	---	---
22.0	Transportation of things	---	---	---	---
23.1	GSA rent	---	---	---	---
23.2	Other rent	---	---	---	---
23.3	Communication, Utilities, and misc charges	---	---	---	---
24.0	Printing	---	---	---	---
25.1	Advisory & Assistance Services	---	---	75,000	75,000
25.2	Other Services	---	---	---	---
25.3	Purchase from Govt. Accts.	---	---	---	---
25.4	Operation & maintenance of facilities	---	---	---	---
25.5	Research & Development	---	---	---	---
25.6	Medical care	---	---	---	---
25.7	Operation & maintenance of equipment	---	---	---	---
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	---	---	---	---
31.0	Equipment	---	---	---	---
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	---	---	---	---
91.0	Unvouchered	---	---	---	---
Consolidated Headquarters Project		\$0	\$0	\$75,000	\$75,000
Full Time Equivalents		---	---	---	---

PPA Mission Statement

To streamline departmental administrative functions and create a unified Department of Homeland Security, we will continue to find, design, renovate, improve, and secure a minimum number of DHS Headquarters facilities. The St. Elizabeth's project will consolidate executive program leadership of the Department in a secure setting for policy, management and operational coordination to facilitate the incident management functions and command and control capabilities. It will foster a "one-DHS" culture and enhance the flow/fusion of information while optimizing our prevention and response capabilities across the spectrum of operations.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$0	\$0	\$75,000	\$75,000

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. FY2010 request required to lease and complete the tenant and security improvements for Phase 1, and 50% of phase 2, of the Mission Support Consolidation in a leased commercial office building.

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

PPA: Office of Human Capital		2008	2009	2010	2009 - 2010
		Actuals	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	\$5,607	\$7,728	\$8,963	\$1,235
11.3	Other than perm	247	349	405	56
11.5	Other per comp	398	410	476	66
11.8	Spec Srvc Pay	---	---	---	---
12.1	Benefits	1,525	3,301	3,828	527
13.0	Benefits-former	---	---	---	---
21.0	Travel	116	345	362	17
22.0	Transportation of things	---	---	---	---
23.1	GSA rent	1,033	2,043	1,720	(323)
23.2	Other rent	9	---	---	---
23.3	Communication, Utilities, and misc charges	---	---	---	---
24.0	Printing	28	25	26	1
25.1	Advisory & Assistance Services	---	---	---	---
25.2	Other Services	4,682	17,793	21,572	3,779
25.3	Purchase from Govt. Accts.	3,141	3,484	3,535	51
25.4	Operation & maintenance of facilities	---	---	---	---
25.5	Research & Development	---	---	---	---
25.6	Medical care	8	---	---	---
25.7	Operation & maintenance of equipment	4,788	3,076	3,230	154
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	262	273	287	14
31.0	Equipment	---	---	---	---
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	---	---	---	---
91.0	Unvouchered	---	---	---	---
Total, OHC - Operational Initiatives		\$21,844	\$38,827	\$44,404	\$5,577
Full Time Equivalents		44	79	89	10

PPA Mission Statement

The Office of Human Capital is organized around four major initiative areas (Talent Management, Performance Culture, Learning and Development, and Service Excellence) and is responsible for the implementation of the Human Capital Operational Plan, which contains specific actionable goals in support of the Human Capital Strategic Plan, the Strategy for Developing a Homeland Security University, the Secretary's Goals, and other Executive and Legislative Branch regulations and

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Salaries and Benefits	\$7,777	\$11,788	\$13,672	\$1,884

The FY 2010 request includes an increase of salaries and benefits of \$1,884,000 which represents the annualization of the 2009 pay raise at 3.9 percent and calculates the 2010 pay raise at 2.0 percent. Also, includes salaries and benefits for 4 additional FTE to support the human capital programs.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Travel	\$116	\$345	\$362	\$17

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. FY2010 request includes an increase of \$17,000 for mission critical travel

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
GSA rent	\$1,033	\$2,043	\$1,720	(\$323)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. FY2010 request includes a reduction of \$323,000 due to a lower anticipated rent bill.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Printing	\$28	\$25	\$26	\$1

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Advisory and Assistance Services	\$0	\$0	\$0	\$0

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Other Services	\$4,682	\$17,793	\$21,572	\$3,779

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Increased funds support the human resource operational initiatives, the Learning and Development program, and human resource information technology.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Purchase from Government Accounts	\$3,141	\$3,484	\$3,535	\$51

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY2010 request is \$51,000 higher than in FY2009 due to higher priority mission

	Actual	Enacted	Request	Change
Medical Care	\$8	\$0	\$0	\$0

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Operation & Maintenance of equipment	\$4,788	\$3,076	\$3,230	\$154

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY2010 request includes \$154,000 more than FY2009 due to higher priority mission requirements.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Supplies & materials	\$262	\$273	\$287	\$14

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. FY2010 request includes \$14,000 more than FY2009 due to higher priority requirements.

Department of Homeland Security
Departmental Management and Operations
Under Secretary for Management
Office of Procurement

Funding Schedule

(Dollars in Thousands)

PPA: Office of Procurement		2008	2009	2010	2009 - 2010
Object Classes:		Actuals	Enacted	Request	Change
11.1	Perm Positions	\$9,623	\$19,200	\$38,485	\$19,285
11.3	Other than perm	201	55	55	\$0
11.5	Other per comp	296	199	199	\$0
11.8	Spec Srvc Pay	---	---		\$0
12.1	Benefits	2,453	4,993	11,014	\$6,021
13.0	Benefits-former	---	---	---	\$0
21.0	Travel	236	290	290	\$0
22.0	Transportation of things	---	---	---	\$0
23.1	GSA rent	927	2,400	3,000	\$600
23.2	Other rent	33	---	---	\$0
23.3	Communication, Utilities, and misc charges	---	---	---	\$0
24.0	Printing	33	25	34	\$9
25.1	Advisory & Assistance Services	273	2,377	3,397	\$1,020
25.2	Other Services	15,684	6,914	7,493	\$579
25.3	Purchase from Govt. Accts.	1,331	2,163	2,862	\$699
25.4	Operation & maintenance of facilities	---	---	---	\$0
25.5	Research & Development	---	---	---	\$0
25.6	Medical care	16	---	---	\$0
25.7	Operation & maintenance of equipment	---	39	39	\$0
25.8	Subsistence & Support of persons	---	---	---	\$0
26.0	Supplies & materials	260	268	300	\$32
31.0	Equipment	---	80	3,870	3,790
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	---	---	---	---
91.0	Unvouchered	---	---	---	---
Total, Office of Procurement		\$31,366	\$39,003	\$71,038	\$32,035
Full Time Equivalents		92	184	282	98

PPA Mission Statement

The OCPO reports directly to the Under Secretary for Management, and is responsible for overall management, administration and oversight assistance, strategic sourcing and competitive sourcing programs. Functions of the OCPO include: Acquisition Policy; Competitive Sourcing and Privatization: Responsible for the Department's implementation of the Federal Activities Inventory Reform, Circular A-76, and the President's Management Agenda (PMA) Competitive Sourcing Initiative; Strategic Sourcing and Acquisitions Systems: Responsible for managing the DHS strategic sourcing program and acquisition systems and data management.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Salaries and Benefits	\$12,573	\$24,447	\$49,753	\$25,306

Salaries and Benefits (29% of salaries) includes costs for 282 FTEs. This represents an increase of 98 FTE over the FY2009 request. The FY 2010 request annualizes 26 OCPO FTE, an additional 10 FTE for the Acquisition Program Management Division; an additional 50 FTE for the Acquisition Workforce Intern Program, and an additional 12 FTE for Select Acquisition Transactions.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Travel	236	290	\$290	\$0

Travel costs for FY2010 represent travel for formal training for interns and other program requirements including Investment Review Boards (IRBs), policy and oversight reviews, and professional and continuing educational training requirements for the

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
GSA rent	927	2,400	\$3,000	\$600

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services on approximately 50,000 sq ft of space in two buildings. We do not anticipate the addition of any new space for the 98 FTE, however, we do anticipate an inflationary increase in rental costs due to the annual increase in rental rates and reduction in the rental subsidy from the Office of Chief Administrative Office

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Printing	33	25	\$34	\$9

We expect to realize some savings in printing costs as the CAO leverages these expenses throughout USM. Printing is now centralized and controlled through CAO and one of the Secretary's efficiency initiatives.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Advisory and Assistance Services	273	2,377	\$3,397	\$1,020

Most of the the advisory and assistance services will be provided by federally funded research and development contracts. These FFRDS provide unique technical guidances, testing and support to the acquisition governance process. The increase in funding is associated with the expansion of the Acquisition Program Management Division (APMD) which initially stood up October 2009. Also, APMD had access to working capital funds during FY 09, but this funding is not available during FY 10 or ..

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Other Services	15,684	6,914	\$7,493	\$579

Most of the other services are associated with training the entire DHS acquisition workforce composed of more than 1,300 professionals. These funds cover developing unique DHS courses and attending commercially available courses that the work force requires to meet certification. DHS centrally manages and funds this activity to promote efficiency and avoid duplicative effort by the DHS Components.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Purchase from Government Accounts	1,331	2,163	\$2,862	\$699

The purchases from other government accounts are interagency agreements primarily with the Defense Acquisition University for acquisition training and for support from OPM to assist in hiring interns into the acquisition intern program.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Medical Care	16	---	---	\$0

OCPO does not have any direct medical care costs.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Operation & Maintenance of equipment	---	39	\$39	\$0

These funds will directly support the maintenance and repair of printers within OCPO and purchase of equipment required to process all of DHS classified contracting actions including unique computers, secure internet/intranet, telecommunication devices and other equipment.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Supplies & materials	260	268	\$300	\$32

Supplies funded to support the DHS purchase card program and to initially support increase in personnel from the FY2009 enacted level. This include office supplies, furniture and fixtures as we modernize existing facilities to fit the additional personnel within the same limited space.

Unvouchered includes expenditures made lawfully for confidential purposes, including authorized payments made by law enforcement personnel to informants, which are not subject to detailed vouchering or reporting. .

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

Office of Security

Funding Schedule

(Dollars in Thousands)

PPA: Office of Security		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	\$9,543	\$11,422	\$14,244	\$2,822
11.3	Other than perm	89	22	22	---
11.5	Other per comp	584	211	319	108
11.8	Spec Srvc Pay	---	---	---	---
12.1	Benefits	2,687	3,481	4,347	866
13.0	Benefits-former	---	---	---	---
21.0	Travel	177	421	445	24
22.0	Transportation of things	24	532	532	---
23.1	GSA rent	1,812	3,482	4,105	623
23.2	Other rent	45	---	---	---
23.3	Communication, Utilities, and misc charges	---	2,707	2,405	(302)
24.0	Printing	60	85	85	---
25.1	Advisory & Assistance Services	31,470	29,543	57,811	28,268
25.2	Other Services	287	799	951	152
25.3	Purchase from Govt. Accts.	7,733	4,610	3,770	(840)
25.4	Operation & maintenance of facilities	---	---	---	---
25.5	Research & Development	---	---	---	---
25.6	Medical care	13	---	---	---
25.7	Operation & maintenance of equipment	312	498	498	---
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	304	230	303	73
31.0	Equipment	17	2,839	5,356	2,517
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	---	---	---	---
91.0	Unvouchered	---	---	---	---
Total, Office of Security		\$55,157	\$60,882	\$95,193	\$34,311
Full Time Equivalents		111	117	138	21

PPA Mission Statement

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

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Salaries and Benefits	\$12,903	\$15,136	\$18,932	\$3,796

Salaries and Benefits includes costs for 138 FTE. The increase of 21 FTE include the annualization of 6 FTE and 15 additional FTE to support the Personnel Security Adjudication Team, the Special Access Program Control Office, Security System Support, and the K-9 and Force Protection Officer Program.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Travel	\$177	\$421	\$445	\$24

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal Travel Regulations.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Transportation of Things	\$24	\$532	\$532	\$0

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
GSA rent	\$1,812	\$3,482	\$4,105	\$623

GSA Rent estimates all payments to General Services Administration (GSA) for rental of space and rent related services.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Other Rent	\$45	\$0	\$0	\$0

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Communication, Utilities, and miscellaneous cha	\$0	\$2,707	\$2,405	(\$302)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Printing	\$60	\$85	\$85	\$0

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Advisory and Assistance Services	\$31,470	\$29,543	\$57,811	\$28,268

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Other Services	\$287	\$799	\$951	\$152

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Purchase from Government Accounts	\$7,733	\$4,610	\$3,770	(\$840)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Operation & Maintenance of equipment	\$312	\$498	\$498	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Supplies & materials	\$304	\$230	\$303	\$73

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Equipment	\$17	\$2,839	\$5,356	\$2,517

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

I. Changes In FTE

Department of Homeland Security
Departmental Management and Operations
Under Secretary for Management
Changes in Full-Time Equivalents

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	283	309	466
INCREASES			
Increase #1:			
Description: USM Program Staffing Increase	1	65	87
Increase #2:			
Description: Conversion of Contractors to FTE - Immediate Office of the USM		2	
Conversion of Contractors to FTE - Office of Human Capital		23	
Increase #3:			
Description: Annualization of prior year staffing increases	25	71	54
DECREASES			
Decrease #1:			
Description: Transfer of the CPO Grants Management program to Office of the Chief Financial Offic		(4)	
Decrease #2:			
Description: Transfer from Ops to BCEP			(5)
Year-end Actual/Estimated FTE	309	466	602
Net Change from prior year base to Budget Year Estimate:	26	111	136

J. FY2010 Schedule of Working Capital Fund by Program/Project/Activity

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

FY 2010 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	Increase / Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Immediate Office of the Under Secretary for Management	\$387	\$538	\$458	-\$80
Office of Administration	12,223	11,755	12,961	1,206
DHS Headquarters Project	---	---	---	---
Consolidated Headquarters Project	---	---	---	---
Office of Human Capital	4,044	5,527	6,304	777
Office of Human Capital - Operational Initiatives and HR Management System	---	---	---	---
Office of Procurement	2,261	4,483	5,078	595
Office of Security	4,972	8,395	9,211	816
Total Working Capital Fund	\$23,887	\$30,697	\$34,012	\$3,315

Department of Homeland Security

Departmental Management and Operations

Under Secretary for Management



Fiscal Year 2010
Strategic Context
Congressional Submission

FY 2010 PRESIDENT’S BUDGET STRATEGIC CONTEXT

UNDER SECRETARY FOR MANAGEMENT (USM)

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A. Mission and Description of the Under Secretary for Management (USM)

The Office of the Under Secretary for Management delivers quality administrative support services and provides both leadership and oversight for all departmental management functions: information technology; budget and financial management; procurement and acquisition; human capital; and administrative services. The USM delivers departmental customer services, while eliminating redundancies and reducing support costs, with the objective of improving the effective and efficient delivery of business and management services throughout the Department.

The Under Secretary for Management includes the following offices: the Immediate Office for Under Secretary for Management (USM), the Office of the Chief Administrative Officer (CAO), the DHS Consolidated Headquarters Project, the Office of the Chief Human Capital Officer (OHC), the Office of the Chief Procurement Officer (CPO), and the Office of the Chief Security Officer (OS).

B. Major Activities and Key Strategic Issues

In FY 2008, the Under Secretary for Management obligated \$153,025 (309 FTE). This funding supports the necessary functions of leading, directing, and managing the Department. In addition to providing leadership to the Department, the Under Secretary for Management is responsible for the major activities associated with budgeting, appropriations, expenditure of funds, accounting and finance, procurement, human resources and personnel, information technology systems, facilities, property, equipment and other material resources, and the identification and tracking of performance measures aligned with the mission and goals of the Department.

Immediate Office of the Under Secretary for Management: This office obligated \$2,525,000 (8 FTE) in FY 2008 and received \$2,654,000 (13 FTE) in FY 2009 to enable continued management and oversight of Directorate operations and activities. The office requests \$2,864,000 (13 FTE) in FY 2010 to focus on continued functional integration in numerous areas across the Department, and the effort to respond as a Directorate to internal requirements.

Office of the Chief Administrative Officer (OCAO): The Chief Administrative Officer is responsible for a wide variety of activities such as mail screening and delivery, courier services, shuttle and sedan drivers, personal property internal controls, facilities and space planning, occupational health and safety, environmental programs, records and forms management, directives and printing, as well as the Executive Service Center. While these activities work to coordinate and direct these functions across the Department, the office is also responsible for providing operating support for these functions at the headquarters (HQ), where most of the current resources are used.

Historically, the CAO has assigned any increases in staffing into the program areas. As a result, the existing program offices are strained in performing their functions by attempting to perform various administrative and program support duties that provide internal support and coordination. The staff requested will cover a broad range of programs and activities to support overall accountability and performance.

FY 2008 Accomplishments: Funding obligated for FY 2008 was \$37,648,000 (54 FTE). These resources enabled CAO to support HQ operations and start up Organizational Elements, as well as maintain the DHS HQ emergency preparedness program.

FY 2009 Planned Accomplishments: Funding enacted for FY 2009 is \$44,427,000 (73 FTE). Administrative Services will bolster the Headquarters Administrative Operation Support Services in order to better align CAO's organizational structure with DHS Headquarters operations and start up components. CAO will also measure performance for all Administrative Services functions for all components.

FY 2010 Projected Accomplishments: The FY 2010 request is for \$43,491,000 (80 FTE). This will fund current services, including support for shared services, mail screening and delivery for DHS Headquarters, occupational health and safety, and environmental programs. This funding also supports the Enterprise Records Management System initiative.

DHS Headquarters Project: The Headquarters Project supports continued operations at all DHS Headquarters locations, including the Nebraska Avenue Complex.

FY 2008 Accomplishments: Funding obligated for FY 2008 was \$4,485,000. These resources supported Headquarters facilities requirements at multiple locations, including the completion of occupancy plans for the Nebraska Avenue Complex (NAC) and remaining work on security upgrades. This included: security improvements and minor alterations at DHS HQ facilities; planning and initial cost for consolidation of back office functions and organizations; and planning and initial costs for establishing a permanent HQ facility.

FY 2009 Planned Accomplishments: Funding received for FY 2009 is \$6,000,000. CAO will continue to work with GSA to maintain all Headquarters facilities, including the Nebraska Avenue Complex (NAC). Maintaining the NAC will enable the Department to relocate and consolidate those functions that are not scheduled to relocate to St. Elizabeths, ultimately achieving cost savings and further integrating operations.

FY 2010 Projected Accomplishments: The FY 2010 request is for \$6,000,000. This will support continued maintenance for all Headquarters facilities, including the Nebraska Avenue Complex (NAC). CAO plans to make necessary upgrades to mechanical systems, complete necessary building renovations, and make other system improvements.

HS Consolidated Headquarters Project: Although the Department will maintain a presence at the Nebraska Avenue Complex, the facility is not sufficient to support all of the Department's needs. For this reason, the Department plans to secure and strengthen operations by unifying core headquarters facilities with those of operating components. GSA has identified the St. Elizabeths West Campus as the only site available in the National Capital Region to meet the Department's minimum consolidation needs and time requirements. Consolidating will achieve the following objectives: improve mission effectiveness; promote a unified DHS organization; increase organizational efficiency; size the real estate portfolio to accurately fit the mission of DHS; reduce real estate occupancy costs.

Funding for FY 2008 and FY2009 is \$0. CAO worked with GSA to rebase line the construction profile and provided timely information regarding the project to Department and Congressional leadership. CAO also continued design of the first phase of the St. Elizabeths project.

FY 2010 Projected Accomplishments: The FY 2010 program request is for \$75,000,000 (0 FTE). CAO will maintain current leases and provide mission support for the consolidation of DHS Headquarters in line with the St. Elizabeth's West Campus development project.

Office of Human Capital: The Office of Human Capital (OHC) provides overall management and administration of the Department's human resources-related operations. OHC is organized around four major areas (Talent Management & Accountability; Workforce Relations & Performance Culture; Learning & Development; and Recruiting, Staffing and Services) and is responsible for establishing policy and procedures for these areas, as well as providing oversight, guidance and leadership within the Department.

FY 2008 Accomplishments: Funding obligated for FY 2008 was \$21,844,000 (44 FTE). These funds supported activities that began in FY 2006 and enabled OHC to begin implementing the FY 2007-2008 Human Capital Operational Plan (HC Plan), which focuses on five key priorities designed to improve the Department's ability to hire and retain the talent needed to achieve its vital mission. In support of the HC Plan, OHC accomplished much in FY 2008, including: adopting a Department-wide hiring model to increase hiring efficiencies; developing a DHS corporate recruitment strategy; and working with the Partnership for Public Service to create consistent and effective job postings, a corporate brand and tailored marketing language; completed training for over 14,500 supervisors, managers and executives on performance leadership; implementing plans to aggressively address weaknesses indicated by the Federal Human Capital Survey; and deploying the DHS Performance Management Program to approximately 16,000 supervisors, managers and employees.

FY 2009 Planned Accomplishments: Funding received for FY 2009 is \$38,827,000 (79 FTE). These funds will allow OHC to continue ongoing policy and program requirements in each of its four major areas (Talent Management & Accountability; Workforce Relations & Performance Culture; Learning & Development; and Recruiting, Staffing and Services), including the continued implementation of critical HC Plan initiatives. Specifically, OHC will be able to: deploy an enterprise-wide e-Recruitment solution, streamline hiring procedures and implement approved action steps; assess the skill level of employees in mission critical occupations, determine gaps, and institute hiring and retention initiatives; conduct robust diversity outreach activities; provide training for managers and HR professionals on hiring and retention flexibilities; continue leadership succession planning and transition planning efforts; establish targeted DHS recruitment initiatives to attract students, mid-career professionals, senior professionals and veterans; assist the remaining 92,500 non-bargaining (NBU) employees with their transition to the DHS Performance Management Program; continue to respond to organizational weaknesses identified through employee surveys and focus groups; continue building a DHS University system; continue promoting improvements in service excellence, process improvement, metrics and analysis, etc. in order to pursue organizational efficiency and cost avoidance; and assess weaknesses in HR programs across DHS and identify violations through Human Resource Operational Audit and Delegated Examining reviews Department-wide.

FY 2010 Projected Accomplishments: In FY 2010, OHC requests \$44,404,000 (89 FTE). OHC will use this funding to continue to support the Learning and Development Strategy, which seeks to train the workforce through the Preparedness Center, the Leadership Institute, the Homeland Security Academy, and the Center for Academic and Interagency Outreach. OHC will also use requested funding to support the Right-sizing of Human Capital programs. Furthermore, DHS will

invest in diversity, recruitment, and retention programs to ensure the Department has the workforce it needs to achieve its mission.

Chief Procurement Office: The Office of Procurement (CPO) is responsible for the overall management, administration, and oversight of department-wide acquisitions, strategic sourcing, and competitive sourcing programs, including direct management and oversight of the Office of Procurement Operations. The office is responsible for developing DHS acquisition regulations and policies; workforce planning; and oversight and performance management of the CPO infrastructure.

FY 2008 Accomplishments: Funding obligated for FY 2008 was \$31,366,000 (92 FTE). With these resources, CPO implemented the DHS Acquisition Oversight Program and increased support to procurement operations to implement more efficient procurement operations and strategic sourcing teams.

FY 2009 Planned Accomplishments: Funding received for FY 2009 is \$39,003,000 (184 FTE). CPO will build the DHS acquisition workforce, including the DHS Acquisition Workforce Intern Program, and establish an acquisition system whereby each requirement has a well defined mission and a management team.

FY 2010 Projected Accomplishments: CPO requests \$71,038,000 (282 FTE) in FY 2010. CPO plans to continue and grow the Acquisition Workforce Intern Program, implement Acquisition Policy and Oversight for DHS' acquisition programs, support increased needs for Selective Acquisition Transactions, and assume responsibility for Investment Review across the Department.

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

FY 2008 Accomplishments: Funding obligated for FY 2008 was \$55,157,000 (111 FTE). With these resources, OS continued to streamline the personnel security process significantly reducing the average turnaround time for background investigations. OS also implemented Computer Based Training (CBT) covering several security areas, and provided security awareness training to state and local officials.

FY 2009 Planned Accomplishments: Funding received for FY 2009 funding is \$60,882,000 (117 FTE). OS will provide security support at State and Local Fusion Centers to ensure that data shared with state and local partners remains secure. OS will also continue to fully implement HSPD-12, to initiate a transition from a startup to operational mode, and identify and establish minimum security requirements for Federal facilities.

FY 2010 Projected Accomplishments: OS requests \$95,193,000 (138 FTE) for FY 2010. OS plans to bolster its personnel adjudication team to meet increased Departmental needs, support staffing for a Special Access Program Control Office (SAPCO), and continue current services.

C. Resources Requested and Performance Impact

In FY 2010, the Under Secretary for Management requests 699 positions, 602 FTE, and \$337,990,000 for the FY 2010 Request. The total adjustments-to-base is 4 positions, 43 FTE, and \$6,842,000. The program increases include 184 positions, 93 FTE, and \$139,355,000.

Major Changes within the Base level

CAO is transferring \$10,800,000 to OPS for Continuity of Operations oversight. USM is also transferring \$9,000 to the Office of the Secretary and Executive Management for the Secretary's travel.

Increments over current service level

DHS Consolidated Headquarters Project: The FY 2010 request of \$75,000,000 (0 FTE) provides the base level funding to support the DHS Consolidated HQ campus at St. Elizabeth's.

DHS Enterprise Records Management System: The FY2010 request of \$3,100,000 (2 FTE) provides the base level funding to support the implementation of the Enterprise Records Management System.

Office of Human Capital: The FY 2010 request includes an additional \$3,255,000 (4 FTE) to support the initiation of the Right-sizing of Human Capital programs.

Chief Procurement Office: The FY 2010 request includes an additional \$7,000,000 (50 FTE) to continue the DHS Acquisition Workforce Intern Program to recruit, train, certify, and retain an appropriate workforce of acquisition professionals. The CPO also requests \$9,000,000 (12 FTE) to implement Acquisition Policy and Oversight for DHS' acquisition programs, and \$9,000,000 (10 FTE) to support increased needs for Select Acquisition Transactions.

Office of Security (OS): The FY 2010 request includes \$3,000,000 (5 FTE) to bolster its personnel adjudication team to meet increased Departmental needs, \$5,000,000 (10 FTE) to support staffing for a Special Access Program Control Office (SAPCO), and \$25,000,000 (0 FTE) for HSPD-12 Card Issuance program.

D. How USM and Its Performance Goals Align to and Support the DHS Goals and Objectives.

The Under Secretary for Management and its performance goal is followed by the DHS goal it supports.

Under Secretary for Management – Consolidate support services under the control of the Department of Homeland Security in order to maximize management efficiencies and ensure continuity of services in the near term.

Goal 5 – Strengthen and Unify DHS Operations and Management

Strategic Objective 5.1- Improve Department Governance and Management

E. Performance Based Budget Highlights by Program

For each major program, the performance goal, main performance measure/s, indicators, budget including allocation of non-programmatic overhead, and FTE are shown below.

Program: Departmental Management and Operations						
Performance Goal: Provide comprehensive leadership, oversight, and support to all components and improve the efficiency and effectiveness of the Department and its business and management services.						
DHS strategic objectives supported and % allocation of activities: 5.1 Improve Department Governance and Performance, 100% Allocation						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$147,853	\$167,147	\$149,540	\$153,025	\$191,793	\$337,990
FTE	173	265	283	309	466	602

Performance Plan Measures

Measure: Attrition rate for career Senior Executive Service personnel						
Description of Measure: This measure reflects the number of career Senior Executive Service who depart from the Department of Homeland Security due to retirements, transfers, resignations, and deaths. The Senior Executive Service plays a critical role as a central coordinating point between the Government's political leadership which sets the political agenda and the line workers who implement it. Managing the attrition rate for the Senior Executive Service is critical to maintaining a cadre of qualified leaders.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	11.5%	10.5%	10%
Actual:	None	None	None	11%	N/A	N/A

Measure: Number of civilian employees serving in the DHS interagency and intradepartmental Rotation Training Program						
Description of Measure: This measure counts the number of Department of Homeland Security (DHS) Federal civilian employees who are serving in various rotational assignments as part of their career development program. The measure captures the extent to which a cadre of future leaders is being developed with a unified culture of "Team DHS" and broad exposure to the various missions, goals, and responsibilities of the organization. It is expected that serving in Rotational Assignments will enable future Department leaders to lead a more unified and collaborative effort to secure America.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	265	530	795
Actual:	None	None	None	None	N/A	N/A

Measure: Percent of civilian employees in designated positions that are qualified as National Security Professionals						
Description of Measure: This measure reflects the percent of civilian Federal employees within the Department of Homeland Security serving in National Security Professional designated positions that have completed baseline (Level 1) Awareness training. National Security Professionals fill mission - essential/critical duty positions due to their involvement in incidents of regional and national significance, and are responsible for developing national security strategies, creating plans to implement those strategies, and executing common missions in						

support of national objectives. By completing Awareness training, these individuals gain a basic exposure to a variety of key topics to prepare them to understand the authorities, missions, requirement, capabilities and operations associated with preparing for and responding to an emergency.

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	None	30%	60%
Actual:	None	None	None	None	N/A	N/A

Measure: Percent of favorable responses by DHS employees on the annual employee survey

Description of Measure: This measure reflects the average percent of positive responses to the 39 questions which make up the four Human Capital Assessment and Accountability Framework Indices (HCAAF) on the annual employee survey. The U.S. Office of Personnel Management (OPM) has determined the make up of the four HCAAF Indices as: Leadership and Knowledge Management; Results - Oriented Performance Culture; Talent Management; and Job Satisfaction. Employee surveys are conducted annually to gauge employees' perceptions on whether they are effectively led and managed, if they have opportunities to grow professionally and advance in their careers, and if their contributions are valued and recognized. The OPM conducts this survey during even - numbered years and the identical survey is administered by the DHS during the odd - numbered years. The survey results are used by DHS agency managers to address human capital management issues and improve agency performance in these areas.

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	50%	51%	52%
Actual:	None	None	None	50%	N/A	N/A

Measure: Percent of DHS workforce (employees and contractors) with advanced identification cards

Description of Measure: This measure indicates the percent of Department of Homeland Security federal employees and contractors that have been issued Personal Identify Verification cards with advanced features. Advanced identification cards are outfitted with a microchip that stores personal information, including biometric data (such as fingerprints) that can be read automatically by a card reader to check information against a database. If a match is verified and the person has been granted appropriate permissions, the person is permitted entry into a government facility and/or can log on to a computer workstation. This effort is being undertaken to comply with Homeland Security Presidential Directive - 12 (HSPD - 12) in order to ensure that government facilities and sensitive information stored in them are secure.

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	New	20%	63%
Actual:	None	None	None	None	N/A	N/A

F. Digest Tables by Future Year Homeland Security Program (FYHSP) Programs

Digest of FY 2010 Budget Estimates by Activity and FYHSP Program (dollars in thousands)						
FYHSP Program	FY2008		FY2009		FY2010	
	Revised Enacted*		Enacted		Request	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Under Secretary for Management	309	\$153,025	466	\$191,793	602	\$337,990
Total Budget Authority	309	\$153,025	466	\$191,793	602	\$337,990

Department of Homeland Security

Office of the Chief Financial Officer



Fiscal Year 2010
Congressional Justification

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i. Summary of FY 2010 Budget Estimates by Appropriation

Department of Homeland Security
Departmental Management and Operations
Office of the Chief Financial Officer
 Summary of FY 2010 Budget Estimates by Appropriation
 Total Appropriations
 (Dollars in Thousands)

Budget Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Office of the Chief Financial Officer	120	\$31,124	139	\$55,235	173	\$65,530	34	\$10,295	10	\$5,495	24	\$4,800
Total Enacted Appropriations and Budget Estimates	120	31,124	139	55,235	173	65,530	34	10,295	10	5,495	24	4,800

Departmental Management and Operations
Office of the Chief Financial Officer
Homeland and Non-Homeland Allocation by Program/Project Activity
(Dollars in Thousands)

Budget Activity	2008 Actual						2009 Enacted						2010 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Office of the Chief Financial Officer	72	\$18,674	48	\$12,450	120	\$31,124	83	\$33,141	56	\$22,094	139	\$55,235	104	\$39,318	69	\$26,212	173	\$65,530
Total Direct Appropriations and Budget Estimates	72	18,674	48	12,450	120	31,124	83	33,141	56	22,094	139	55,235	104	39,318	69	26,212	173	65,530

iv: Schedule of Authorized/Unauthorized Appropriations by PPA

**Department of Homeland Security
Office of the Chief Financial Officer**

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

Budget Activity				
	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2010 Request
	Fiscal Year	Amount	Amount	Amount
OCFO	N/A	N/A	N/A	\$65,530
Total Direct Authorization/Appropriation	N/A	N/A	N/A	\$65,530

Department of Homeland Security

Departmental Management and Operations

Office of the Chief Financial Officer



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

DEPARTMENT OF HOMELAND SECURITY DEPARTMENTAL MANAGEMENT AND OPERATIONS OFFICE OF THE CHIEF FINANCIAL OFFICER

I. Appropriation Overview

A. Mission Statement for the Office of the Chief Financial Officer (OCFO):

The mission of the Office of Chief Financial Officer (OCFO) is to provide guidance and oversight of the Department's budget, financial management, and resource management systems to ensure funds necessary to carry out the Department's mission are obtained, allocated, and expended in accordance with the Department's priorities and relevant law and policies.

The DHS OCFO goals are:

1. To provide greater visibility into DHS' financial activity, through timely, accurate, and useful financial related data.
2. To improve systems and processes eventually leading to sustainable clean audit opinions.
3. To provide reasonable assurance about our internal controls over financial reporting.
4. To provide efficient financial management services.
5. To integrate the budget process with the policy and planning process.
6. To support the Under Secretary for Management and business line chiefs by supporting integration and standardization of our resource management systems.

B. Budget Activities:

Under the OCFO, the following Divisions fulfill these functions:

Program Analysis and Evaluation (PA&E):

- Develop and perform analyses and evaluations of alternative plans, programs, personnel levels, and budget submissions for the Department in relation to United States homeland security objectives, projected threats, vulnerability assessments, estimated costs, resource constraints, and the most recent homeland security strategy;
- Provide guidance and oversee the development of the Future Years Homeland Security Program (FYHSP) of the Department;
- Lead the performance measurement and reporting for DHS mission-oriented programs;
- Oversee preparation of the DHS performance plan and other performance reporting;
- Integrate performance measurement into strategic planning, resource allocation, program evaluation, evaluation of management personnel, and the culture of DHS;
- Act as the Program Improvement Officer (PIO) in order to supervise performance management activities; provide advice on program performance goals, convene responsible parties to assess and improve program performance, and guide the use of performance measures in personnel performance appraisals;
- Provide leadership in developing and promoting improved analytical tools and methods for analyzing homeland security planning and the allocation of resources;

- Establish policies for, and oversee the integration of, the planning, programming, and budgeting system of the Department; and
- Coordinate with and support the Office of Policy on DHS long-term strategic planning.

Budget:

- Responsible for the Departmental budget, appropriations, and expenditures of funds;
- Coordinate with PA&E to formulate annual budget submissions, assure these properly reflect the requirements of DHS, and assist in the presentation and defense of submissions to OMB and Congress;
- Assist PA&E with preparation of the FYHSP;
- Coordinate and review budget execution for each component and appropriation, at the macro level; conduct spend plan and execution reviews; and act on requests for modifications;
- Conduct special studies and analyses of execution of financial plans and recommends reprogrammings necessary for effective funds utilization;
- Prepare budgetary reports as necessary or as required by OMB and Congress;
- Administer funds not specifically allotted to other component of DHS, such as the Pandemic Influenza Supplemental;
- Coordinate with the Office of Legislative Affairs in preparing for Congressional hearings;
- Track status of reports to Congress required by appropriations bills;
- Ensure technical accuracy and consistency of budget-related materials among the components and in accordance with OMB or Congressional guidance;
- Manage and coordinate Components entering their budgets into the President's electronic on-line MAX (budget preparation) data system;
- Analyze and review pending legislation, reports to Congress, testimony, and other documents for budgetary impact; and
- Coordinate and review apportionments, reappropriations, and allotments for all appropriations across all components.

Office of Financial Operations:

- Oversee all aspects of Budget Formulation and Execution for all Title I offices under the DHS appropriation (OSEM and USM);
- Oversee all aspects of Budget Formulation and Execution for OCFO;
- Coordinate and review apportionments, reappropriations, and allotments for OSEM, USM, and OCFO offices;
- Invoice, IPAC and travel processing;
- General Ledger management for Title I accounts;
- Management and oversight of the Working Capital Fund (WCF) DHS wide;
- Coordinate WCF Governance Board meetings;
- Accounting and financial reporting for all Title I accounts;
- Management of the DHS headquarters Bankcard program;
- Assurance of internal controls to include, developing Mission Action Plans, implementing internal controls, risk assessments and compliance activities;
- Perform internal audits and audit follow-up;
- Oversight of interagency agreements;
- Provide management and oversight of financial systems;
- Review content and coordinate Congressional briefings for OSEM, USM, and OCFO offices;

- Analyze and review pending legislation, reports to Congress, testimony, and other documents for budgetary impact for all Title I offices;
- Funds certification for purchase requisitions, training forms, and travel authorizations; and
- Perform payroll reconciliation and reclassifications for OSEM, USM, and OCFO offices.

Office of Financial Management:

- Responsible for the development and oversight of Departmental financial management policy; coordination of government-wide financial management initiatives in the Department;
- Prepare the Department's consolidated financial statements and other required financial information due to OMB and Treasury, including the Annual Financial Report at year end;
- Provide guidance and oversight to DHS components on accounting and financial reporting requirements, and coordinate the annual audit of the Department's financial statements included in the Annual Financial Report;
- Administers the DHS Bankcard (purchase, travel, and fleet) Program, develops and documents bankcard policy, provides training and establishes and maintains internal control to provide reasonable assurance that the goals and objectives of the Bankcard Program are met and safeguards against fraudulent, improper, abuse, and untimely payment are identified on a timely basis and appropriate corrective action is taken.

Resource Management Transformation Office (RMTO):

- Manage system transformation projects to increase efficiencies, data reliability and financial transparency across DHS;
- Lead the effort to consolidate financial management systems with a focus on standardizing and centralizing business processes, moving to a single OMB-compliant accounting system, facilitating clean audit opinions and utilizing business intelligence tools to yield timely and accurate financial data;
- Serve as the program management office (PMO) providing day-to-day project management and communications with stakeholders for the following DHS initiatives:
 1. Transformation and Systems Consolidation (TASC)
 2. E-Gov Travel Implementation
 3. Business Intelligence/DHS Treasury Information Executive Repository (DHSTIER)

Departmental Audit Liaison:

- Coordinate the Department's engagement in Government Accountability Office (GAO) and Office of the Inspector General (OIG) audits, including entrance and exit conferences, and the Department's response to audit reports and findings;
- Track audit recommendations and the Department's implementation of those recommendations;
- Provide oversight and guidance to component-level GAO and OIG audit liaison offices and to DHS employees involved in audits, investigations, and inspections.

Internal Control Management Office:

- Implement the Federal Managers' Financial Integrity Act and its guidelines, OMB Circular A-123, *Management's Responsibility for Internal Control*; the Chief Financial Officers Act; the DHS Financial Accountability Act;
- Lead the Department's assessment of internal controls;
- Coordinate the development and implementation of Mission Action Plans to address material weaknesses and other significant conditions;

- Direct the Department’s efforts to implement the Improper Payments Information Act;
- Issue guidance on, and coordinate preparation of, the Secretary’s year-end Internal Control Assurance Statements;
- Conduct reviews of key financial processes to ensure internal controls are operating effectively, with the goal of identifying weaknesses before they become problems.

Grants Policy and Oversight Division:

- Represent DHS on the government-wide CFO Council Grants Policy Committee and other committees that set government-wide grant management policy;
- Represent DHS on government-wide OMB A-133 audit initiatives, ensure compliance, and track implementation of corrective actions for audit findings and review/process recommendations and management decisions for the thousands of audits submitted annually;
- Draft, communicate, and implement DHS grant policy, and notify components of statutory/regulatory changes through Grant Alerts;
- Establish standards “Terms and Conditions” for DHS assistance awards and provide guidance for and oversight for the use of “Special Terms and Conditions” associated with assistance awards;
- Collect and maintain grants and assistance award data, monitor close-out status, and assist DHS component grants awarding offices in closing out delinquent assistance awards;
- Analyze requirements, research, and draft responses to OMB and Congressional inquiries, Questions for the Record, and reports related to DHS grants;
- Assist DHS component grants management staff, through policy and guidance, on appropriate action to address customer service inquiries and requests;
- Develop and maintain training for DHS component grants management staff, and ensure DHS component-developed training is compliant with government-wide and DHS requirements;
- Manage and ensure that the integrity of the DHS’ grants and other assistance awards information submitted to the government-wide web sites, e.g. Catalog of Federal Domestic Assistance, Grants.gov, Federal Funding Accountability and Transparency Act, Federal Assistance Award Data System, is in compliance with the e-Gov initiatives’ requirements;
- Advise senior DHS leadership on DHS and government-wide statutes, regulations, OMB circulars, and Executive Orders related to grants management activities.

Workforce Development Division:

- Provide the training and tools to support excellence in personal performance, career path development, and to execute talent management initiatives to recruit the next generation of OCFO leaders;
- Provide experiences and opportunities designed to establish a strong foundation in financial management disciplines to optimize career building at DHS;
- Create a pipeline of strong candidates for senior financial management leadership roles at DHS, specifically the CFO and Deputy CFO positions.

C. Budget Request Summary:

The OCFO requests 183 positions, 173 FTE, and \$65,530,000 for FY 2010. The total adjustments-to-base are 24 FTE and \$4.800 million. The program increases include 20 positions, 10 FTE, and \$5.495 million to improve financial accountability for the Department.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
Departmental Management and Operations
Office of the Chief Financial Officer
 Summary of FY 2010 Budget Estimates by Program/Project Activity
 (Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Office of the Chief Financial Officer	120	\$31,124	139	\$55,235	173	\$65,530	34	\$10,295	10	\$5,495	24	\$4,800
Total Enacted Appropriations and Budget Estimates	120	\$31,124	139	\$55,235	173	\$65,530	34	\$10,295	10	\$5,495	24	\$4,800

III. Current Services Program Description

Department of Homeland Security
Departmental Management and Operations
Office of the Chief Financial Officer
Program Performance Justification

(Dollars in thousands)

	Perm		
	Pos	FTE	Amount
2008 Actual	129	120	\$31,124
2009 Enacted	163	139	55,235
2010 Adjustments-to-Base	0	24	4,800
2010 Current Services	163	163	60,035
2010 Program Change	20	10	5,495
2010 Request	183	173	65,530
Total Change 2009-2010	20	34	10,295

The Office of the Chief Financial Officer (OCFO) requests \$65,530 million. This is an increase of \$10.295 million over FY 2009 for pay and non-pay inflation as well as program increases in OCFO to improve financial accountability.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Office of the Chief Financial Officer (OCFO) has made significant progress leading improvement to financial management at DHS.

In FY 2008, the OCFO:

- Institutionalized the DHS CFO New Hire Orientation and the CFO Mentorship Program across the DHS financial management community;
- Developed a comprehensive, web-based DHS Financial Management Policy Manual;
- Issued a second edition of the DHS Internal Control Playbook that presents DHS' multi-year plan to assess internal control over financial reporting, and includes corrective action plans with measurable, achievable milestones to remediate material weaknesses and other significant conditions. For the first time, Mission Action Plans to integrate corrective actions for operational areas were included in the Playbook;
- Progressed from a statement of no assurance in internal controls by the Secretary to the President and Congress in FY 2005, to an assurance on the design effectiveness of internal controls in FY 2008;
- Provided department-wide corrective action oversight to reduce from 16 to 13, the number of Component conditions that contributed to material weakness conditions;
- Delivered 1,780 Questions for the Record (QFRs) to Congress within one month;
- Established the Program Review Board (PRB), chaired by the Deputy Secretary and composed of senior career leadership of each Component, which institutionalized an analytically-based, open and transparent Program and Budget Review process;
- Produced the first ever Highlights Report and Annual Performance Report which summarized performance and financial information for DHS. These reports were recognized as greatly enhancing the delivery of performance and accountability information to the American public by the Mercatus Center at George Mason University, which ranked DHS number 5 among the 24 Federal Agencies in their 9th Annual Performance Report Scorecard;
- Managed and processed approximately 225 GAO audits; and

- Initiated legislative change proposal to allow Working Capital Funds to be carried over and establish reprogramming thresholds.

In FY 2009, the OCFO plans to:

- Continue refining and expanding DHS financial management community human capital initiatives (New Hire Orientation, CFO Mentorship Program, Financial Management Fellowship) to improve human capital capabilities and build a common culture;
- Expand and refine the DHS Financial Management Policy Manual, and publish a printed version;
- Continue regular internal assurance audits to identify vulnerabilities to waste, fraud, and abuse, and develop and strengthen internal controls;
- Build the Department's grants management and oversight function to issue policy, conduct audits mandated by the *Single Audit Act*, and monitor DHS grants and assistance awards of approximately \$20 billion;
- Provide leadership and analytical support for the Quadrennial Homeland Security Review (QHSR);
- Implement the Budget Formulation Execution Manager (BFEM) pilot at the Department level. BFEM supports internal budget decision-making, production of agency submissions to OMB, Congressional Justifications (CJs), and other documents through a web-based platform that includes a central repository for all numbers and narrative text;
- Establish and stand up the Office of Financial Operations;
- Establish and stand up the Working Capital Fund (WCF) Governance Board;
- Perform an in-depth review of all WCF activities; and
- Implement E-travel for DHS headquarters.

In FY 2010, the OCFO plans to:

- Continue regular internal assurance audits to identify vulnerabilities to waste, fraud, and abuse, and develop and strengthen internal controls;
- Conduct approximately seven independent program reviews in order to evaluate and assess issues such as true costs and benefits of programs within the Department;
- Improve the Department's processes for the verification and validation of performance measurement information;
- Enable the Secretary to sign an assurance statement to the President and Congress on the operating effectiveness of DHS internal controls over financial reporting;
- Complete CFO business intelligence dashboard including robust ad hoc capability and budget execution reports at the PPA level;
- Full implementation of the Budget Formulation Execution Manager throughout the DHS financial management community. BFEM improves the efficiency and effectiveness of agency and central processes for formulating and executing the Federal Budget;
- Develop and publish standardized criteria for the WCF.

IV. Program Justification of Changes

**Department of Homeland Security
Departmental Operations and Management
Office of the Chief Financial Officer
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 1: Improve Financial Accountability

Strategic Goal(s) & Objective(s): Strengthen and Unify DHS Operations and Management

Program Increase: Positions 20 FTE 10 Dollars \$5,495

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$0
Program Increase							20	10	\$5,495
Total Request							20	10	\$5,495

Description of Item

This program increase provides 20 Positions (10 FTE) and \$5.495 million for increased staffing in Budget, Office of Financial Management, and Internal Control Divisions of OCFO. This increased funding will also enable the OCFO to meet the demands of reviewing and conducting independent analysis for the majority of programs within DHS.

Justification

The increase of 20 Positions (10 FTE) is requested to improve financial accountability within the Department. The most pressing needs for additional FTE in the OCFO are:

- 1) Office of Financial Management – The increase is requested to develop a Department-wide management assurance team that will proactively identify and correct emerging financial management, reporting, and internal control issues throughout DHS. Also, continued progress in the financial audit will require additional staff to prepare potentially two sets of financial statements (DHS-all and civilian components-only), while the scope of financial audits will be increasing at the same time.
- 2) Internal Control – OMB Circular A-123 requires agencies to establish strong internal controls over operations. Resources are requested to identify and strengthen internal controls in programs, both at Headquarters and component levels. By using an integrated internal control framework to assess the risk of a program in not meeting its goals and objectives and to focus on vulnerable programs, the Department will be able to better address and remedy GAO/IG high risk and management challenge areas.
- 3) Budget Division – The request will allow the Budget Division to increase staffing and provide a more thorough analysis of components' requests and execution of their appropriations, better integrate the budget and planning processes, as well as to develop and implement improved strategies to support DHS leadership, OMB and appropriators.

- 4) Funding is also requested for the Office of Program Analysis and Evaluation (PA&E) to support a series of external evaluations of programs to be conducted periodically by Federally Funded Research and Development Centers or other independent parties outside the Department. External reviews, above and beyond internal evaluation alone, will systematically improve DHS programs by ensuring that they accomplish their intended purpose and by contributing to a better understanding of true program costs and benefits. Congressional interest and support for conducting independent peer reviewed evaluations is keen. Incorporating external evaluations as an ongoing learning and management tool will help to improve the operations of the Department, resource allocation decision making, and audit effectiveness.

Impact on Performance (Relationship of Increase to Strategic Goals)

The requested program increase supports DHS Strategic Goal 5 – Strengthen and Unify DHS Operations and Management.

By improving financial management in the Department, the OFCO supports the accountability, efficiency, and economy of all DHS components and enabling maximum direction of resources toward the Homeland Security mission.

Currently, the Department manages 68 publicly reported programs across all Components. DHS is requesting resources for PA&E to contract for independent analysis conducted by objective external entities, a cornerstone of analytical work in similar PA&E organizations such as the Department of Defense. Absent this funding, program information provided to Department leadership, the Administration, and Congress on key analytical issues and the ability to assess the impact of these programs may be limited.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Departmental Management and Operations
Office of the Chief Financial Officer
Justification of Proposed Changes
Appropriation Language**

For necessary expenses for enforcement of the Office of the Chief Financial Officer as authorized by section 103 of the Homeland Security Act of 2002 (6 U.S.C. 113), [\$55,235,000] **\$65,530,000** of which \$11,000,000 is available until expended for financial systems consolidation.

Explanation of Changes:

No substantive changes.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
 Departmental Management and Operations
 Office of the Chief Financial Officer
 FY 2009 to FY 2010 Budget Change
 (Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual	129	120	31,124
FY 2009 Enacted	163	139	55,235
Within Guidance Adjustments-to-Base (ATBs)			
Annualization of Prior Year Funding	---	24	2,508
Annualization of FY 2009 Pay Raise	---	---	197
FY 2010 Pay Increase	---	---	302
Adjustment for Working Capital Fund Increases	---	---	1,793
Total - Within Guidance ATBs	---	24	4,800
FY 2010 Current Services	163	163	60,035
Over Guidance Program Changes			
Improve Financial Accountability	20	10	5,495
Total - Over Guidance Program Changes	20	10	5,495
FY 2010 Request	183	173	65,530
FY 2009 to FY 2010 Total Change	20	34	10,295

C. Summary of Requirements

**Department of Homeland Security
 Departmental Management and Operations
 Office of the Chief Financial Officer
 Summary of Requirements
 (Dollars in Thousands)**

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	129	120	\$31,124
2009 Enacted	163	139	55,235
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Increases	---	24	4,800
Total Adjustments-to-Base	---	24	4,800
2010 Current Services	163	163	60,035
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)			
	20	10	5,495
2010 Total Request	183	173	65,530
2009 to 2010 Total Change	20	34	10,295

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Office of the Chief Financial Officer	163	139	\$55,235	---	24	\$4,800	20	10	\$5,495	183	173	\$65,530	20	34	\$10,295
Total	163	139	\$55,235	---	24	\$4,800	20	10	\$5,495	183	173	\$65,530	20	34	\$10,295

D. Summary of Reimbursable Resources

Department of Homeland Security
Departmental Management and Operations
Office of the Chief Financial Officer
Summary of Reimbursable Resources
(Dollars in Thousands)

Not Applicable

E. Summary of Requirements by Object Class

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

Object Classes	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$10,931	\$14,517	\$18,095	\$3,578
11.3 Other than full-time permanent	284	345	354	9
11.5 Other Personnel Compensation	454	706	891	185
11.8 Special Service Pay	140	146	150	4
12.1 Benefits	3,029	4,448	5,572	1,124
Total, Personnel Comp. & Benefits	\$14,838	\$20,162	\$25,062	\$4,900
Other Object Classes:				
21.0 Travel	272	370	398	28
22.0 Transportation of things	4	---	---	---
23.1 GSA rent	584	2,219	2,219	---
23.2 Other rent	190	216	216	---
23.3 Communications, utilities, & other misc. charges	201	230	265	35
24.0 Printing and reproduction	133	148	148	---
25.1 Advisory and assistance services	10,571	26,648	30,014	3,366
25.2 Other services	581	515	597	82
25.3 Purchases of goods & svcs. from Gov't accounts	3,274	4,150	5,947	1,797
26.0 Supplies and materials	194	264	279	15
31.0 Equipment	282	313	385	72
Total, Other Object Classes	\$16,286	\$35,073	\$40,468	\$5,395
Total, Direct Obligations	\$31,124	\$55,235	\$65,530	\$10,295
Total requirements	\$31,124	\$55,235	\$65,530	\$10,295

F. Permanent Positions by Grade

**Department of Homeland Security
 Departmental Management and Operations
 Office of the Chief Financial Officer
 Permanent Positions by Grade**

Grades and Salary Ranges	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
	Pos.	Pos.	Pos.	Total
Total, SES	8	10	10	---
Total, EX	1	1	1	---
GS-15	23	31	34	3
GS-14	43	54	59	5
GS-13	19	21	27	6
GS-12	9	10	16	6
GS-11	10	15	15	---
GS-10	---	---	---	---
GS-9	10	12	12	---
GS-8	---	---	---	---
GS-7	6	9	9	---
GS-6	---	---	---	---
GS-5	---	---	---	---
GS-4	---	---	---	---
GS-3	---	---	---	---
GS-2	---	---	---	---
Other Graded Positions	---	---	---	---
Ungraded Positions	---	---	---	---
Total Permanent Positions	129	163	183	20
Unfilled Positions EOY	9	8	8	---
Total Perm. Employment EOY	120	155	175	20
FTE	120	139	173	34
Headquarters	129	163	183	20
U.S. Field	---	---	---	---
Foreign Field	---	---	---	---
Total Permanent Positions	129	163	183	20
Average ES Salary	\$ 155,052	\$ 158,928	\$ 159,405	\$ 477
Average GS Salary	\$ 90,137	\$ 96,776	\$ 99,821	\$ 3,045
Average GS Grade	12.70	13.01	13.63	0.62

G. Capital Investment and Construction Initiative Listing

**Department of Homeland Security
Departmental Management and Operations
Office of the Chief Financial Officer**

Not applicable

H. PPA Budget Justifications

**Department of Homeland Security
 Departmental Management and Operations
 Office of the Chief Financial Officer
 Funding Schedule
 (Dollars in Thousands)**

		FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Object Classes:					
11.1	Perm Positions	\$10,931	\$14,517	\$18,095	\$3,578
11.3	Other than perm	284	345	354	9
11.5	Other per comp	454	706	891	185
11.8	Spec Srvc Pay	140	146	150	4
12.1	Benefits	3,029	4,448	5,572	1,124
21.0	Travel	272	370	398	28
22.0	Transportation of things	4	---	---	---
23.1	GSA rent	584	2,219	2,219	---
23.2	Other rent	190	216	216	---
23.3	Communication, Utilities, and misc charges	201	230	265	35
24.0	Printing	133	148	148	---
25.1	Advisory & Assistance Services	10,571	26,648	30,014	3,366
25.2	Other Services	581	515	597	82
25.3	Purchase from Govt. Accts.	3,274	4,150	5,947	1,797
26.0	Supplies & materials	194	264	279	15
31.0	Equipment	282	313	385	72
Total, Office of the Chief Financial Officer		\$31,124	\$55,235	\$65,530	\$10,295
Full Time Equivalents		120	139	173	34

Mission Statement

The mission of the Office of Chief Financial Officer (OCFO) is to provide guidance and oversight of the Department’s budget, financial management, investment review, and resource management systems to ensure funds necessary to carry out the Department’s mission are obtained, allocated, and expended in accordance with the Department’s priorities and relevant law and policies.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$14,838	\$20,162	\$25,062	\$4,900

Salaries and Benefits includes costs for 173 FTEs. The FY 2010 request includes an increase of \$302,000 for the proposed January 2010 increase in personnel compensation, \$197,000 in annualization for the proposed January 2009 increase in personnel compensation, \$2,508,000 for the annualization of prior year funding, and a program increase of \$1,893,000 to improve financial accountability.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$272	\$370	\$398	\$28

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes \$28,000 for OCFO's initiative to improve financial accountability.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$4	\$0	\$0	\$0

Transportation of things includes all costs of the care of such things while in process of being transported, and other services related to the transportation of things. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$584	\$2,219	\$2,219	\$0

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Rent	\$190	\$216	\$216	\$0

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$201	\$230	\$265	\$35

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes a program increase of \$35,000 to improve financial accountability.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$133	\$148	\$148	\$0

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

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$10,571	\$26,648	\$30,014	\$3,366

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request includes a program increase of \$3,366,000 to improve financial accountability.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$581	\$515	\$597	\$82

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request includes an increase of \$82,000 for OCFO's initiative to improve financial accountability.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$3,274	\$4,150	\$5,947	\$1,797

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request includes increases of \$1.793 million for adjustments to the Working Capital Fund and \$4,000 for OCFO's initiative to improve financial accountability.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$194	\$264	\$279	\$15

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes a program increase of \$15,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$282	\$313	\$385	\$72

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes a program increase of \$72,000.

I. Changes in FTE

Department of Homeland Security
Departmental Management and Operations
Office of the Chief Financial Officer
Changes in Full-Time Equivalents

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	97	120	139
INCREASES			
Increase #1: Adjustments to Base	17	0	0
Increase #2: Annualization of FY 2007 OCFO Staffing Increase	10	0	0
Increase #3: Transfer from USM of Grants Management Function	0	4	0
Increase #4: FY 2009 Program Increases and FY 2010 Annualization of FY 2009 Increases (Transformation and Systems Consolidation, Grants Management, and Quadrennial Homeland Security Review)	0	15	24
Increase #5: FY 2010 Program Increase (Improve Financial Accountability)	0	0	10
Sub-Total Increases	27	19	34
DECREASES			
Decrease #1: Transfer to USM of Investment Review Function	(4)	0	0
Sub-Total Decreases	(4)	0	0
Year-end Actual/Estimated FTEs	120	139	173
Net Change from prior year base to Budget Year Estimate:	23	19	34

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity

**Department of Homeland Security
Departmental Management and Operations
Office of the Chief Financial Officer**

FY 2010 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual	FY 2009 Anticipated	FY 2010 Anticipated	Increase / Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Office of the Chief Financial Officer	\$3,760	\$6,218	\$6,899	\$681
Total Working Capital Fund	\$3,760	\$6,218	\$6,899	\$681

Department of Homeland Security

Departmental Management and Operations
Office of the Chief Financial Officer



Fiscal Year 2010
Strategic Context
Congressional Submission

FY 2010 PRESIDENT’S BUDGET REQUEST STRATEGIC CONTEXT

OFFICE OF THE CHIEF FINANCIAL OFFICER (OCFO)

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A. Mission and Description of the Office of the Chief Financial Officer (OCFO)

The mission of the Office of Chief Financial Officer (OCFO) is to provide guidance and oversight of the Department's budget, financial management, and resource management systems to ensure funds necessary to carry out the Department's mission are obtained, allocated, and expended in accordance with the Department's priorities and relevant law and policies.

The OCFO has nine divisions: Budget; Program Analysis and Evaluation; Office of Financial Operations; Financial Management and Policy; Resource Management Transformation (Financial Systems); Internal Control Management; Grants Policy and Oversight; Departmental Audit Liaison and Workforce Development. The FY 2010 budget request has resources for 183 positions, primarily in the following occupational series: budget analyst, management and program analyst, staff accountant, systems accountant; financial analyst; and auditor.

B. Major Activities and Key Strategic Goals

The OCFO received an appropriation of \$55.235 million for FY 2009. The OCFO is using these funds to ensure that resources needed to accomplish the DHS missions are obtained and expended in accordance with law, OMB guidance, and Congressional intent. Further, the OCFO is improving DHS financial management practices and strengthening internal controls to ensure that DHS is an effective steward of public resources.

In FY 2009, the OCFO is expanding human capital improvement initiatives for the DHS financial management community; developing and publishing a comprehensive DHS financial management policy manual; providing assurance through regular internal audits of key financial management processes, implementing actions to remediate financial statement audit and internal control material weaknesses; and continuing to lead the Department's resource management systems transformation by migrating DHS components to robust, integrated systems that produce useful management information.

In FY 2010, the OCFO will further these efforts and will refine and expand DHS financial management community human capital initiatives that strengthen our organizational culture and identity; update the financial management policy manual and improve consistency of handling financial transactions and processes across the DHS enterprise; eliminate many internal control and financial audit weaknesses; migrate more DHS components to modern resource management systems, enable improved decisionmaking through business intelligence tools; and continue identifying vulnerabilities to fraud, waste, and abuse through internal assurance reviews and developing and strengthening internal controls to prevent fraud, waste, and abuse. Further OCFO will continue to build the Department's grants management and oversight function to issue policy, conduct audits mandated by the *Single Audit Act*, and monitor DHS grants and assistance awards of approximately \$20 billion; and provide leadership and analytical support for the Quadrennial Homeland Security Review (QHSR).

C. Resources Requested and Performance Impact

Major changes within the base level: The budget request for FY 2010 for the Office of the Chief Financial Officer contains the following major changes within base level:

- Pay inflation, Annualization of prior year funding, and Annualization of the 2009 pay increase of \$3.007 million.
- An increase of \$1.793 million for services through the DHS Working Capital Fund.

Increments over current service level: The budget request for FY 2010 for the Office of the Chief Financial Officer contains the following increments over current services level:

- An increase of 20 Positions (10 FTE) and \$2.495 million for increased staffing in Budget, Office of Financial Management, and Internal Control Divisions of the Office of the Chief Financial Officer (OCFO). This increased funding will also enable the OCFO to meet the demands of reviewing and conducting independent analysis for the majority of programs within DHS.
- An increase of \$3.000 million for the Office of Program Analysis and Evaluation. This increase in funding will support a series of external evaluations of programs to be conducted periodically by Federally Funded Research and Development Centers or other independent parties outside the Department. External reviews, above and beyond internal evaluation alone, will systematically improve DHS programs by ensuring that they accomplish their intended purpose and by contributing to a better understanding of true program costs and benefits. Congressional interest and support for conducting independent peer reviewed evaluations is keen. This was evident in a one-time appropriation to DHS science and Technology in 2008, used to evaluate programs such as Air Cargo Security, National Command and Coordination Capability (NCCC), the National Biosurveillance Integration Center, and Pandemic Influenza. The Office of Program Analysis and Evaluation coordinated application of those funds at the Homeland Security Institute to assess effectiveness and identify recommendations. As a result the studies provided independent assessment of Transportation Security Administration (TSA) ability to meet 100% screening requirements (PL 110-53) for air cargo on passenger planes by August 2010, and informed a DHS decision to pause NCCC funding pending more specific end user requirements determination and capability assessment. Incorporating external evaluations as an ongoing learning and management tool will help to improve the operations of the Department, resource allocation decision making, and audit effectiveness.

D. Program Performance Highlights, Resources, and Alignment to Strategic Goals

OFCO performance goal – Develop and maintain a Department-wide financial system that produces financial data that is timely, reliable, and useful to decision makers; strengthen accountability by ensuring that internal controls are in place across the Department and oversight reviews are conducted. OCFO supports the following DHS goal:

Goal 5 – Strengthen and Unify DHS Operations and Management

E. Performance Based Budget Highlights by Program¹

The CFO FYHSP performance goal, performance measure, budget, and FTE are:

Program: Office of the Chief Financial Officer						
Performance Goal: Develop and maintain a Department - wide financial system that produces financial data that is timely, reliable, and useful to decision makers; strengthen accountability by ensuring that internal controls are in place across the Department and oversight reviews are conducted.						
DHS strategic objectives supported and % allocation of activities: 5.1 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$13,000	\$19,211	\$26,000	\$31,300	\$55,235	\$65,530
FTE	71	87	97	120	139	173

Measure: Number of internal control processes recently tested for effectiveness.						
Description of Measure: The measure indicates the number of tests completed to gauge the effectiveness of our financial management processes, in order to ensure internal controls prevent waste, fraud and abuse.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	>22	>40	>40
Actual:	None	None	22	N/A	N/A	N/A

Measure: Total instances of material weakness conditions identified by the independent auditor in their report on the DHS financial statements.						
Description of Measure: The number reported is the total instances of material weakness conditions in both the DHS Office of Financial Management and DHS components. A material weakness is a deficiency significant enough to be reported outside the agency.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	N/A	25	<16	<12	<12
Actual:	None	36	16	N/A	N/A	N/A

¹ In this section, FY 2007 is based on revised enacted vie actual obligations.

F. Digest Tables by FYHSP Programs

DIGEST OF FY 2010 BUDGET ESTIMATES BY ACTIVITY AND FYHSP PROGRAM
(dollars in thousands)

Budget Activity	FY 2008		FY 2009		FY 2010		Increase (+) or Decrease (-) For FY 2010					
	Actual		Enacted		President's Budget		Total Changes		Program Changes		Other Changes	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
BUDGET ACTIVITY												
1. Office of the Chief Financial Officer	120	31,300	139	55,235	173	65,530	34	10,295	10	5,495	24	4,800
Subtotal, Budget Authority (All Sources)	120	31,300	139	55,235	173	65,530	34	10,295	10	5,495	24	4,800
Less Adjustments for Other Funding Sources:	--	--	--	--	--	--	--	--	--	--	--	--
Total enacted appropriations and budget estimates	120	31,300	139	55,235	173	65,530	34	10,295	10	5,495	24	4,800

Department of Homeland Security

Departmental Management and Operations
Office of the Chief Information Officer



Fiscal Year 2010
Congressional Justification

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i. Summary of FY 2010 Budget Estimates by Appropriation

Department of Homeland Security
Departmental Management and Operations
 Summary of FY 2010 Budget Estimates by Appropriation
 Total Appropriations
 (Dollars in Thousands)

Budget Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Office of the Chief Information Officer	70	\$279,976	94	\$272,169	94	\$338,393	---	\$66,224	---	\$88,500	---	(\$22,276)
Total, Enacted Appropriations and Budget Estimates	70	279,976	94	272,169	94	338,393	0	66,224	0	88,500	0	(22,276)

NOTE: 1) FY2008 Actuals include carryover funding obligations.
 2) Direct Obligations differ slightly from OMB Max due to \$4M not shown for account 70X0102
 3) \$10.8M transferred from CIO accounts in FY2008

ii: Homeland and Non-Homeland Allocation

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

Budget Activity	2008 Actual						2009 Enacted						2010 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Salaries and Expenses	49	\$17,786	21	\$58,773	70	\$76,559	68	\$19,993	26	\$66,935	94	\$86,928	68	\$20,579	26	\$66,333	94	\$86,912
Information Technology Services	---	56,082	---	---	---	56,082	---	44,945	---	---	---	44,945	---	51,417	---	---	---	51,417
Security Activities	---	97,527	---	---	---	97,527	---	92,623	---	---	---	92,623	---	152,403	---	---	---	152,403
Wireless Activities	---	23,770	---	---	---	23,770	---	---	---	---	---	---	---	---	---	---	---	---
Homeland Secure Data Network	---	26,038	---	---	---	26,038	---	47,673	---	---	---	47,673	---	47,661	---	---	---	47,661
Total Direct Appropriations and Budget Estimates	49	221,203	21	58,773	70	279,976	68	205,234	26	66,935	94	272,169	68	272,060	26	66,333	94	338,393

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

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

Fiscal Year	Due Date	Reference/Citation	CONGRESSIONAL REPORTS	Status
2008	6/25/2007	Senate Report 110-84	Data Center Migration: The CIO is directed to submit to the Committee no later than 30 days after the date of enactment of this act a report on the full costs to transition data center operations to the Department of Homeland Security's primary data center. This report is to include, by departmental component: 1) a schedule for data transition; 2) costs for each fiscal year required to complete the transition; 3) identification items associated with the transition required to be procured and the related procurement schedule and 4) identification of any transition costs provided in fiscal year 2007 or in fiscal year 2008. A report on the same elements for the secondary data center shall be submitted to the Committees on Appropriations no later than 30 days after a final selection has been made	Done - FY 2009
2008	End of each qtr	House Report 110-181	Data Center Migration: The Committee directs the CIO to provide a report no later than October 1, 2007, and on a quarterly basis thereafter, on the progress in establishing the data centers, the schedule for moving legacy data center components into the consolidated centers, and the expenditures to date and for the quarter for each data center's operations. In addition, the Committee recommends the CIO review the plan for relocation of the US Secret Service Joint Operations Center to determine whether that component's displaced enterprise IT systems should be relocated to one of the new data centers.	Quarterly- 3rd QTR done, 4th QTR pending, 1st QTR pending.
2009	12/1/2008	Public Law 110-329	CIO-Led Information Technology Acquisitions: The amended bill continues an existing requirement that the CIO report on all IT acquisitions financed directly or managed by the CIO. ["Provided further, That the Chief Information Officer shall submit to the Committees on Appropriations of the Senate and the House of Representatives, not more than 60 days after the date of enactment of this Act, an expenditure plan for all information technology acquisition projects that (1) are funded under this heading; or (2) are funded by multiple components of DHS through reimbursable agreements: Provided further, That such expenditure plan shall include each specific project funded, key milestones, all funding sources for each project, details of annual and lifecycle costs, and projected cost savings or cost avoidance to be achieved by the project:"]	To Do - In DHS Clearance
2009	4/9/2009	Senate Report 110-396	FISMA Report - The Committee directs the Department to report by April 9 2009 on the specific status of the Department as a whole and each component individually on compliance with FISMA, resource requirements needed to achieve full compliance, and any further steps necessary to protect the information it manages.	Done - FY 2009

iv: Schedule of Authorized/Unauthorized Appropriations by PPA

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

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

Budget Activity				
	Last Year of Authorization	Authorized Level	in Last Year of Authorization	FY 2010 Request
	Fiscal Year	Amount	Amount	Amount
Salaries and Expenses				\$86,912
Information Technology Services				51,417
Security Activities				152,403
Wireless Activities				---
Homeland Secure Data Network				47,661
Total Direct Authorization/Appropriation				\$338,393

Department of Homeland Security

Departmental Management and Operations

Office of the Chief Information Officer



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

Departmental Management and Operations Office of the Chief Information Officer

I. Appropriation Overview

A. Mission Statement for Appropriation Name:

The Department of Homeland Security (DHS) Office of the Chief Information Officer (CIO), in collaboration with the DHS Chief Information Officer Council, is responsible for implementing the necessary programs to align the Information Technology (IT) organization, including all of the systems and infrastructure, to support the missions and activities across the Department.

Under the leadership of the CIO, IT will enable the transformation of the Department into a performance based and integrated organization by providing effective technologies and systems. This transformation will align information-delivery resources into appropriate functions to achieve DHS' missions. To that end, the CIO and the CIO Council are committed to providing the following:

- A secure means of sharing appropriate information to all internal and external stakeholders
- A set of advanced tools that enables the DHS workforce to rapidly and efficiently communicate, process, retrieve, deliver, and share information
- A single, DHS-wide IT infrastructure environment that is reliable, scalable, flexible, maintainable, and secure
- A clear set of performance metrics and efficient business processes
- IT standards and frameworks that provide for integration
- A single, consistent IT governance model
- Continued improvements in cyber security
- A mature and fully detailed Enterprise Architecture
- The alignment of acquisition for IT goods and services to the department's goals

B. Budget Activities:

The CIO a myriad of Information Technology related services and support throughout DHS. The Office is divided into four major programs as follows:

Salaries and Expenses

Salaries and Expenses is a crosscutting program that provides technology management, shared services, acquisition strategy and executive leadership support to all offices within the CIO.

Department-wide Technology Investments

Information Technology Services – A program that supports development, implementation, and maintenance of a comprehensive and integrated Enterprise Architecture; and the integration of the following: the Department’s financial management system activities; the information technology framework for the Department’s Human Resources System; geospatial technologies; and information sharing.

Security Activities – A set of programs that provide for the integration and protection of sensitive and collateral DHS information.

Homeland Secure Data Network (HSDN) – HSDN provides the primary means for data and information exchange, messaging, and collaboration with specific and controlled interconnections to the intelligence community and federal law enforcement resources at a SECRET-classified level within the civilian side of Federal government for DHS, Federal, and state and local Government.

C. Budget Request Summary:

The CIO requests \$338,393,000, 94 positions, and 94 FTE, for the FY 2010 Budget. The total net adjustment-to-base is a decrease of \$22,276,000 and 0 FTEs. This adjustment-to-base includes a transfer of \$313,000 to the Office of the Secretary and Executive Management (OSEM) for the Secretary’s travel, a 2010 pay inflation increase of \$450,000, annualization of 2009 pay raise, a Working Capital Fund net increase of \$481,000, GSA Rent decrease of \$730,000 and a decrease for one time funding for the National Center for Critical Information Processing and Storage for \$22.3 million. CIO requests an increase of \$88.5 million for the following program changes in the FY 2010 Budget:

- An increase of \$58.8 million for the DHS Data Center consolidation effort. This funding will be utilized as a contribution into the newly proposed Data Center Consolidation WCF activity in order to maximize efficiency for the procurement of services
- An increase of \$23.0 million for the Information Security and Infrastructure program to enhance network security, internet gateway, and initiate single sign on capability
- An increase of \$6.7 million for the Communications Security (COMSEC) program, which will enhance secure communications within DHS and with its stakeholders

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
Departmental Management and Operations
Office of the Chief Information Officer
 Summary of FY 2010 Budget Estimates by Program/Project Activity
 (Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Salaries and Expenses	70	\$76,559	94	\$86,928	94	\$86,912		-\$16	---	---	---	-\$16
Information Technology Services	---	56,082	---	44,945	---	51,417	---	6,472	---	6,700	---	(228)
Security Activities	---	97,527	---	92,623	---	152,403	---	59,780	---	81,800	---	(22,020)
Wireless Activities	---	23,770	---	---	---	---	---	---	---	---	---	---
Homeland Secure Data Network	---	26,038	---	47,673	---	47,661	---	(12)	---	---	---	(12)
Total, Enacted Appropriations and Budget Estimates	70	\$279,976	94	\$272,169	94	\$338,393	---	\$66,224	---	\$88,500	---	(\$22,276)

NOTE: 1) FY2008 Actuals include carryover funding obligations.
 2) Direct Obligations differ slightly from OMB Max due to \$4M not shown for account 70X0102
 3) \$10.8M transferred from CIO accounts in FY2008

III. Current Services Program Description by PPA

Department of Homeland Security
Departmental Management and Operations
Office of the Chief Information Officer
Program Performance Justification
(Dollars in thousands)

PPA: Salaries and Expenses

	Perm Pos	FTE	Amount
2008 Actual	91	70	\$76,559
2009 Enacted	94	94	86,928
2010 Adjustments-to-Base	0	0	(16)
2010 Current Services	94	94	86,912
2010 Program Change	0	0	0
2010 President's Budget	94	94	86,912
Total Change 2009-2010	0	0	(16)

The Office of the Chief Information Officer requests \$86.9 million for this activity, a decrease of \$16,000 over FY 2009 Enacted. The adjustments-to-base are for pay inflation, the transfer of annual funding to OSEM in support of the Secretary's travel requirements, and a reduction in funding for payment of Working Capital Fund services.

CURRENT SERVICES PROGRAM DESCRIPTION:

DHS Information Security Program

The DHS Information Security Program provides oversight to ensure a secure and trusted computing environment that enables the Department to effectively share information in support of its mission. It also works to ensure compliance with the Federal Information Security Management Act (FISMA) and National Institute of Standards and Technology (NIST) security policies and requirements. The services of the program are to develop and document departmental information security requirements, develop enterprise security management tools, and oversee the implementation of information security for the information and systems that support the operations of the Department. Specifically, the program provides:

Security Policy – Establishes and implements DHS information security policies and guidance to ensure the protection of DHS information resources, and incorporates new information security requirements and best practices promulgated by Congress, the Office of Management and Budget (OMB), Homeland Security Presidential Directives (HSPDs), and NIST.

Security Architecture - Supports information sharing and interoperability by integrating information security architecture with DHS Enterprise Architecture (EA), System Life Cycle, Capital Planning Investment Control (CPIC), and acquisition processes. Security Architecture works to develop enterprise procedures for dealing with cyber attacks, incidents, and newly discovered vulnerabilities (including patch management). Additionally, Security Architecture assesses technologies that show the greatest promise for enhancing information sharing and security and that can be scaled for enterprise application.

Compliance and Oversight – Comprises the management and oversight of the IT system inventory, the certification and accreditation (C&A) process, Plans of Action and Milestones (POA&M), FISMA reporting, the implementation of security management tools, and visits to assist with component compliance. The program also includes oversight of weakness remediation to resolve IT security weaknesses. This activity supports security metrics verification and enhancements to security tools to integrate functionality to improve FISMA compliance management and reporting.

DHS IT Security Awareness, Training, and Education - Ensures that all Federal regulations, OMB, and NIST guidance relating to IT Security Training are complied with. It supports the standardization of security content development within the Department. The IT Security Training Program provides IT Security Awareness, role-based IT security training for personnel with significant security responsibilities, and provides role-based training to improve reporting for FISMA and related metrics.

FY 2008 Accomplishments

- Maintained full FISMA compliance for each of 700+ systems in the Department's inventory;
- Completed implementation of the plan to retire all financial systems security weaknesses;
- Developed security templates and technical security compliance checklists to support the review and compliance checks for SDLC/Centers of Excellence (COE)/technical reference model (TRM) insertions;
- Updated Security Policy and Architecture Guidance to address new operational requirements, advancing technology, and identify, report, and remediate known and new cyber threats, as well as, adapting new information security best practices; and
- Completed a rigorous review and analysis of the standards, products and services contained in the Technical Reference Model to ensure compliance with the Security Architecture Guidance

FY 2009 Planned Accomplishments

- Maintain full FISMA compliance for each of 700+ systems in the Department's inventory;
- Implement a standardized operational review methodology to ensure compliance with network and technical guidance;
- Standardize the Department's security operations activities;
- Monitor and report DHS Components' progress on completing system accreditations and resolving weaknesses identified in the Components' respective POA&Ms; and
- Complete a rigorous review of the Enterprise Infrastructure and Architecture to ensure compliance with the Security Architecture Guidance

FY 2010 Planned Accomplishments

- Improve the Department's classified cyber threat information processing capability and improve the analytical capability to better understand and respond to sophisticated threats;
- Conduct in-depth Technical Reviews for at least 20 percent of the Department's IT systems to assess quality assurance and validate compliance with DHS security requirements;
- Continue to upgrade the DHS IT system inventory, which includes aligning investments to IT systems;
- Implement weakness remediation plan for operational systems by focusing on effective POA&M management;
- Continue to enhance and maintain security management tools for FISMA compliance management and reporting;
- Monitor and report DHS component's progress with completing system accreditations and resolving weaknesses identified in the component's POA&M; and
- Prepare and distribute quarterly POA&M status reports and annual FISMA report to OMB

Infrastructure Operations and Applications Operations & Maintenance

Infrastructure Operations (IO): IO program capabilities provide network, e-mail, internet, intranet, telecommunications infrastructure and end-user services including desktop computing, telecommunications, cell phones, Blackberry devices, printers, and peripheral equipment to users in the DHS Headquarters Offices.

IO responds to changes that include increases in Headquarters personnel, moves and consolidations of office space, renovations of facilities, and the expansion of mission applications. IO also responds to infrastructure changes during periods of emergency, infrastructure disruption, and disasters by performing IT Contingency, IT Disaster, and business continuity planning as well as IT/communications support to those situations requiring a FEMA response. In addition, IO also provides two alternate sites with necessary IT/communications capabilities to support emergency operations during periods of activation by the President or Secretary for Continuity of Operations.

DHS' mission requires high performance standards for multiple data, voice and video network environments (sensitive but unclassified (SBU), Secret, and Top Secret/Sensitive Compartmented Information) with higher than normal levels of redundancy and continuous support. The IT infrastructure is comparable to the Department of Defense (DOD) in its scope, complexity and need for uninterrupted service. In the event of a national security emergency, the infrastructure must have the resiliency and capacity to provide uninterrupted operations to ensure that DHS maintains the ability to coordinate actions to protect the homeland.

This program also provides IT Continuity Management which includes: performing periodic risk, interdependency and business impact assessments; developing recovery strategies, writing business resumption, incident response and escalation, and network/system specific contingency plans; and conducting test, training, and exercise of plans and capabilities to ensure the continuation of services and capabilities. Continuity of Operations (COOP) responsibilities include the IT/communications services and support of the components, preparation of exercises with more than 60 departments and agencies participating in efforts to test and improve their ability to perform essential government functions during threats and emergencies, and developing supporting capabilities and plans within the Office of the CIO.

Applications Operations & Maintenance (AO&M): Plans, builds, maintains, and ensures continuity of support for the web hosting environment so that it remains immediately available. AO&M supports the ongoing maintenance and operations of these critical applications, and optimizes the cost effective delivery of these services. These funds include the operation and maintenance of systems and applications that support the DHS Headquarters and other DHS Components, including DHS.gov, Ready/List.gov, DHS Online, and DHS Interactive.

Infrastructure efforts support the design and implementation of reliable IT infrastructure to maintain mission critical functions.

FY 2008 Accomplishments

- Initiated replacement of all IT hardware assets per National Capital Area (NCA)-developed replacement periods (e.g., wireless devices – 18 to 24 months, personal equipment – 36 months, and server/network equipment – 48 to 60 months); and
- Completed the migration of DHS HQ data center to Stennis Data Center to reduce data center operations cost across the department

FY 2009 Planned Accomplishments

- Consolidate web physical infrastructure to include Storage Area Network, backup and database licenses to reduce licensing and operational cost; and
- Deploy applications to second data center to achieve full availability and reliability to support COOP requirements

FY 2010 Planned Accomplishments

- Fully deploy an Internet Protocol Version 6.0 (IPv6)-compliant network infrastructure as directed by Executive Office of the President, OMB Office of E-Government and Information Technology Memorandum, “Transition Planning for Internet Protocol Version 6 (IPv6),” dated August 2, 2005; and
- Maintain and exercise CIO COOP Implementation Plan, maintain and test operational plans, and focus on enterprise-wide continuous process improvement of IT Disaster Recovery

Information Technology Security: The Information Technology Security program organizes mandated requirements and “best practices” to ensure security controls and measures are functional, active and assessed with respect to the business mission and acceptable level of risk acceptance. The program leverages DHS security stakeholder relationships with an application of Federal security policies, guidelines, and directives to partner with Chief Information Security Officer (CISOs) and Information Systems Security Manager (ISSMs) throughout the HQ DHS enterprise in refining the DHS security mission. The successful implementation of this program, as a whole, is absolutely essential and critical to protect sensitive and classified information, meet mandated security requirements, and ensure the Department of Homeland Security is practicing due diligence in protecting such information.

The key strategies to achieve this are as follows:

- **Policy Adherence** – The IT Security Program promotes compliance in all areas of the DHS IT infrastructure. The current DHS standards (4300 series and others) provide the backbone to the program; therefore, enforcing the use and compliance to these standards not only ensures a standard security posture but it also assists in mitigating unnecessary risk.
- **Key Stakeholder Collaboration** – The IT Security Program relies upon vigorous partnership and collaborations throughout the DHS CIO organization and its affiliates to execute security controls and enforce security standards. Coordination within the organization is critical to the program.
- **Best Practices Familiarity** - The strategies, policies and methodologies of the IT Security Program are based on industry best practices as well as federally-mandated standards.

The IT Security Program’s mission is to promulgate the IT security policies, execute the DHS Security Program to meet FISMA compliance, and provide oversight of DHS cyber-infrastructure integration. It also provides Certification & Accreditation and Information Systems Security Officer services, including project-specific security integration services, FISMA reporting, and security policy development. Specifically, the program addresses security plans and reports; identifies the personnel and approach needed for the DHS HQ to meet the requirements of FISMA and DHS Management Directive (MD) 4300.1; respond to congressional and audit requests, and enable situational awareness of DHS HQ information security posture.

FY 2008 Accomplishments

- Achieved Authority to Operate regarding system reaccreditation of SCI enclave;
- Achieved Authority to Operate for five DHS HQ systems; and

- Combined the Terminal Area Forecast (TAF), FISMA inventory of the Enterprise (previously an “F” grade) and Headquarters Services (previously a “B” grade) Divisions, and achieved an overall FISMA score grade of “A” for the DHS HQ IT Infrastructure

FY 2009 Planned Accomplishments

- Acquire a suite of security applications product to better assess the security posture of the HQ IT infrastructure; and
- Issue or expound upon existing DHS and Federal policies regarding IT security

FY 2010 Planned Accomplishments

- Baseline the security suites to provide the best scope from a defense and depth perspective of the HQ IT Infrastructure

Security Awareness and Training: Capabilities include reviewing current DHS security training process, procedures, and content for accuracy and relevance, and issuing recommendations where improvements can be made.

FY 2008 Accomplishments

- Postured a Security Awareness protocol, in partnership with the Office of Security, for all Information Technology Security Office (ITSO) personnel with a special emphasis on those whose duties entail working in a classified environment

FY 2009 Planned Accomplishments

- Fortify existing security awareness materials with the ability to tailor from a role-based perspective

FY 2010 Planned Accomplishments

- Continue the process of fortifying or constructing security awareness materials to refine the strategy of risk avoidance through improved training

Security Compliance and Oversight: Compliance with information security laws, guidance, regulations, and policies is a necessary part of any security program. A mix of information security practitioners, such as engineers, policy developers and certification and accreditation (C&A) professionals that have the necessary skills to review processes and procedures in the areas of National Security Agency Red Team-Blue Team exercises, compliance audits, C&A, and Service Level Agreements (SLAs) are engaged to action and report findings back to the CISO.

FY 2008 Accomplishments

- Mitigated findings derived from NSA Blue Team assessment of SCI enclave;
- Achieved Authority to Operate regarding system reaccreditation of SCI enclave;
- Completed eight Certification and Accreditation Packages; and
- Initiated a NSA Blue Team Assessment of Unclassified enclave

FY 2009 Planned Accomplishments

- Mitigate all findings derived from Blue Team Assessment of Unclassified enclave

FY 2010 Planned Accomplishments

- Initiate and remedy a new iteration of Blue Team Assessment for one or more of the enclaves within the ITSO umbrella

Incident Response Team: Tracks and mitigates incidents involving the unintentional release (spillage) of secure IT information, as well as, deviations from Rules of Behavior use of DHS IT systems and equipment; and provides recommendations for closure to the HQ CISO and tracks and reports incidents via the DHS Security Operations Center (SOC) Portal.

FY 2008 Accomplishments

- Mitigated 664, or 80%, of security incidents to closure with approval from the HQ CISO

FY 2009 Planned Accomplishments

- Remedy 100 percent of identified security incidents to closure with approval from the HQ CISO

FY 2010 Planned Accomplishments

- Remedy 100 percent of identified security incidents to closure with approval from the HQ CISO

Information Assurance Team: Mission involves detecting, reporting, and responding to cyber threats. It entails testing the security of customers' systems, providing Operations Security (OPSEC) assistance, and evaluating commercial software and hardware against nationally set standards to better meet the department's IA needs.

FY 2008 Accomplishments

- Provided hundreds of security assessments for Privileged Access Requests (PARs) and additional computer hardware and application integration requests. Security assessments and results were based on the DoD's defense-in-depth IT security strategy. The new strategy and protocol for providing assessments resulted in improved workflow and security determination in the approval or denial of PAR requests. It also determined the need for system accreditation or reaccreditation

FY 2009 Planned Accomplishments

- Position an IA Lead at each of the Data Centers utilized by DHS to ensure compliance and situational awareness; and
- Create a testing lab to test security solutions or identify issues with a proposed implementation

FY 2010 Planned Accomplishments

- Using the testing environment implemented in FY 2009, collaborate with other Divisions of ITSO to evaluate security issues and solutions for a proposed rollout within the HQ IT Infrastructure

Headquarters Operations Center: The Headquarters Services Division (HSD) within the CIO determined that the creation of a central facility for CIO network and security monitoring would alleviate many historical support issues and allow for efficient growth of the Department of Homeland Security's network infrastructure. This central facility was completed in April 2008 at the Nebraska Avenue Complex (NAC) and is commonly referred to as the Headquarters Operation Center (or the HOC). The IT security aspects of the HOC are supported by resources and oversight of the Information Security Division's personnel and provide Initial Operation Capability with three security personnel. This portion of the HOC mission is called the Security Management Center (SMC) and includes efforts to:

- Reduce the IT infrastructure vulnerabilities;
- Protect confidentiality and data integrity to ensure privacy and security;
- Identify and assess the vulnerability of key, critical infrastructure assets;
- Develop timely, actionable information from intelligence and vulnerability assessments;
- Provide capabilities to detect and prevent terrorism and other illegal activities;

- Insure the continuity of essential functions in the event of disaster; and
- Strengthen nationwide recovery plans and capabilities

The SMC is responsible for assuring delivery and maintenance of available, confidential and high integrity IT and telecommunications services. In addition, the SMC is responsible for managing the configuration, operation, monitoring and maintenance of security devices deployed around the enterprise and responding to security events for all three DHS network enclaves. During subsequent phases of the HOC project, the contractor personnel will be replaced by Customs and Border Protection (CBP) personnel.

FY 2008 Accomplishments

- Achieved Initial Operating Capability (IOC) of the HOC

FY 2009 Planned Accomplishments

- Achieve Full Operating Capability of the HOC; and
- Replace contractor personnel with CBP personnel to perform security monitoring with the HOC

FY 2010 Planned Accomplishments

- Review and update the applications and vehicle for retaining CBP to perform security monitoring within the HOC

IT Business Process Re-engineering: The IT infrastructure business vision is to realize breakthrough improvements in the delivery of information technology enterprise solutions and infrastructure services and products. In pursuit of this vision, the ITSO is working to re-engineer business processes to integrate management, review and verification methods and tools. Management may continue to plan and succeed with complex change while continuing to run the operations of the ITSO and achieve higher quality, better results and lower costs for DHS HQ and Component customers.

FY 2008 Accomplishments

- Significantly improved National Capital Region Working Capital Fund (NCRIO) customer costs in all cost categories;
- Validated FY 2007 actual customer costs by contract and Contract line item number (CLIN) for 63 contracts;
- Completed true up of FY 2008 customer costs by contract and CLIN; and
- Provided updated, corrected billing statements that validated significantly lower FY 2008 bills for the following component customers: Domestic Nuclear Detection Office (DNDO), Science and Technology Directorate (S&T), Nuclear Protection and Programs Directorate (NPPD), Federal Emergency Management Agency (FEMA), and analysis and operations. Coordinated a \$12 million refund to these and other Customers of the NCRIO

FY 2009 Planned Accomplishments

- Review cost drivers for the (NCRIO) to recommend improved means for controlling the costs of produced or furnished IT goods and services;
- Research governance issues related to implementation of a NCR Management/Cost System;
- Identify if contract' cost structures can be modified to support NCR WCF cost categories;
- Prepare Work Breakdown System (WBS) and implement in Contract CLIN structure; and
- Implement updated NCRIO Business Plans, Concept of Operations, and Customer Coordination Plans

FY 2010 Planned Accomplishments

- Implement management/cost system for the NCRIO;
- Implement WBS connected to consumption factors and financial system accounting data;
- Ensure availability of data sources to support usage analysis at each cost category;
- Integrate a NCRIO management/cost system with Performance Based Budgeting; and
- Support a NCRIO management/cost system with appropriate Governing structure, decision-making board, and processes

Infrastructure Transformation Program (ITP) Operations

The Infrastructure Transformation Program (ITP) was established in FY 2004 as part of on-going efforts to optimize DHS' IT infrastructure and increase the Department's effectiveness and efficiency. The ITP Operations funding offsets operations and maintenance expenses related to previously funded ITP investments.

ITP is led by the CIO and each project ("Domain") is led by a Component acting as a Steward. The ITP Operations funding will offset increased operations and maintenance charges incurred while transforming and migrating seven wide area networks, consolidating component legacy data centers, and centralizing email, video, and help desk services.

ITP Operations funding pays for the cost of data center capabilities not recovered from Component charge-backs to off-set the gap in funding during the period of initial operating capability (IOC) for data center services. Any funds remaining at the end of the fiscal year not expended on O&M will be used to support data center migration efforts.

FY 2008 Accomplishments

- Supported operations and maintenance expenditures related to ITP investments (e.g. Data Center, Email and Network)

FY 2009 Planned Accomplishments

- Support operations and maintenance expenditures related to ITP investments (e.g. Data Center, Email and Network); and
- Ensure capability readiness and migrate legacy data center systems to the DHS Data Centers

FY 2010 Planned Accomplishments

- Support operations and maintenance expenditures related to ITP investments (e.g. Data Center, Email and Network); and
- Ensure capability readiness and migrate legacy data center systems to the DHS Data Centers

Applied Technology & Research Services

Under this program, DHS utilizes three IT research and advisory services contracts for use by IT personnel in DHS. The three services provide IT personnel with world-class IT knowledge resource to select and manage technology and participate in development of standards for DHS specific applications.

FY 2008 Accomplishments

- Awarded three IT Research and Advisory Services contracts to support IT management decisions on selecting and management of technology, and participation in development of standards

FY 2009 Planned Accomplishments

- Increase the usage of enterprise research services by 25 percent above prior year usage; and

- Develop DHS integrated IT Test Facility concept

FY 2010 Planned Accomplishments

- Increase the usage of enterprise research services by 25 percent above prior year usage; and
- Implement a DHS integrated IT Test Facility concept

PPA: Information Technology Services

	Perm Pos	FTE	Amount
2008 Actual	0	0	\$56,082
2009 Enacted	0	0	44,945
2010 Adjustments-to-Base	0	0	(228)
2010 Current Services	0	0	44,717
2010 Program Change	0	0	6,700
2010 President's Budget	0	0	51,417
Total Change 2009-2010	0	0	6,472

The Office of the CIO requests \$51.417 million for Information Technology Services, an increase of \$6.5 million over FY 2009 Enacted. The adjustment-to-base is a result of a reduction in funding for payment of Working Capital Fund services. The FY 2010 program increase is requested for the COMSEC program in its effort to enhance secure communications within DHS and its stakeholders.

CURRENT SERVICES PROGRAM DESCRIPTION:

Geospatial Management Office (GMO)

The Geospatial Management Office (GMO) provides oversight and guidance to DHS component organizations for geospatial policy and technology matters and serves as the central point of coordination for the maturing geospatial investment across the Department. The GMO executes a comprehensive program that enables the effective, collaborative, and integrated application of geospatial capabilities. DHS requires coordinated, and in some cases consolidated, enterprise geospatial solutions for emergency management, law enforcement, and other homeland security mission objectives, to assure efficient and cost effective shared use of geospatial assets. The GMO is also a participant on and thought leader for the coordination of the OMB Geospatial Line of Business (LoB) initiative across the Federal geospatial community of interest.

FY 2008 Accomplishments

- Migrated 85 percent of DHS Component's (National Program and Protection Directorate (NPPD), Federal Emergency Management Agency (FEMA), Transportation Security Administration (TSA), Custom Borders Protection (CBP), Immigration Citizenship Enforcement (ICE), Intelligence and Analysis (I&A), United States Coast Guard (USCG), and United States Secret Service (USSS)), geospatial software (over 5,800 licenses) into our enterprise-wide Environmental Systems Research Institute (ESRI) SmartBuy investment, realizing cost savings of over \$4 million;
- Stood up initial geospatial data warehouse capability within the DHS Enterprise Architecture and DHS' National Center for Critical Information Processing and Storage (NCCIPS) Data Center at Stennis, Mississippi; supported mission critical programs which included the Infrastructure Information Collection Program, the National Biological Integration System, the National Operations Center (NOC) Common Operating Picture (COP), and the FEMA National Response Coordinating Council, which avoided additional costs through sharing of a common geospatial infrastructure;
- Supported the NOC's standardizing an interoperable COP technology, the National Infrastructure Coordination Center (NICC), and the National Response Coordination Center (NRCC), and formalized this architecture as part of the DHS Enterprise Architecture through the technology insertion process;
- Continued migration of DHS Common Operating Data (COD) to non-licensed geospatial products saving \$3.6 million; and

- Enhanced existing geospatial grant guidance and implemented a quality assurance program

FY 2009 Planned Accomplishments

- Demonstrate cost avoidance benefits from applying portfolio management principles to geospatial investments of the DHS enterprise of at least \$10 million;
- Migrate 95 percent of DHS Component's geospatial software into our enterprise-wide Environmental Systems Research Institute (ESRI) SmartBuy investment, resulting in incremental and sustainable growth with associated cost savings for the Department of over \$4.3 million. In addition, review new GSA SmartBuy solicitation (March 6, 2009) to determine further potential cost efficiencies for the Department;
- Implement shared enterprise services for streaming video, imagery feature and map services, avoiding costs of individual component implementations while increasing DHS interoperability to support disaster response and other missions;
- Consolidate two component geospatial applications to the target DHS geospatial information infrastructure (GII) target architecture, avoiding O&M costs for stand alone systems;
- Establish a Geospatial Concept of Operations to support the National Response Framework and improve DHS emergency response effectiveness;
- Operationalize a capability to provide GPS interference reports to all Federal partners to support law enforcement, intelligence and operational missions of DHS and comply with DHS responsibilities under NSPD-39;
- Provide standards, guidance and recommendations for geospatial grants; and
- Build upon eGov Geospatial LoB in a coordinated approach to assess and prioritize tasks and data initiatives that support the mission objectives of the Department

FY 2010 Planned Accomplishments

- Demonstrate cost avoidance benefits from applying portfolio management principles to geospatial investments of the DHS enterprise of at least \$10 million;
- Complete migration of DHS Component's geospatial software into our enterprise-wide Environmental Systems Research Institute (ESRI) SmartBuy investment, projecting cost savings for the Department of over \$4.8 million, representing an O&M phase of support and allowing for targeted expansion (5x) of select Component usage (e.g. ICE), with corresponding cost savings;
- Implement shared enterprise services for geocoding, map sharing, and user defined operational pictures (UDOP), avoiding costs of individual component implementations while increasing DHS interoperability to support disaster response and other missions;
- Consolidate three component geospatial applications to the target DHS geospatial information infrastructure (GII) target architecture, avoiding O&M costs for stand alone systems;
- Extend the Geospatial Concept of Operations to reflect requirements of a catastrophic disaster;
- Provide standards, guidance and recommendations for geospatial grants; and
- Build upon eGov Geospatial LoB to access, produce, maintain, and utilize geospatial data to ensure and continue sustainable participation from Federal partners, and extend participation to State, Local and Tribal partners and the commercial stakeholder community

Enterprise Architecture (EA)

Enterprise Architecture supports a "blueprint" for systematically and completely defining DHS' baseline environment, target environment, and transition plan to a common IT environment. This program establishes a Department-wide roadmap to improve mission effectiveness and efficiency, eliminate existing stovepipe systems, and increase interoperability and information sharing. It ensures the essential evolution of information systems and the development of a common environment.

FY 2008 Accomplishments

- Demonstrated benefits from the DHS EA process for costs avoidance and/or efficiency improvements of more than \$93 million;
- Established Target Architectures for 21 mission critical areas;
- Updated DHS EA Transition strategy to include new programs for use during OMB E-300 reviews
- The Enterprise Architecture Information Repository was made operational and updated to include the data asset catalog information;
- Developed a draft Performance Reference Model (PRM) to measure the performance of major IT investments and their contribution to program performance; and
- OMB rated the Homeland Security Enterprise Architecture “Green” which denotes that DHS has met all the requirements of OMB

FY 2009 Planned Accomplishments

- Demonstrate benefits from the DHS EA process for costs avoidance and/or efficiency improvements for at least \$30 million;
- Use the Homeland Security Enterprise Architecture (HLS EA) to guide the Strategic Requirements Planning Process (SRPP), the new Management Directive on acquisition management policy, the Integrated Planning Guidance (IPG) FY-11-15 and the Quadrennial Homeland Security Review (QHSR) process;
- Reduce the number of unique products and services in the Technical Reference Model (TRM) by 10 percent from baseline established first quarter FY 2009;
- Document, by the end of FY 2009, transition to the DHS target architecture for 25 percent of all Data Center needs and 75 percent of all network needs;
- Conduct four critical design or production readiness reviews of major IT programs;
- Finalize Performance Reference Model (PRM) and associated governance process implementation;
- Continue to demonstrate benefits from the DHS EA process for costs avoidance and/or efficiency improvements; and
- Develop Segment Architectures for 2 of the 10 functional areas of the HLS EA. (accomplished)

FY 2010 Planned Accomplishments

- Demonstrate benefits from the DHS EA process for costs avoidance and/or efficiency improvements for at least \$30 million;
- Incorporate results of the QHSR and the SRPP into the re-validation process for the mission/business architecture;
- Develop Segment Architectures for 4 of the 10 functional areas of the HLS EA;
- Document, by the end of FY 2010, transition to the DHS target architecture for 65 percent of all Data Center needs and 95 percent of all network needs;
- Conduct four critical design or production readiness reviews of major IT programs; and
- Implement the Performance Reference Model (PRM) governance process with the DHS Performance Improvement Office

Enterprise Data Management

The Enterprise Data Management program provides the Enterprise Architecture Data Reference Model for the understanding of data assets within and across the Department. The Enterprise Data Management Office (EDMO) establishes the guidance and oversight to DHS for data policy, data management, and data stewardship. This program supports the development of the Department-wide roadmap for data to improve mission effectiveness and efficiency, eliminating existing stovepipe data systems, and increasing interoperability and information sharing. The Data Reference Model (DRM) is a key governance tool to assure that mission needs drive technology investments. Additionally, through the use of the DRM, the EDMO is expected to recommend realignment of IT investments or

acquisitions through the identification of targets at an estimated reduction of \$10 million in annual IT costs by reducing the systems under maintenance or driving common requirements for the development of centralized services.

The EDMO's program plans integrate information sharing requirements and enable access across all levels of government, first responders, and stakeholders in the private sector through the use of National Information Exchange Model (NIEM), development of Information Exchange Package Document (IEPD) guidelines, and collaboration with DHS Components and external partners for IEPD development.

FY 2008 Accomplishments

- Developed the initial data asset inventory baseline, using segment architectures, to allow for use of this baseline in the IT Investment Review process. This allows data to drive the alignment of the systems that support the mission within the Enterprise Architecture. Milestones and deliverables include:
 - Drafted Stewardship Framework and Data Management Plan Template as guiding and prescriptive documents for data management maturity;
 - Stewardship pilots: data workshops were executed for law enforcement, intelligence, immigration and screening;
 - Continued development of the DRM portion of the Homeland Security Enterprise Architecture (4 EA), which included:
 - Refined the as-is Data Asset Catalog baseline which now includes 630 assets and is estimated at 52 percent complete (out of a total 1200 potential assets, as of (August 30, 2008) as well as associated relationships to the HLS EA systems inventory and data objects;
 - Completed the Data Architecture Repository Design Document which will increase the level of information sharing by providing a centralized web-based repository to facilitate the search and discovery of Department mission information;
 - Developed the Standard Data Insertion Package template as well as the submission of Data Standard ISO 3166 (Country Codes) which was endorsed by the Data Management Working Group (DMWG) for acceptance as the preferred standard for Information Exchanges, Statistics and Systems development; and
 - Set the data architecture target for Core Biographic Data Elements and Person-Centric View Initiative
 - Continued development and support of the National Information Exchange Model (NIEM) as a standard for information exchange for the Department, including specific DHS information exchanges, such as (but not limited to):
 - Terrorist Watch list Person Data Exchange Standard (TWPDES) in support of the Terrorist Screening Center;
 - Exercise Scheduling and Improvement Plan in support of FEMA activities;
 - Federal Motor Carrier Safety Administration (FMCSA) in support of CBP vehicle border crossing;
 - Person Center Query and Employee Verification (verify) in support of USCIS Person screening efforts;
 - Development of Assets and Case Tracking System in support of the sharing of ENFORCE data between ICE and CBP Border Enforcement and Management systems;
 - Core Biographic Person Identity Data Elements in support of biographic identity-related information exchange;
 - Established NIEM Blue Team (subject matter expert working group) which developed guidance on domain management and documented DHS NIEM Tool requirements; and

- NIEM Blue Team is driving a DHS Enterprise SOA Message Header initiative that is bridging the Department's SOA Technical Framework with NIEM Bipeds through collaboration with DHS SOA-experts; the resulting architecture will lead to greater interoperability between DHS Enterprise Service Buses (ESBs) including NIEM exchanges and all other levels of the DHS messaging framework

FY 2009 Planned Accomplishments

- Develop the initial data asset inventory baseline to allow for use of this baseline in the IT Investment Review process. This allows data to drive the alignment of the systems that support the mission within the Enterprise Architecture. Milestones and deliverables include:
 - Demonstrate cost avoidance of \$18M in the reduction of new development through discovery and re-use of existing assets, by use of the Data Asset Repository (DAR) and the data asset catalogue which contains the DHS data asset baseline;
 - Continued development and support of the National Information Exchange Model (NIEM) as a standard for information exchange for the Department, including specific DHS information exchanges or Domains, such as (but not limited to):
 - Integration of Maritime domain community into NIEM in support of HSPD 13-driven Maritime Domain Awareness (MDA) information-sharing between USCG, Navy, CBP, and other Federal, state, local and international allies;
 - Developed the Core Biographic Person Data Elements information exchange within the Person Screening functional areas in support of the DHS Screening Coordination Office (SCO); and
 - Developed the NIEM-based person biometrics interoperability between major Federal agencies and DHS with the augmentation of the Terrorist Watchlist Person Data Element Standards into the US VISIT IDENT information exchange
 - Continue development and maintenance of the DRM portion of the HLS EA. Deliver the Data Reference Model 3.0 (to be completed by September 2009). The DRM 3.0 will be used to evaluate IT investment reviews as part of the Enterprise Architecture review process. Activities include:
 - Refinement of the as-is data inventory base line with a minimum of 75 percent of all DHS enterprise data assets described in the HLS EA;
 - Advancement of the to-be target data architecture including the development of at least 2 mission based Logical Data Models identified by the EA Transition Strategy;
 - Identification and adoption of international or industry data standards into EA, with an expected volume of 20 data standard insertions as part of the target data architecture; and
 - Support an anticipated 200 IT investment acquisition reviews as part of the Enterprise Architecture oversight process
 - Continue the development and support of the National Information Exchange Model (NIEM) as a standard for information exchange for the Department, including specific DHS information exchanges, such as (but not limited to):
 - NIEM Adoption: add approximately 10 to 15 total DHS programs using NIEM;
 - NIEM Training: implement new modularized training with tracks for executives, program managers, architects and IEPD developers;
 - NIEM Tools: support the development of new NIEM tools capabilities to support rapid-development, to increase quality and sophistication of IEPDs, and to reduce implementation costs;
 - NIEM Governance: charter and establish fully-operational governance bodies to support NIEM domain stewardship, management, and outreach capabilities; integrate governance processes with the national NIEM versioning architecture; and

- NIEM Blue Team: increase the capabilities of the NIEM Blue Team to address IEPD vetting processes, to enable self-governance, and to elevate NIEM leadership at DHS components

FY 2010 Planned Accomplishments

- Continued enhancement of data asset inventory, using segment architectures, to allow for use in the IT Investment Review process. The DRM 4.0 will be used to evaluate IT investment reviews as part of the Enterprise Architecture review process. This allows data to drive the alignment of the systems that support the mission within the Enterprise Architecture. Milestones and deliverables include:
 - Demonstrate cost avoidance of \$6.0 million in the reduction of new development through discovery and re-use of existing assets, by use of the Data Asset Repository (DAR) and the data asset catalogue which contains the DHS data asset baseline;
 - Continued development of the DRM portion of the Enterprise Architecture. Deliver the Data Reference Model 4.0 (to be completed by September 2010), which includes:
 - Refinement of the as-is data inventory base line with a minimum of 90 percent of all DHS enterprise data assets described in the HLS EA;
 - Advancement of the to-be target data architecture including the development of two mission based Logical Data Models identified by the EA Transition Strategy;
 - Identification and adoption of international or industry data standards into EA, with an expected volume of 20 data standard insertions as part of the target data architecture; and
 - Support an anticipated 200 IT investment acquisition reviews as part of the Enterprise Architecture oversight process
 - Continue development, refinement and support of the National Information Exchange Model (NIEM) as a standard for information exchange for the Department, including specific DHS information exchanges such as (but not limited to):
 - Critical Infrastructure and Risk exchanges in support of Infrastructure Protection;
 - Biological Survey and Health reporting for DHS National Biosurveillance Integration System (NBIS) program;
 - Instant Response in support of the National Incident Management System (NIMS) program;
 - Information exchanges in support of DHS Case Management Portfolio priorities;
 - Intelligence community information exchanges addressing multi-level security information exchanges; and
 - NIEM Adoption: approximately 50 to 75 total DHS programs using NIEM

Enterprise Application Delivery (EAD)

EAD is an initiative that leverages the capabilities and resources of three distinct IT operations: Application Delivery (AD); Enterprise Portal (EP); and Solutions Engineering (SE). These services establish a Department-wide roadmap to improve mission effectiveness and efficiency, eliminate existing stovepipe systems, and increase interoperability and information sharing. EAD engineers and oversees implementation of the DHS Enterprise Application Architecture Roadmap for systematically and completely defining DHS' baseline environment, target environment, and the transition plan in accordance with Information Technology Integration and Management (MD 0007.1.)

The Enterprise Portal is the Department's primary gateway for DHS employees, stakeholders, and citizens to share information in compliance with the expectations established in the President's Management Agenda. Through this initiative, DHS will be positioned to offer an innovative, customer-focused, and interoperable web infrastructure enabling secure access to information, services, and applications. The standards-based web environment will be deployed in the DHS common infrastructure environment, leveraging DHS OneNet and the DHS Data Center services, and will be fully integrated with the Department's Single Sign-on (SSO) solution.

FY 2008 Accomplishments

- Oversaw the consolidation of identified Internet web sites onto the FEMA Interwoven platform to reduce operational costs;
- Planned the Single Sign-On integration with the DHS Portal Environment;
- Planned the transition of departmental portals to the next generation in order to improve performance and integrate Single Sign-On for user authentication; and
- Upgraded the Executive Correspondence Tracking system (ECT) infrastructure and application software to incorporate web services to facilitate service integration with other DHS systems and scalability to additional users

FY 2009 Planned Accomplishments

- Stabilize and enhance the ECT infrastructure to improve system performance and deploy new capabilities to DHS users. Leverage ECT as the Department go-to product to deploy this system to other components in order to reduce operational cost and realize savings through shared service;
- Provide system enhancement to the project management tool to provide a centralized view of tracking cost, schedule, performance, risk/issues and provide accurate and timely reporting; and
- Deploy enterprise portal environment via MS Sharepoint portal for internal collaboration and information sharing

FY 2010 Planned Accomplishments

- Consolidate operational maintenance of DHS.gov and Ready/List.gov website to reduce operational cost; and
- Enhance web infrastructure to accelerate web application delivery across the Department to improve end user experience

Program Management Support

This initiative plans and executes an effective resource allocation program to support the Department's IT investments. Its activities include:

- Establish and maintain an integrated IT Portfolio Management initiative across the department to directly support the IT investment management processes established by MD 0007.1 and Acquisition Directive 102.01 (AD102.01). Under this program DHS is continually improving its budgeting, acquisition and investment review processes and decision forums based upon enterprise and information technology services portfolio-based views of its investments. This effort includes collaborating with the Enterprise Architecture Office and Business or Functional managers to establish functional and technical architectural targets and transition plans for each portfolio. It also concerns measuring the performance of each portfolio and continuously improving the balance of investments within each portfolio to effectively and efficiently meet departmental goals and objectives;
- Execute an IT Services portfolio management governance process by ensuring that data and business case analyses are available to the CIO to make critical decisions regarding IT investment trade-offs and prioritization;
- Align budget dollars to eliminate duplication and execute portfolio transitions aligned to the DHS Enterprise Architecture;
- Develop and execute an IT acquisition strategy to achieve the transition of legacy technologies to those in the DHS Enterprise Architecture;
- Align investment performance objectives with budget program performance objectives, measure compliance, and enforce remediation plans using the next generation Periodic Reporting System (nPRS), additional tools in development such as the System for Management Analysis and

Resource Tracking (SMART), and participation in Enterprise Architecture and Acquisition Review Board proceedings;

- Formulate and execute IT policy, including annual development of an IT Strategic Plan integrated with the DHS Strategic Plan, improvements in System Life Cycle management, Paperwork Reduction Act (PRA) monitoring and implementation, Information Quality compliance and assessment, IT workforce development, and Congressional, Government Accountability Office (GAO), and OMB liaison requirements; and
- Sponsor and manage the development of improved enterprise acquisition and performance management tools to support Headquarters and Component programmatic decisions

FY2008 Accomplishments

IT Acquisition Review

- Implemented MD 0007.1 for DHS IT Acquisitions;
- Processed 331 requests worth approximately \$3.89 billion which represents a 38.5 percent increase in request volume over FY2007;
- Reduced ITAR cycle time by 23.4 percent for aligned requests and reduced misaligned requests 88.6 percent over FY2007 results through a combination of outreach efforts and new guidance documents;
- Focused effort to resolve Conditions resulted in a 69 percent reduction of “Overdue” post-approval conditions over FY07 figures; and
- Validated 95 percent alignment of ITAR requests to budgeted DHS CPIC Investments.

IT Capital Planning and Investment Control

- Improved overall OMB score of DHS investments from 29 to 34 (15 percent) for the 53 investments with OMB pass-back scores;
- Increased the percent of investments with passing scores of 32 or more from 23 percent to 70 percent;
- Increased the percent of investments with passing scores of 31 or more from 30 percent to 80 percent;
- Percentage of certified Program Managers (PMs) increased from 49 percent to 62 percent;
- Removed 77 percent of DHS FY2008 3rd quarter Exhibit 300s from the OMB Management Watch List; and
- Achieved 75 percent of Level One investments within 10 percent of planned cost and schedule

IT Strategic Planning and Budgeting

- In cooperation with the CIO, Component CIOs and OCFO, succeeded in gaining senior management approval for more than \$500 million in additional IT funds in the FY2010-2014 Resource Allocation Decision (RAD) for data center consolidation, cyber security and migration to OneNet;
- Performed assessments of alternate performance measurement approaches for both Earned Value Management for acquisition programs with appropriate types of contracts and Operations Analyses for programs in the operations and maintenance or sustainment life cycle phase;
- Worked collaboratively with ITSO, developed funding strategy for enterprise data center and network consolidation initiatives (in support of FY10 RAD);
- Reviewed 100 percent of Component’s RAPs; resulting in over \$2 billion in funding recommendations; and
- Increased percentage of all investments reporting EVM from 70 to 81 (16 percent increase)

IT Portfolio Management

- Completed pilot of new Periodic Reporting System (nPRS), involving Level 1 programs from CBP and USCG and obtained approval from PMC/CPO/CIO to initiate full production release of nPRS in Q1 2009;
- Reviewed 100percent of IT Acquisitions that aligned to established IT Portfolios;
- Developed enterprise portal consolidation/integration strategy. Established HSIN Next Generation to serve as the baseline platform for the DHS Collaboration and SBU Portal;
- Completed an IAA and MOU for funding of the FEMA led Disaster Management e-Gov Initiative and DMIS/OPEN related efforts. Completed DMIS/OPEN transition to the Stennis Data Center;
- Developed business case and justification for establishing enterprise alerts and warning target; and
- Completed nPRS pilot with CBP and USCG

IT Acquisition Management

- Submitted CIO analysis for 50 percent of DHS investment reviews at IRB Level; and
- Established EBMO are a corporate partner in reviews of investment compliance with the DHS Enterprise Architecture and programmatic review requirements

FY2009 Planned Accomplishments

IT Acquisition Review

- Implement automated ITAR business process solution;
- Processed 145 requests worth approximately \$2.2 billion;
- Represents a 33.6 percent increase in request volume over FY2008;
- Extend outreach efforts and refine guidance to achieve a 10 percent ITAR cycle time reduction over FY2008 for aligned requests; and
- Validate 98 percent alignment of ITAR requests to budgeted DHS CPIC Investments

IT Capital Planning and Investment Control

- Reduce the number of investments on the MWL and HRL by 25 percent; and
- Achieve a 10 percent improvement from FY2008 in number of investments performing within 10 percent of planned cost and schedule

Periodic Reporting and Program Analyses

- Compile, QC, and continually improve nPRS monthly report submissions;
- Compile, QC, and improve PoPS submissions;
- Provide outreach efforts to improve communication and achieve high level of customer satisfaction in the use of nPRS; and
- Improve compliance with EBMO external reports (High Risk, EVM, PMA eGov)

IT Strategic Planning and Budgeting

- Conduct Budget Review of all Level 1, 2 and 3 IT investments; providing leadership recommendations on all IT over-guidance requests;
- Develop, publish, and implement an IT Strategic Plan integrated and consistent with the DHS Strategic Plan. The IT Strategic Plan will be developed in close coordination with the Components;
- Develop, publish and begin implementing a DHS IT Integrated Planning Guidance (IPG) document for use in developing the BY 2011 budget submission;
- Develop Standard Operating Procedure to manage departmental IT Budget Review;
- Develop guidelines for collection of cost/schedule/performance metrics for investments in the O&M phase;
- Develop guidelines for collection of cost/schedule/performance metrics in the DME phase, particularly using tools other than EVM; and

- Establish Robust Communications Plan to Support IT Budget

IT Portfolio Management

- Develop the DHS IT Strategic Plan, which will be utilized to develop the DHS FY11-15 Integrated Planning Guidance;
- Though integrated governance policies, ensure 100 percent alignment of new investments/acquisitions to established targets;
- Transition 70 percent of SBU collaboration platforms to target (HSIN).
- In coordination with EA, co-develop segment architectures and transition plans for DHS priority segments; provide 100 percent IT investment data for analysis;
- Develop draft Incident management segment architecture for review by operators in FY2010; and
- Leveraging SMART, conduct portfolio analysis across Screening, LE and Infrastructure to impact JRC, ARB and PRB decisions

EBMO Technical Services

- Complete SMART Phase 1 Iteration 1 ,or the prototype version of the System for Management Analyses and Resource Tracking (SMART) to provide a Business Intelligence (BI) and information integration capability for tracking the performance of DHS planning, programming, budgeting, and execution of DHS investments;
- Complete technical efforts to deploy the IT Acquisition Review (ITAR) automated solution;
- Establish IT governance structure for DHS data center operations;
- Implement nPRS systems and upgrades, including the Probability of Project Success capability;
- Maintain IMS and nPRS; and
- Define SELC foundation

IT Acquisition Management

- Improve performance of Level 1 and 2 IT investments by 10 percent;
- Implement SMART IOC to support 10 percent of departmental ARBs;
- Submit CIO analysis for 80 percent of DHS investment reviews at the ARB level;
- Pilot Acquisition Reporting Process and show impact on CIO IT Investments;
- Develop CCB guidance process and related documentation process for nPRS;
- Provide better Customer Service by piloting the first Communications Plan for nPRS/SMART; and
- In partnership with OCIO/COS and OCPO, develop IT Acquisition standard for inclusion into recruitment, training and retention documentation

FY2010 Planned Accomplishments

IT Acquisition Review

- Implement automated ITAR (ITAR online) business process solution Phase II;
- Extend outreach efforts and refine guidance to achieve a 15 percent ITAR cycle time reduction over FY2009 for aligned requests;
- Validate 98 percent alignment of ITAR requests to budgeted DHS CPIC Investments; and
- Development and Rollout to Components of ITAR Maturity Model

IT Capital Planning and Investment Control

- Develop automated capability leveraging SMART to analyze 100 percent of level 1 and 2 investments and 50 percent of level three investments;
- Reduce by 25 percent the number of DHS investments on the Management Watch List and High Risk lists over FY2009;
- Align DHS IT Budget to 50 percent of IT Targets;

- Conduct Budget Review of all level 1, 2 and three IT investments; providing leadership IT funding recommendations on all IT over-guidance requests; and
- Improve scores on OMB 300 business cases

Periodic Reporting and Program Analyses

- Compile, QC, and continually improve nPRS monthly report submissions;
- Compile, QC, and improve PoPS submissions;
- Provide outreach efforts to improve communication and achieve high level of customer satisfaction in the use of nPRS; and
- Improve compliance with EBMO external reports (High Risk, EVM, PMA eGov)

IT Strategic Planning and Budgeting

- Secure 50 percent of requested FY2010 and FY2011 over-guidance funding for OCIO for Infrastructure and Cybersecurity;
- In partnership with ITSO and IT Portfolio management, establish and implement an Integrated Funding Model for DHS data centers;
- Secure 90 percent of OCIO FY2011 data sharing and NIEM funds requested;
- Increase by 10 percent the number of required investments reporting performance management data. Data for DME projects will be collected on a monthly basis, while data for steady state projects will be collected on a quarterly basis;
- Implement Earned Value and OA Guidance; and
- Integrate the budget process into other EBMO processes

EBMO Technical Services

- Complete SMART Phase 2 operating the prototype version of the System for Management Analyses and Resource Tracking (SMART) to provide a Business Intelligence (BI) and information integration capability for tracking the performance of DHS planning, programming, budgeting, and execution of DHS investments and developing the design of the production version;
- Refine and mature an IT governance structure for DHS IT Services;
- Maintain IMS and nPRS; and
- Improve the SELC foundation

IT Portfolio Management

- Though integrated governance policies, ensure 100 percent alignment of new investments/acquisitions to established targets;
- Transition 70 percent of SBU collaboration platforms to target (HSIN); and
- Implement FOC of performance management and business intelligence capability that will assist in making informed management decisions

IT Acquisition Management

- Submit CIO analysis for 100% of DHS investment reviews at the ARB level;
- Improve performance of Level 1 and 2 investments by 20 percent over FY2009;
- Implement SMART IOC to support 25 percent of departmental ARB;
- Submit CIO analysis for 90 percent of DHS investment reviews at the ARB level;
- Continue Acquisition Reporting Process and show impact on CIO IT Investments;
- Continually improve the CCB guidance process and related documentation process for nPRS and SMART;
- Provide Customer Service by supporting the Communications Plan for nPRS/SMART; and
- Partner with OCIO/COS and OCPO, concerning IT Acquisition standards for inclusion into recruitment, training and retention documentation

Information Management Office

The Information Management Office (IMO) provides enterprise-level information management support services across the Department of Homeland Security. The IMO is successfully working with the Office of Management and Budget (OMB) and various external stakeholders to ensure the Department remains in compliance with E-Government (E-Gov), Paperwork Reduction Act (PRA), and Information Quality (IQ) federal mandates and regulations.

FY2008 Accomplishments

Paperwork Reduction Act Program Management Office

- Achieved 100 percent compliance with Paperwork Reduction Act;
- Provided Program Management Support for the Paperwork Reduction Act (PRA) and ensured Departmental compliance;
- Developed and launched the Paperwork Reduction Act (PRA) website; and
- Submitted DHS Information Collection Budget and achieved 10 percent reduction in public burden

E-Government Program Management Office

- Completed 98 percent of FY2008 E-Gov implementation plan and PMA milestones;
- Completed 98 percent of FY2008 E-Gov milestones (NCS 3-10 & GMLoB); and
- Moved to Yellow/Green for entire E-Gov scorecard

Information Quality Program Management Office

- Provided support and guidance for Information Quality and ensured that the Department remains in compliance; and
- Developed and launched the Information Quality website

FY2009 Planned Accomplishments

Paperwork Reduction Act Program Management Office

- Maintain 100 percent departmental compliance to Paperwork Reduction Act; and
- Provide Program Management Support for PRA compliance throughout the Department and ensure the Department maintains “zero violations”

E-Government Program Management Office

- Complete 100 percent eGov implementation plan and PMA milestones;
- Improve E-Gov PMO procedures and processes - Complete eGov technical assessment and reflect impact on DHS programs;
- Establish Government –wide eGov Working Group sponsored by DHS;
- Support Enterprise Architecture targets and enterprise transitions through eGov initiatives; and
- Move to and maintain Green on the PMA Scorecard for Status and Progress at the end of FY2009

Information Quality Program Management Office

- Maintain 100 percent Departmental compliance with Information Quality Act; and
- Implement Information Quality guidance and reflect improvement in information quality

FY2010 Planned Accomplishments

Paperwork Reduction Act Program Management Office

- Continue to provide Program Management Support for PRA compliance throughout the Department and ensure the Department maintains “zero violations”;
- Maintain 100 percent departmental compliance to Paperwork Reduction Act;
- Ensure Departmental information collection budget is submitted and remains within projection; and
- Ensure information collection requests are renewed or discontinued within guidance

E-Government Program Management Office

- Continuously improve the E-Gov Implementation process based on lessons learned from prior years and industry’s best practices;
- Maintain “green” score on the PMA Scorecard for Status and Progress through FY 2010;
- Improve the management of Level 1 investments;
- Integrate eGov process effectively with the DHS Enterprise Architecture (EA), IT Security, Earned Value Management (EVM), and Capital Planning and Investment Control (CPIC) efforts to form an effective overarching IT governance strategy to assist with maximizing value from each decision; and
- Complete 100 percent eGov implementation plan and PMA milestones

Information Quality Program Management Office

- Establish Information Quality PMO;
- Publish Information Quality (IQ) documents on the internal and external site;
- Develop CCB framework for addressing IQ discrepancies; and
- Maintain 100 percent departmental compliance to Information Quality Act

Cyber Identity and Credentialing (Smartcard)

Cyber Identity management includes the electronic matching of the appropriate users to the data, systems, and business transactions to which they require access. Cyber Identity management supports three of the Secretary’s five goals for the Department: Protect our Nation from Dangerous People; Protect the Critical Infrastructure; and Strengthen and Unify DHS Operations and Management. Each of these goals has need of strong electronic (cyber) identity management in order to ascertain who has access to information, networks and systems. Homeland Security Presidential Directive (HSPD-12) requires the issuance of a “secure and reliable form of identification” based on sound criteria for verifying an individual’s identity, is strongly resistant to identity fraud, tampering, counterfeiting and terrorist exploitation that can be rapidly authenticated electronically to all employees and contractors. The prescribed identification credential is a smartcard. Smartcard technology coupled with the required Public Key Infrastructure (PKI) provides a high assurance token to be used as the basis for logical access to Departmental Information Technology systems, supports enablement of Single Sign on (SSO) solutions, Attribute Based Access Control (ABAC) solutions and federated access control solutions. Combined, Smartcards, SSO, ABAC, and federated access control solution technologies offer high-security, and efficient user access to the Department’s information systems while allowing information sharing to our outward facing partners – other Federal Agencies, State, Local and Tribal governments.

FY 2008 Accomplishments

- Completed and awarded contract to support enterprise issuance of HSPD-12 smartcards;
- Established the central Identity Management System (IDMS) and Card Management System (CMS) to support the DHS enterprise issuance of the Smartcard;
- Interfaced IDMS and CMS to the DHS provided PKI Certificate Authority (CA) to support DHS Personal Identity Verification (PIV) Smartcard;
- Began the issuance of Smartcards to DHS employees in the National Capital Region; and
- Developed the requirements and implementation methodology to use Smartcards for logical access for the DHS enterprise

FY 2009 Planned Accomplishments

- Develop requirements, methodology, and begin implementation of two-factor logical access using smartcards; and
- Support the issuance of Smartcards for all new DHS employees and contractors

FY 2010 Planned Accomplishments

- Complete issuance of HSPD-12 Smartcards for all DHS employees and contractors; and
- Implement mandatory usage of HSPD-12 Smartcards for logical access

Communications Security (COMSEC)

The Homeland Security Central Office of Record (COR) was established to meet the national security policies associated with providing accounting, safeguarding and management control over classified communications security keying material and equipment.

The DHS COR provides COMSEC accounting services in accordance with established National Security Agency (NSA) policies and directives. This process includes processing incoming and outgoing transactions, destruction reports, and maintaining a consolidated database detailing the location and quantity of COMSEC material and key, updates DHS COMSEC accounting policies and COMSEC training.

The COMSEC program provides keying material and technical support to the Transportation Security Agency (TSA) Trace system, the DHS NOC, and Intelligence and Analysis (I&A) to protect classified communications. The COMSEC program provides a variety of COMSEC equipment and technical support to secure all the classified communications within the Department to protect the dissemination of intelligence information.

FY 2008 Accomplishments

- Provided updated COMSEC security policies and procedures annually for use by the Components and performed 60 Audits of COMSEC accounts;
- Procured 5 Taclane KG-175D to be used as training aids during the DHS COR COMSEC Equipment Training Class;
- Procured 302 KSV-21 Enhance Crypto Cards to replace the KOV-14 cards currently in use with the Secure Telephone Equipment (STE);
- Procured 20 Secure Mobile Environment Portable Electronic Devices (SME PEDs) for DHS Senior Management;
- Procured two power supplies for KIV-7M Dual Commercial Ancillary Model 3030 Dual Unit Housing with two power supplies for training during the DHS COR COMSEC Equipment Class;
- Procured 145 KSV-21 Enhance Crypto Cards (ECC) to replace the KOV-14 cards currently in use with the Secure Telephone Equipment (STE);
- Procured two KG-200 and two KG-201 for testing on the HSDN (Homeland Secure Data Network);
- Received 630 cards from NSA for component distribution as needed;
- Received 500 SDS data transfer devices from the Marines for component distribution as needed;
- Destroyed 2,000 obsolete items to include STU III's; and
- Trained 240 students in Simple Key Loader (SKL), Custodian and Administrator courses

FY 2009 Planned Accomplishments

- Develop modernization plan and transition all current voice communications using STU IIIs and STEs to new and enhanced cryptographic systems; this entails over 10,000 secure phones;

- Procure new COMSEC equipment to replace obsolete COMSEC equipment six months before the decertification dates;
- Train additional students in equipment and custodian administration courses;
- Field Enhanced Crypto Cards (ECC) by December 2009;
- Provide updated COMSEC security policies and procedures annually for use by the Components and perform audits of COMSEC accounts;
- Establish an interagency agreement with Tobyhanna Army Depot for equipment maintenance and repair;
- Conduct 100 percent inventory of COR #25 Account; and
- Develop curriculum for refresher custodian & supervisor courses

FY 2010 Planned Accomplishments

- Replace KG-175 IT data encryption devices and train users on new equipment;
- Present new Business Case to DHS Management for Regionalization of the COMSEC support structure which will close the 105 current accounts and consolidate to 15 accounts. This will save 180 positions in DHS for other duties as the current 250 full and part time COMSEC personnel are replaced with 70 full time personnel saving training, travel and audit funds and reducing account management costs. Identify locations of Regional support offices and obtain funding for FYs 2011 and 2012;
- Study use of Voice Over Internet Protocol (VOIP) secure phones for use on HSDN in lieu of the 6,500 STEs in use for classified communications;
- Procure SME PEDS to rest of DHS and business partners;
- Develop plan for an infrastructure to support the transition of DHS accounts from EKMS to the NSA mandated "Key Management Infrastructure (KMI)". This 5 to 7 year project will transition and replace all of the DHS Communications Security Infrastructure;
- Procure new COMSEC equipment to replace obsolete COMSEC equipment 18 months before the decertification dates;
- Recruit and train new Regional staff to assume COMSEC support Functions;
- Provide updated COMSEC security policies and procedures annually for use by the Components and perform audits of COMSEC accounts; and
- Develop Electronic Key Management System (EKMS) Operation and Maintenance (O&M) contract

PPA: Security Activities

	Perm Pos	FTE	Amount
2008 Actual	0	0	\$97,527
2009 Enacted	0	0	92,623
2010 Adjustments-to-Base	0	0	(22,020)
2010 Current Services	0	0	70,603
2010 Program Change	0	0	81,800
2010 President's Budget	0	0	152,403
Total Change 2009-2010	0	0	59,780

The Office of the Chief Information Officer requests \$152.4 million for this activity, an increase of \$59.8 million over FY 2009 Enacted. The net adjustment-to-base is for a reduction of one time funding for NCCIPS and anticipated increased payments of Working Capital Fund services. The CIO is requesting in program funding of \$58.800 million for the DHS Data Center consolidation effort and \$23.000 million for the Information Security and Infrastructure program to enhance network security, internet gateway, and initiate single sign on capability.

CURRENT SERVICES PROGRAM DESCRIPTION:

WATCH LIST

The Watch List program supports the sharing of information included within the Watch List database and accomplishes the technical integration required to interoperable share these data in a secure manner with key DHS and other entities. The Watch List Technical Integration program accomplished its intended goal at the end of FY 2008.

FY 2008 Accomplishment

- Completed implementation of the Watch List Service

FY 2009 -2010 Planned Accomplishment

- Provide Operation and Maintenance Support to Watch List Service

Information Security and Infrastructure

The Information Security & Infrastructure (ISI) appropriation supports investment and investment-related Operations and Maintenance (O&M) and O&M for the capabilities developed in the Enterprise Services Division (ESD) of the IT Services Office (ITSO). Specifically, the ISI appropriation funds development of capabilities in Network Services, ADEX/Email Services, and supports the management and oversight of the ITP.

Network Services

The Steward for the Network Services project is Customs and Border Protection (CBP). Network Services will provide a reliable, resilient and secure DHS-wide data network that streamlines appropriate sharing and discovery of information within the Department and associated organizations. The core of the unified environment will be consolidating all legacy networks to one enterprise-wide, integrated network called "OneNet." Major services provided by Network Services include:

- DHS OneNet - Wide Area Network (WAN) Services
- Network and Security Operations Centers
- Traffic Modeling and Data Analysis
- IP Address Administration

- Network Management
- Access Controls

OneNet will be comprised of two independent Multi-Protocol Label Switching (MPLS) networks, each provided by a separate vendor. Through physical line redundancy and first-tier vendor carrier delivery, the WAN systematically provides continuity and network availability. DHS sites will be connected to the WAN via two physical connections, each terminating at a different vendor's MPLS network. Key features of the MPLS-based network employed by OneNet include increased flexibility, scalability and security, as well as a lower total cost of ownership.

The Network Operations Centers/Security Operations Centers (NOC/SOC) will centrally oversee DHS' infrastructure systems and network components. Incident response and detection is coordinated and escalated by the NOC/SOC within the network security and computing services groups depending on the nature of the breach or failure. This aids in availability management and capacity management by providing respective service groups with collected monitoring data.

Transitioning DHS Network Services (Legacy and OneNet) to General Services Administration's (GSA) Network Contract will achieve greater network functionality and telecommunications capabilities than possible under the previous GSA contract vehicle.

FY 2008 Accomplishments

- Five FEMA sites in Washington, DC migrated to the DHS Washington Metropolitan Network, thus joining the OneNet;
- Moved six of 10 major components to the new Trusted Internet Connection (TIC). USSS, OIG, HQ, CIS, ICE and FLETC now have the greatly enhanced protection offered by the TIC and monitor internet traffic. This is a major step in OneNet consolidation and great progress towards OMB's TIC goals;
- Established OneNet connectivity at DHS Data Center 2 (DC2);
- Moved ICE, CIS, FLETC, and DHS HQ legacy public-facing Domain Name System (DNS) to DHS Data Center 1 (DC1). All Component DNS can now be efficiently managed; and
- Established a Remote Security Authorization (RSA) Infrastructure at DC1. Implemented the RSA Deployment Manager to provide an enterprise-wide SecureID solution for all Components

FY 2009 Planned Accomplishments

- SOC Engineering Tool Set Implementation and Monitoring;
- Implement Enterprise Anti-Virus Services;
- Wireless/Satellite Integration;
- Performance Analysis & Management;
- Maintain Network Port Security;
- Integrate voice over IP and video conferencing capabilities using the OneNet infrastructure as a transport vehicle;
- Migrating all DHS Component Internet, remote access, extranet, and application hosting services at designated TIC locations;
- Transitioning all high availability Component sites to Networkx;
- Maintain existing Network Operations Center (NOC)/Security Operation Centers capability.
- Maintain Internet and Extranet Gateways;
- Update and maintain Infrastructure Information Repository (IIR); and
- Support transition to IPv6

FY 2010 Planned Accomplishments

- Network Services - Transition Component Network Operations and the consolidation of major large program networks such as HSDN to OneNet Operations and Administration;
- Engineering Enhancements & Upgrades; and
- IPv4 Alignment Support

Active Directory and Exchange (ADEX)/Email Services

The Steward for ADEX/Email Services is the US Coast Guard (USCG). Email and active directory services will provide more effective communication between and within DHS. Consolidate legacy email systems being used throughout the various agencies within DHS to implement a standard DHS intranet for efficient and rapid communication dissemination across all DHS entities. ADEX/Email Services will allow personnel to gain access to critical business communications and are designed to deliver greater security, availability, and reliability.

Major services provided by the ADEX/Email Services program include:

- Consolidated DHS-wide Global Address List (GAL)
- Standard email naming convention
- Delivery and management of a DHS-wide active directory
- Delivery of a DHS-wide email platform

FY 2008 Accomplishments

- Achieved Secretary's goal of having one enterprise, trusted email system with a common address list, allowing users to access contract information for all individuals with in the Department quickly and easily;
- Worked with counterparts at DOJ to establish a process for using Exchange mail to meet National Audit and Registration Agency policy concerning official records management;
- Implemented anti-spoofing filters and managed exception requests for the Directory Services and Email System (DSES);
- Installed hardware and created a lab at the Telecommunications and Information Systems Command (TISCOM) to emulate the IOC (Initial Operating Capability) and FOC (Final Operating Capability) environments for active directory, email centralization, and email archiving;
- Installed hardware and necessary software at the Stennis data center for the IOC active directory, email centralization, and email archiving;
- Simulated email archiving boundaries and developed an engineered solution for IOC for email archiving; and
- Completed testing of technologies and performance baseline for IOC

FY 2009 Planned Accomplishments

- Maintain at least 99.9 percent LAN availability 24 x 7 except for periods of scheduled downtime;
- Perform annual security auditing and vulnerability testing to maintain the system within DHS security guidelines and standards as defined by the DSES Information System Security Manager (ISSM) and Designated Accrediting Authority (DAA) of DHS OneNet;
- Develop and supply metrics for network usage to allow for potential DSES bandwidth increases;
- Enhance and improve the anti-spam and anti-phishing capabilities;
- Purchase and install data in motion forensic software to protect against classified and personally identifiable information (PII) spillage; and
- Transitioning DHS e-mail gateways to the DHS TIC locations at both data centers

FY 2010 Planned Accomplishments

- Maintain at least 99.9 percent LAN availability 24 x 7 except for periods of scheduled downtime;

- Perform annual security auditing and vulnerability testing to maintain the system within DHS security guidelines and standards as defined by the DSES Information System Security Manager (ISSM) and Designated Accrediting Authority (DAA) of DHS OneNet; and
- Assess the need for and provide system and application software upgrades as mandated by DHS security requirements

National Center for Critical Information Processing and Storage

NCCIPS funding is used by DC1, located in Stennis, Mississippi, for a data services center for critical infrastructure information, including development, operations and maintenance, and power upgrades, thereby reducing unnecessary and duplicative investments by the government. Integrating the multiple centers and infrastructure to the primary and secondary NCCIPS data centers will present significant opportunities for cost saving and provide the best investment for DHS critical information requirements. NCCIPS funds will be used to utilize DC1 at the highest capacity throughout the fiscal year.

FY 2008 Accomplishments

- Completed major power assessment for required component provisioning at DC1;
- Identified areas for power-provisioning to optimize current power levels and interim and long-term solutions, including developing a Memorandum of Understanding with NASA for power sharing and construction of a new power station; and
- Awarded operations and maintenance services contract for DC1 services support

FY 2009 Planned Accomplishments

- Continue with power upgrades through Phase IB which include diesel fuel supply upgrades for Zone A/B and G/H;
- Initiated projects to implement interim and long term power solutions; and
- Complete interim power solutions at DC1 to support migration progress and make progress on long term/final solution

FY 2010 Planned Accomplishments

- Complete power upgrades at DC1 to fully meet Tier III standards by acquiring and installing an additional generator, uninterrupted power supply, chiller, computer room air conditioner, and power distribution units; and
- Continue power upgrade for Phases II and III, including electrical upgrades

Data Center Development

Two enterprise-wide data centers will consolidate the Department's seventeen existing data centers. Data Center Services will provide management and control of data center hardware, operating systems software, and environmental systems. Both data centers will have the ability to continuously synchronize applications based upon mission requirements, so either facility can seamlessly take over in the event of a disaster. The DHS Data Center capabilities will provide the personnel and tools to manage service delivery and support activities.

Major services provided by Data Center Services include:

- Capacity management
- Availability management
- System management and administration
- Hardware/software maintenance
- Facility monitoring, management, and security
- Disaster recovery management and testing

The Data Center Development appropriation provides funding to consolidate and assist migrating data center environments to two enterprise-wide DHS Data Centers. The program will focus on continuing to build capabilities at both DHS Data Centers.

FY 2008 Accomplishments

- Received additional space at DC2, bringing the total to 60,000 plus square feet of raised floor space;
- Completed DHS Infrastructure Information Repository Update, DHS Secure Wireless Access Prototype project, and iCAV(NPPD) relocation at DC1;
- Complete migration of HSDN backup capabilities to DC1; and
- Completed major Ashburn data center migration to DC1

FY 2009 Planned Accomplishments

- Began Federal Emergency Management Agency (FEMA) discovery efforts for migration to DC2;
- Establish disaster recovery capability between the two DHS Data Centers in support of DHS Strategic Goal 3.2 to ensure continuity of government communications and operations;
- Complete TSA and DOJ hosted (CIS, ICE, US-VISIT, OIA) component migrations into DC2; and
- Conduct HSDN migration to DC2 and then synchronize HSDN services between DC1 and DC2

FY 2010 Planned Accomplishments

- Complete major component data center migrations into the two DHS Data Centers; and
- Fully address component disaster recovery within the two data centers

PPA: Wireless Activities

	Perm Pos	FTE	Amount
2008 Actual	0	0	\$23,770
2009 President's Budget	0	0	0
2010 Adjustments-to-Base	0	0	0
2010 Current Services	0	0	0
2010 Program Change	0	0	0
2010 Request	0	0	0
Total Change 2009-2010	0	0	0

Wireless Program

The Office of the Chief Information Officer requests \$0 million for this activity. This section is provided to show current accomplishments being attained through the execution of prior year carryover funding. The carryover funding for FY2009 is \$2.6 million. The program transferred to the Office of Emergency Communications within the National Protection and Programs Directorate (NPPD) in FY 2007.

FY 2008 Accomplishments

- DHS Wireless Services successfully led and met the March 26, 2008 deadline for transitioning all DHS systems out of the 1710-1755 MHz frequency band;
- Developed and finalized FY 2009-FY 2010 Wireless Services objectives, goals, and spend plans;
- Coordinated interoperable and emergency communications for disasters and tropical storms (e.g., Iowa floods, Dolly, Gustav, Hanna, Ike) with FEMA and Components;
- Supported SBInet Spectrum needs in the Southwest Border –Arizona (e.g., TUS-1, AJO-1); and
- Funded ICE and CBP wireless O&M activities and National Telecommunications and Information Administration (NTIA) Spectrum fees

FY 2009 Planned Accomplishments

- Develop consolidated DHS Wireless Spend Plans to document within-guidance and program increase funding requirements for the Department through FY 2014;
- Complete restoration of Component (i.e. ICE, CBP) capabilities lost due to the 1710-1755 MHz AWS transition;
- Ensure Alignment of wireless investments with DHS policy guidelines and Enterprise Architecture—per DHS MD 4100; and
- Provide Spectrum support to Component missions and continue to participate in National Telecommunications Information Administration (NTIA) committees including Interdepartmental Radio Advisory Committee (IRAC), Frequency Assignment Subcommittee (FAS), Spectrum Planning Subcommittee (SPS), Emergency Planning Subcommittee (EPS) and Technical Subcommittee (TSC) to represent the spectrum interests of DHS

FY 2010 Planned Accomplishments

- Develop and provide input to the annual DHS Strategic Spectrum Plan for FY 2010;
- Develop Common Architecture View of DHS wireless infrastructure through integration of Component inventories to identify sharing opportunities and system vulnerabilities—per DepSec guidance;
- Lead coordination of wireless programs across the department to maximize DHS investments through the sharing of spectrum, infrastructure, and other resources—per DepSec guidance; and
- Promote integration of DHS Wireless systems onto a common OneNet backbone—per CIO guidance

PPA: Homeland Secure Data Network

	Perm Pos	FTE	Amount
2008 Actual	0	0	\$26,038
2009 Enacted	0	0	47,673
2010 Adjustments-to-Base	0	0	(12)
2010 Current Services	0	0	47,661
2010 Program Change	0	0	...
2010 President's Budget	0	0	47,661
Total Change 2009-2010	0	0	(12)

The Office of the Chief Information Officer requests \$47.611 million for this activity, a decrease of \$12,000 over FY 2009 Enacted. The adjustment-to-base is a reduction in funding for payment of Working Capital Fund services.

Homeland Secure Data Network (HSDN)

HSDN is a single program within DHS that enables agencies to collaborate and communicate effectively at a SECRET-classified level among Federal and State government and supporting entities. With HSDN capabilities, DHS has the ability to collect, disseminate and exchange both tactical and strategic intelligence information throughout DHS and DHS partners.

- HSDN has established 112 sites composed of some 1,940 seats;
- HSDN has approximately 4,854 established end user accounts who currently logon and exchange information across HSDN in performing their daily mission requirements; and
- HSDN currently operates its system-wide core capabilities and infrastructure consisting of its Network Operating Center (NOC), Secure Operating Center (SOC), four-tiered helpdesk, first data center, and system-wide telecommunications backbone on 24-hour operations in support of the mission requirements of its established end users

FY 2008 Accomplishments

- Established and maintained periodic HSDN program self-assessment and evaluation through the DHS established Operational Analysis periodic review and reporting process, for identifying areas for improvements in costs and operational efficiencies and effectiveness;
- Established support to the mission requirements of DHS component organizations and its homeland security partners staying abreast of and identifying applicable advancing information and applied technologies capable of improving data gathering, fusion, analysis, intelligence gathering and dissemination at a SECRET-classified level;
- Supported NCCC effort as a key member of the NCCC working group, developed NCCC overall architecture and government furnished equipment re-use, and developed a pilot plan for SME-PED and deployed a SME-PED test environment;
- Identified a DTECH Closed Storage solution that fits in a standard Mosler safe drawer, collaborated with L3 to address and correct talon short-comings (failover, multiple sign-ons, and lack of Firefly keys), coupled solution with a Thin Client laptop capability. Completed the integration of the DTECH Closed storage solution and successfully deployed the first 5 units;
- Completed the integration of the L3 Talon to provide a low cost HSDN solution (Successfully deployed the Talon solution to DOT CMC site);
- Successfully deployed 31 new sites (including 4 other government agency sites – Nuclear Regulatory Commission (3 sites) and Department of Energy (1 site)) and includes 2 HSDN sites to support the Democratic and Republican National Conventions;

- Successfully implemented a solution to provide connectivity for the TSA Trace system to HSDN (provides Secret Internet Protocol Router Network (SIPRNet) connectivity and provides Trace users HSDN email);
- Completed the Info Work Space Pilot implementation for the I&A;
- Successfully transitioned the I&A web hosting application into the HSDN DMZ infrastructure;
- Completed the transition from the Coast Guard High Assurance Guard (HAG) to DISA HAG; and
- Supported the national COOP exercise in May

FY 2009 Planned Accomplishments

- Complete critical refreshment of one third of the established system-wide core infrastructure and site-specific aging HSDN equipment;
- Complete annual Operational Analysis periodic review and reporting process, for identifying areas for improvements in costs and operational efficiencies and effectiveness;
- Transition of Level 3 circuits to OneNet (83 sites);
- Transition the Primary HSDN Data Center from the Fair Lakes facility to the EDS facility at Clarksville, VA;
- Relocate HSDN NOC / SOC functions to DHS NCA Bldg 100 SMC / NMC; and
- HSDN Deployment to 198 new sites, in addition to the 52 new sites included in the O&M baseline (250 total new sites in FY 2009) with the potential for an additional 150 sites for a total of 400 new sites deployments in FY 2009)

FY 2010 Planned Accomplishments

- Complete annual Operational Analysis periodic review and reporting process, for identifying areas for improvements in costs and operational efficiencies and effectiveness;
- Continue tech refresh of site-specific aging equipment; and
- Continue build out of HSDN

IV. Program Justification of Changes

**Department of Homeland Security
 Departmental Management and Operations
 Office of the Chief Information Officer
 Justification of Program Changes**
 (Dollars in Thousands)

Program Increase 1: COMSEC Modernization

Strategic Goal(s) & Objective(s): Goal 1: Protect Our Nation from Dangerous People
Goal 3: Protect Critical Infrastructure
Goal 4: Strengthen Our Nation’s Preparedness and Emergency Response Capabilities
Objective 1.1: Achieve Effective Control of Our Borders
3.1: Protect and Strengthen the resilience of the Nation’s Critical Infrastructure and Key Resources
4.1: Ensure Preparedness
4.2: Strengthen Response and Recovery

PPA: Information Technology Services

Program Increase: Positions 0 FTE 0 Dollars \$6,700

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							\$1,322
Program Increase							6,700
Total Request	\$1,490	\$1,351	\$8,022

Description of Item

Communications Security (COMSEC) supports the Department’s activities for acquisition and fielding of replacement communications security equipment, and technical training for equipment installers, maintainers, users, and custodians. The program provides for equipment upgrades that will allow the Department to comply with National Security Policies and ensure a viable and integrated program that enables the Department to communicate securely internally and externally to federal, state and local government entities. This initiative establishes regional technical training on new COMSEC equipment used to secure transmission of the Department’s classified National Security, Terrorist Threat and Intelligence Information.

The Homeland Security Central Office of Record (COR) was established under MD 4300B to administer the National Security Policies required providing accounting, safeguarding and management control over Type 1 COMSEC keying material and equipment. The COR provides consolidated COMSEC accounting services, training and assists in providing acquisition and maintenance of COMSEC equipment for the Department. The DHS COR develops and publishes policy and

procedures for the operation and use of Type 1 COMSEC equipment and cryptographic keying material within DHS and insures compliance with Departmental and National security policies and procedures.

Justification

The COMSEC program requests recurring funding for this enhanced capability in order to replace equipment that has a useful life of 3 to 5 years. The recurring funds will also cover the operations and maintenance costs of existing and new COMSEC equipment to fully support the Department's approach to increase information sharing in a secure environment with other government agencies, state, local, private partners, and stakeholders.

Directive/Mandate:

1. NCSC 1, National Policy for the Safeguarding and Control of Communications Security Material states: "The Heads of Departments and Agencies are responsible for implementing within their Department or Agency the provision of National COMSEC Directives and Instructions. Section I Policy paragraph 2 states:" ...there shall be established within each Department and Agency holding COMSEC cryptographic keying material a COMSEC Material Control System into which all COMSEC cryptographic keying Material shall be placed. Other COMSEC material may be placed in the COMSEC Material Control System or any other material control system which provides the requisite degree of security, accounting, modification and management control."

2. National Security Directive 42 (NSD-42) National Policy for the Security of National Security Telecommunications and Information systems. "Paragraph 2a, "Policies. US Government national security systems shall be secured by such means as are necessary, to prevent compromises denials or exploitations."

Decertification of Equipment (\$4.5 million) The National Security Agency (NSA) has decertified 13 types (more than 15,000 separate units) of COMSEC equipment over the last two years. As part of this de-certification process, NSA has established December 31, 2009 as a "last day of use" for these items. After that date NSA will not guarantee the security of the information being protected. The requested funding will cover the cost of replacing the more than 15,000 pieces of de-certified equipment, as well as associated user training, installation and disposal.

Fielding and Custodian Training (\$500,000) Additional funding is needed to field the proposed new equipment and train users on the operation and installation of the equipment. If approved, these funds will be used to destroy the old equipment, install the new equipment and train the custodians on the new equipment. The installation of the new security equipment on all DHS Classified network is a significant change to the network topology and will require all DHS Classified networks to redo their Certification and Accreditations (C&A).

Operations and Maintenance (\$1.7 million). Additional funding is needed to cover operations and maintenance of existing COMSEC devices that have a 5 year life span.

Impact on Performance (Relationship of Increase to Strategic Goals)

COMSEC Supports the Secretary's Priorities:

1. Continue to protect our nation from dangerous people:

The COMSEC program provides keying material and technical support to the TSA Trace system and the National Command and Coordination Capability (NCCC) program. COMSEC key and equipment is also used by the DHS NOC, CBP, ICE, CIS, NPPD and I&A to protect classified communications used to transport Intelligence information within DHS and to our business partners. The COMSEC program provides a variety of COMSEC equipment and technical support to secure all the classified communications within the Department to protect the dissemination of Intelligence information on dangerous people and their activities.

3. Protect Critical Infrastructure:

The COMSEC program provides the security for voice and data communications to The NCCC program, State and Local Governments, State EOCs and Fusion Centers to enable the passing of classified threat information.

4. Strengthen Our Nation's Preparedness and Emergency Response Capabilities:

The COMSEC program supports the FEMA Mobile Emergency Response Systems and FEMA Regions with COMSEC key and equipment to protect all means of communications including satellite, voice data and paper encryption schemes. The program provides keying material, COMSEC equipment, maintenance support and training on encryption equipment to Users and COMSEC support personnel. Technical guidance on procurements and systems design of COMSEC equipment for new networks also provided to support this goal.

Program Increase 2: Information Security and Infrastructure
Network Security/Internet Gateway/Single Sign On

Strategic Goal(s) & Objective(s): Goal 5: Strengthen and Unify DHS Operations and Management
Objective 5.1: Improve Department Governance and Performance

PPA: Security Activities

Program Increase: Positions 0 FTE 0 Dollars \$23,000

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							\$44,653
Program Increase							23,000
Total Request	\$26,641	\$44,653	\$67,653

Description of Item

Network Security Enhancements (\$10.4 million): This funding will mitigate high risk areas within the DHS firewall. This request will establish critical Policy Enforcement Points across the DHS Network, improve DHS Security Operation Center capabilities (i.e., remediation, forensics), and establish robust classified facilities with highly skilled analysts. Network Security Enhancements will identify all internet connections for remediation by migrating legacy connections behind the DHS Trusted Internet Connections (TICs).

Internet Gateway Enhancements (\$8.4 million): Additional funding will mitigate high risk areas for DHS at the perimeter. This request will implement a High Assurance Guard to support mission requirements for accessing social networking sites and establish the DHS Email Disaster Recovery capability where 100 percent of all email traffic behind the two DHS TICs.

Single Sign-On (SSO) Capability (\$4.2 million): Increased FY 2010 funding will be utilized to initiate the application integration efforts and kick-off of the Single Sign-On project. This funding will leverage best of breed technologies to improve operator timely, secure access to mission applications for DHS employees and, Federal, State, Local and Private Sector Partners. This implementation will be closely aligned with the Homeland Security Presidential Directive (HPSD) 12: Policy for a Common Identification Standard for Federal Employees and Contractors. Specifically, funding will establish an implementation team to oversee and execute the application integration and establishment of the core infrastructures for AppAuth, eAuth, the SSO Gateway, and Service Oriented Architecture required under the SSO project. By implementing SSO, DHS computer users will be able to log-in to their systems with only a single set of credentials in order to access multiple applications, minimizing the need for a user to log-in multiple times for different applications.

Justification

The above priorities support DHS’s ability to develop a unified Defense-in-Depth response and implement sustainable enterprise controls to facilitate safe and secure information sharing within and across appropriate mission boundaries.

This funding will protect the DHS network from the risk for privacy and security concerns as well as the risk that sensitive component data may be compromised. Single sign-on funding, will provide valuable security and auditing measures to support the complex information technology infrastructure across DHS.

Impact on Performance (Relationship of Increase to Strategic Goals)

This increase supports DHS Strategic Goal 3: Protect Critical Infrastructure, Strategic Objective 3.3 Improve Cyber Security. The Department is aligning infrastructure cyber security under a comprehensive, IT security strategy that maintains an appropriate set of common enterprise controls to facilitate information sharing within and across all appropriate mission boundaries.

This increase also directly support DHS's Strategic Goal 5: Strengthen and Unify DHS Operations and Management, Strategic Objective 5.1 Improve Department Governance and Performance by implementing a comprehensive, defense-in-depth IT security strategy that maintains an appropriate set of common enterprise controls to facilitate information sharing within and across all appropriate mission boundaries.

Program Increase 3:

Data Center Development
Consolidate to Secure Data Center Environment

Strategic Goal(s) & Objective(s): Goal 5: Strengthen and Unify DHS Operations and Management
Objective 5.1: Improve Department Governance and Performance

PPA: Security Activities

Program Increase: Positions 0 FTE 0 Dollars \$58,800

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							\$23,988
Program Increase							\$58,800
Total Request	\$28,504	\$23,830	\$82,788

Description of Item

Data Center Development (DCD) funding supports unifying IT infrastructure by continuing to migrate twenty-four legacy data centers into two large-scale, secure and scalable data center facilities for the Department of Homeland Security (DHS) Enterprise (DC1 and DC2). DCD funds essential infrastructure and support services for two enterprise-wide DHS Data Centers to meet current and anticipated data service requirements.

A key to success is DHS integrating the legacy workforce, processes, and systems into a unified organization. Consistent with this need, the DHS Chief Information Officer (CIO) established a vision to achieve an objective to centrally manage services, including Information Technology (IT). The “One Infrastructure” vision requires a common IT infrastructure across all DHS. This will improve information sharing via an enterprise-wide, consolidated IT infrastructure, supporting all of DHS’s strategic goals and business objectives: awareness, prevention, protection, response, recovery, services and organizational excellence.

In support of this mission, DHS launched the Data Center Services project to coordinate and oversee the provision of services and facilities for the collocation/consolidation of numerous disparate computing facilities that currently support all DHS Components. The project’s strategic vision is to reduce the number of existing data centers to two secure, geographically diverse locations to minimize infrastructure while enhancing the disaster recovery posture of the Department. This funding directly supports the objectives of the Data Center Services project by providing critical services required at the DHS Data Centers.

Justification

Increased funding in FY 2010 will focus on further migration activity of Component systems, applications and disaster recovery to the DHS Enterprise Data Centers for central DHS management. FY 2010 funding will provide essential data center capability enhancements and support services to facilitate Components migrations from legacy Component data centers into the DHS Data Centers. This includes essential power upgrades required to enable DC1 to be able to reach full capacity

Benefits derived from consolidation are enhanced IT security posture, improved information sharing with stakeholders, reduced security vulnerabilities and improved monitoring capability. Collocation and consolidation will provide a number of benefits over the environments that currently exist within the disparate Component computing facilities. Reducing the overall computing asset footprint will result in reduced system maintenance, management, and administration costs, while a merging of existing operations and maintenance contracts will increase operational efficiency overall. The Data Center consolidation efforts will standardize IT resource acquisitions across Components, as well as streamline maintenance and support contracts, allowing for less complex vendor support and expediting response times in the event of an emergency. The previous, non-unified networking structure made communication and information exchange across the Department enterprise arduous, thereby inhibiting mission success and timeliness. The consolidated environment will also position DHS to take maximum advantage of emerging technologies such as utility computing, virtualization and cloud computing; further improving the efficiency of the DHS infrastructure environment. The FY2010 program increase will be utilized as a contribution into the newly proposed Data Center Consolidation WCF activity in order to maximize efficiency for the procurement of services.

Impact on Performance (Relationship of Increase to Strategic Goals)

Data Center Development funding supports the migration of Component data center environments to two enterprise-wide DHS data centers. This action directly relates to DHS Strategic Goal 3: Protect Critical Infrastructure, Strategic Objective 3.2 to Ensure Continuity of Government Communications and Operations and DHS Strategic Goal 5: Strengthen and Unify DHS Operations and Management, Strategic Objective 5.1 Improve Department Governance and Performance. By establishing two enterprise data centers, DHS has established the capabilities to integrate, consolidate, and transform the individual Component Infrastructures into a single, world-class IT infrastructure capable of supporting the significant demands required of an organization of more than 210,000 employees along with the information sharing requirement of Federal, State, local and tribal business partners.

Without the requested increased funding, DC1 will not be able leverage the existing raised floor space, due to a lack of power caused by limited facilities infrastructure. Furthermore, Component migration schedules will be impacted, elongating DHS' current risk of operating disparate information systems thereby forcing the Department to continue to accept cyber security threats this consolidated effort is focused on addressing.

Furthermore, Components will continue to operate stovepipe information systems and not benefit from a cost-effective, integrated IT infrastructure to optimize information sharing and achieve DHS goals. Furthermore, migration efforts to enterprise facilities will be severely hampered because the Department and Components will have to find offsets in existing O&M budgets to provide the necessary infrastructure required to continue Component migrations.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Departmental Management and Operations
Justification of Proposed Changes in the Office of the Chief Information Officer
Appropriation Language**

For necessary expenses of the Office of the Chief Information Officer, as authorized by section 103 of the Homeland Security Act of 2002 (6 U.S.C. 113), and Department-wide technology investments, [\$272,169,000] **\$338,393,000**; of which [\$86,928,000] **\$86,912,000** shall be available for salaries and expenses; and of which [\$185,241,000] **\$251,481,000** shall be available for development and acquisition of information technology equipment, software, services, and related activities for the Department of Homeland Security, to remain available until expended.

B. FY 2008 to FY 2009 Budget Change

**Department of Homeland Security
 Departmental Management and Operations
 Office of the Chief Information Officer
 FY 2009 to FY 2010 Budget Change
 (Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual	91	70	\$279,976
FY 2009 Enacted	94	94	272,169
Adjustments-to-Base			
Transfers to and from other accounts:			
Transfer to OSEM for Executive Travel.....	---	---	(313)
Total Transfers	---	---	(313)
Increases			
Annualization of 2009 pay raise.....	---	---	136
2010 pay increase.....	---	---	450
WCF.....	---	---	447
Working Capital Fund NCRIIO Adjustment.....	---	---	34
Total Increases	---	---	1,067
Decreases			
GSA Rent.....	---	---	(730)
National Center for Critical Information Processing and Storage.....	---	---	(22,300)
Total Decreases	---	---	(23,030)
Total Adjustments-to-Base	---	---	(22,276)
2010 Current Services	94	94	249,893
Program Changes			
Program Increases/(Decreases)			
Data Center Consolidation.....	---	---	58,800
COMSEC Modernization.....	---	---	6,700
Information Security and Infrastructure.....	---	---	23,000
Total Program Changes	---	---	88,500
2010 Request	94	94	338,393
2009 to 2010 Total Change	---	---	66,224

C. Summary of Requirements

Department of Homeland Security
Departmental Management and Operations
Office of the Chief Information Officer
 Summary of Requirements
 (Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	91	70	\$279,976
2009 Enacted	94	94	272,169
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	---	---	(313)
Increases	---	---	1,067
Decreases	---	---	(23,030)
Total Adjustments-to-Base	---	---	(22,276)
2010 Current Services	94	94	249,893
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	---	---	88,500
2010 Total Request	94	94	338,393
2009 to 2010 Total Change	---	---	66,224

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Salaries and Expenses	94	94	\$86,928	---	---	(\$16)	---	---	\$ ---	94	94	\$86,912	---	---	(\$16)
2 Information Technology Services	---	---	44,945	---	---	(228)	---	---	6,700	---	---	51,417	---	---	6,472
3 Security Activities	---	---	92,623	---	---	(22,020)	---	---	81,800	---	---	152,403	---	---	59,780
4 Wireless Activities	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---
5 Homeland Secure Data Network	---	---	47,673	---	---	(12)	---	---	---	---	---	47,661	---	---	(12)
Total	94	94	\$272,169	---	---	(\$22,276)	---	---	\$88,500	94	94	\$338,393	---	---	\$66,224

D. Summary of Reimbursable Resources

**Department of Homeland Security
Departmental Management and Operations
Office of the Chief Information Officer
Summary of Reimbursable Resources
(Dollars in Thousands)**

Collections by Source	FY 2008 Actual			2009 Revised Estimate			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
National Protection and Programs Directorate	---	---	---	---	---	\$1,108	---	---	\$205	---	---	(903)
United States Citizenship and Immigration Services	---	---	---	---	---	\$15	---	---	\$20,701	---	---	20,686
Customs and Border Protection	---	---	---	---	---	\$125	---	---	\$42,246	---	---	42,121
Transportation Security Administration	---	---	\$10,842	---	---	\$455	---	---	\$71,651	---	---	71,196
Federal Emergency Management Agency	---	---	---	---	---	\$1,640	---	---	\$39,516	---	---	37,876
Immigration and Customs Enforcement	---	---	\$477	---	---	\$979	---	---	\$15,585	---	---	14,606
United States Secret Service	---	---	\$900	---	---	---	---	---	\$30,073	---	---	30,073
United States Coast Guard	---	---	---	---	---	\$551	---	---	\$45,219	---	---	44,668
United States Visit	---	---	\$4,200	---	---	\$8	---	---	\$114,070	---	---	114,062
Federal Law Enforcement Training Center	---	---	---	---	---	\$3	---	---	---	---	---	(3)
Domestic Nuclear Detection Office	---	---	---	---	---	\$10	---	---	---	---	---	(10)
Office of Intelligence and Analysis	---	---	---	---	---	\$2,675	---	---	---	---	---	(2,675)
Office of Inspector General	---	---	---	---	---	\$13	---	---	---	---	---	(13)
Office of Chief Security Officer	---	---	---	---	---	\$15	---	---	---	---	---	(15)
Science and Technology	---	---	---	---	---	28	---	---	---	---	---	(28)
Federal Air Marshall Service	---	---	---	---	---	30	---	---	---	---	---	(30)
Office of the Chief Administrative Officer	---	---	---	---	---	5,250	---	---	---	---	---	(5,250)
Total Budgetary Resources	---	---	16,419	---	---	12,905	---	---	379,266	---	---	366,361

Obligations by Program/Project Activity	FY 2008 Actual			2009 Revised Estimate			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Salaries and Expenses			\$12,219	---	---	\$12,905	---	---	\$265,196	---	---	252,291
Security Activities			4,200	---	---	---	---	---	114,070	---	---	114,070
Total Obligations	---	---	16,419	---	---	12,905	---	---	379,266	---	---	366,361

Explanation of Increase/Decrease.

Salaries and Expenses: Reimbursement for Enterprise Data Management Office and National Information Exchange Model (NIEM) data standards and component data center migration efforts
Security Activities: Reimbursement for US Visit data center migration

E. Summary of Requirements by Object Class

Department of Homeland Security
Departmental Management and Operations
Office of the Chief Information Officer
Summary of Requirements by Object Class
(Dollars in Thousands)

Object Classes	FY 2008 Actual	2009 Enacted	FY 2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$7,201	\$11,497	12,083	\$586
11.3 Other than full-time permanent	\$130	\$390	398	8
11.5 Other Personnel Compensation	\$285	\$326	356	30
11.8 Special Service Pay	\$220	\$2,935	3,406	471
12.1 Benefits	\$1,823	\$5,818	5,309	(509)
13.0 Benefits - former	---	---	---	---
Total, Personnel Comp. & Benefits	\$9,659	\$20,966	\$21,552	\$586
Other Object Classes:				
21.0 Travel	\$697	\$545	\$451	(94)
22.0 Transportation of things	\$34	\$25	\$33	8
23.1 GSA rent	\$4,260	\$6,106	\$5,377	(729)
23.2 Other rent	\$20	\$90	\$20	(70)
23.3 Communications, utilities, & other misc. charges	\$9	\$22,771	\$110	(22,661)
24.0 Printing and reproduction	\$6	\$51	\$40	(11)
25.1 Advisory and assistance services	\$80,219	\$123,934	\$82,120	(41,814)
25.2 Other services	\$2,411	\$18,742	\$11,621	(7,121)
25.3 Purchases of goods & svcs. from Gov't accounts	\$80,142	\$41,143	\$56,710	15,567
25.4 Operation & maintenance of facilities	\$23,754	\$20,258	\$10,670	(9,588)
25.5 Research and development contracts	\$11,422	\$400	\$284	(116)
25.6 Medical care	\$11	\$2	---	(2)
25.7 Operation and maintenance of equipment	\$15,217	\$66,917	\$98,650	31,733
25.8 Subsistence and support of persons	---	---	---	---
26.0 Supplies and materials	\$414	\$303	\$435	132
31.0 Equipment	\$51,580	\$45,409	\$50,320	4,911
32.0 Land & structures	---	---	---	---
41.0 Grants/Subsidies/Contributions	---	---	---	---
42.0 Indemnity	\$119	---	---	---
43.0 Interest & dividends	\$2	\$20	---	(20)
44.0 Refunds	---	---	---	---
91.0 Unvouchered	---	---	---	---
99.0 Other	---	---	---	---
Total, Other Object Classes	\$270,317	\$346,716	\$316,841	(\$29,875)
Total, Direct Obligations	\$279,976	\$367,682	\$338,393	(\$29,289)
Unobligated balance, start of year	(86,559)	(95,513)	---	---
Unobligated balance, end of year	95,513	---	---	---
Recoveries of prior year obligations	(6,750)	---	---	---
Total requirements	\$282,180	\$272,169	\$338,393	66,224

Note: FY2009 Direct Obligations includes carryover funding. Total Requirements for FY2009 equals the total enacted appropriations on Exhibit (II) and Exhibit C

F. Permanent Positions by Grade

**Department of Homeland Security
Departmental Management and Operations
Office of the Chief Information Officer
Permanent Positions by Grade**

Grades and Salary Ranges	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
	Pos.	Pos.	Pos.	Total
Total, SES	7	7	7	---
Total, EX				---
GS-15	43	43	43	---
GS-14	37	37	37	---
GS-13	6	6	6	---
GS-12				---
GS-11				---
GS-10				---
GS-9				---
GS-8				---
GS-7				---
GS-6				---
GS-5				---
GS-4				---
GS-3				---
GS-2				---
Other Graded Positions	1	1	1	---
Ungraded Positions	---	---	---	---
Total Permanent Positions	94	94	94	---
Unfilled Positions EOY	24	---	---	---
Total Perm. Employment EOY	70	94	94	---
FTE	70	94	94	---
Headquarters	94	94	94	---
U.S. Field	---	---	---	---
Foreign Field	---	---	---	---
Total Permanent Positions	94	94	94	---
Average ES Salary	\$ 181,987	\$ 185,730	\$ 185,730	\$ ---
Average GS Salary	\$ 109,558	\$ 135,300	\$ 135,300	\$ ---
Average GS Grade	14.50	14.70	14.70	---

H. PPA Budget Justifications

**Department of Homeland Security
Departmental Management and Operations
Office of the Chief Information Officer
Salaries and Expenses
Funding Schedule
(Dollars in Thousands)**

PPA: Salaries and Expenses		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$7,201	\$9,861	\$10,447	\$586
11.3	Other than perm	130	390	398	8
11.5	Other per comp	285	255	285	30
11.8	Spec Srvc Pay	220	1,873	3,406	1,533
12.1	Benefits	1,823	5,296	4,787	(509)
13.0	Benefits-former	---	---	---	---
21.0	Travel	658	320	307	(13)
22.0	Transportation of things	4	25	25	---
23.1	GSA rent	2,757	3,412	2,053	(1,359)
23.2	Other rent	20	15	20	5
23.3	Communication, Utilities, and misc charges	9	18,967	110	(18,857)
24.0	Printing	6	36	35	(1)
25.1	Advisory & Assistance Services	20,085	17,521	20,421	2,900
25.2	Other Services	456	4,423	3,804	(619)
25.3	Purchase from Govt. Accts.	30,058	15,103	30,127	15,024
25.4	Operation & maintenance of facilities	---	---	1,839	1,839
25.5	Research & Development	767	400	284	(116)
25.6	Medical care	11	---	---	---
25.7	Operation & maintenance of equipment	5,485	587	4,109	3,522
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	394	225	415	190
31.0	Equipment	6,069	8,219	4,040	(4,179)
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	119	---	---	---
43.0	Interest and Dividends	2	---	---	---
91.0	Unvouchered	---	---	---	---
Total, Salaries and Expenses		\$76,559	\$86,928	\$86,912	(\$16)
Full Time Equivalents		70	94	94	---

Note: 1) FY2009 Rent allocation revised based on CIO's approved methodology. Offset provided from 23.3 'Communications, Utilities, and misc charges

PPA Mission Statement

A crosscutting program that provides technology-management, shared services, acquisition strategy, executive leadership support, process development, and business transformation to several offices within the DHS Office of the CIO.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$9,659	\$17,675	\$19,323	\$1,648

Salaries and Benefits includes costs for 94 FTEs. The FY 2010 Request includes an increase for the proposed January 2010 pay raise, annualization of the FY2009 pay increase, and reallocation of Special Services Pay from HSDN to the S&E PPA.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$658	\$320	\$307	(\$13)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY2010 request includes a decrease of \$13,000 due to a decrease for mission critical travel only.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
GSA rent	\$2,757	\$3,412	\$2,053	(\$1,359)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 Request includes a decrease of \$1,359,000 in anticipated rent costs.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Rent	\$20	\$15	\$20	\$5

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous charges	\$9	\$18,967	\$110	(\$18,857)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 Request includes a decrease of \$18,857,000 due to prioritization of program and mission requirements.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Printing	\$6	\$36	\$35	(\$1)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 Request includes a decrease of \$1,000 due to less than anticipated costs for printing.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$20,085	\$17,521	\$20,421	\$2,900

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 Request includes an increase of \$2,900,000 to meet program and mission requirements.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$456	\$4,423	\$3,804	(\$619)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 Request includes a decrease of \$619,000 due to reprioritization of program and mission requirements.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Purchase from Government Accounts	\$30,058	\$15,103	\$30,127	\$15,024

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 Request includes an increase of \$15,024,000 due to proper allocation of resources to fund Working Capital Fund activities

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Operation & maintenance of facilities	\$0	\$0	\$1,839	\$1,839

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes an increase of \$1,839,000 for DHS data center operations and maintenance requirements.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Research and Development	\$767	\$400	\$284	(\$116)

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 Request includes a decrease of \$116,000 due to reallocation of resources to meet program and mission requirements.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Operation & Maintenance of equipment	\$5,485	\$587	\$4,109	\$3,522

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes an increase of \$3,522,000 to adjust due to anticipated IAA agreements with DISA and FEMA, and IT security for the infrastructure.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Supplies & materials	\$394	\$225	\$415	\$190

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 Request includes an increase of \$190,000 for higher than previously anticipated supply and material costs.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Equipment	\$6,069	\$8,219	\$4,040	(\$4,179)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 Request includes a decrease of \$4,179,000 to reprioritize program and mission requirements resulting in a reallocation of funding.

Department of Homeland Security
Departmental Management and Operations
Office of the Chief Information Officer
Information Technology Services
Funding Schedule
(Dollars in Thousands)

PPA: Information Technology Services		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	\$0	\$1,636	\$1,636	\$0
11.3	Other than perm	---	---	---	---
11.5	Other per comp	---	71	71	---
11.8	Spec Srvc Pay	---	---	---	---
12.1	Benefits	---	522	522	---
13.0	Benefits-former	---	---	---	---
21.0	Travel	39	50	93	43
22.0	Transportation of things	---	---	8	8
23.1	GSA rent	834	1,776	1,540	(236)
23.2	Other rent	---	---	---	---
23.3	Communication, Utilities, and misc charges	---	62	---	(62)
24.0	Printing	---	---	5	5
25.1	Advisory & Assistance Services	38,904	44,020	27,288	(16,732)
25.2	Other Services	1,941	12,325	6,331	(5,994)
25.3	Purchase from Govt. Accts.	4,527	13,992	5,176	(8,816)
25.4	Operation & maintenance of facilities	---	250	1,624	1,374
25.5	Research & Development	---	---	---	---
25.6	Medical care	---	2	---	(2)
25.7	Operation & maintenance of equipment	3,083	2,114	2,603	489
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	20	53	20	(33)
31.0	Equipment	6,734	5,921	4,500	(1,421)
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	---	---	---	---
43.0	Interest and Dividends	---	2	---	---
91.0	Unvouchered	---	---	---	---
Total, Information Technology Services		\$56,082	\$82,796	\$51,417	(\$31,379)
Full Time Equivalents		---	---	---	---

- Note:** 1) FY2009 Rent allocation revised based on CIO's approved methodology. Offset provided from 25.2 'Other Services'.
2) FY2009 funding for personnel provided per P.L. 110-329 assuring adequate government oversight of enterprise architecture governance
3) FY2009 Total includes carryover funding in the amount of \$37,851. The enacted amount for FY2009 is \$44,945.

PPA Mission Statement

A program which supports development, implementation, and maintenance of a comprehensive and integrated Enterprise Architecture, the information technology framework for the Department's Human Resources System (including MaxHR), geospatial technologies, and information sharing.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$39	\$50	\$93	\$43

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 Request includes an increase of \$43,000 as a result of reallocating funds to fulfill program requirements.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Transportation of Things	\$0	\$0	\$8	\$8

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 Request is an increase of \$8,000 over the FY2009 enacted due to the Defense Courier costs associated with the COMSEC program.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
GSA rent	\$834	\$1,776	\$1,540	(\$236)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 Request includes a decrease of \$236,000 in anticipated rent costs.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous charges	\$0	\$62	\$0	(\$62)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 Request includes a decrease of \$62,000 due to prioritization of program and mission requirements.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Printing	\$0	\$0	\$5	\$5

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 Request includes an increase of \$5,000 due to training media and documents associated with the COMSEC program.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$38,904	\$44,020	\$27,288	(\$16,732)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 Request includes a decrease of \$16,732,000 due to prioritization of program and mission requirements.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$1,941	\$12,325	\$6,331	(\$5,994)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 Request includes a decrease of \$5,994,000 due to reprioritization of program and mission requirements.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Purchase from Government Accounts	\$4,527	\$13,992	\$5,176	(\$8,816)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 Request includes a decrease of \$8,816,000 due to a reduced allocation for payment of Working Capital Fund activities and prioritization of program and mission requirements.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Operation & maintenance of facilities	\$0	\$250	\$1,624	\$1,374

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes an increase of \$1,374,000 for continuity of maintenance requirements associated with the Cyber Identity and Credentialing program.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Medical Care	\$0	\$2	\$0	(\$2)

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2010 Request includes a decrease of \$2,000 for payment of Federal Occupational Health charges.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Operation & Maintenance of equipment	\$3,083	\$2,114	\$2,603	\$489

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes an increase of \$489,000 due to maintenance of IT and COMSEC equipment, as well as a program increase for COMSEC equipment upgrades and support.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Supplies & materials	\$20	\$53	\$20	(\$33)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 Request includes a decrease of \$33,000 for less than previously anticipated supply and material costs.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$6,734	\$5,921	\$4,500	(\$1,421)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 Request is for lifecycle replacement of COMSEC equipment and includes a decrease of \$1,421,000 due to reprioritization of program and mission requirements resulting in a reallocation of funding.

Department of Homeland Security
Departmental Management and Operations
Office of the Chief Information Officer
Security Activities
Funding Schedule
(Dollars in Thousands)

PPA: Security Activities		2008	2009	2010	2009 to 2010
Object Classes:		Actual	Enacted	Request	Change
11.1	Perm Positions	\$0	\$0	\$0	\$0
11.3	Other than perm	---	---	---	---
11.5	Other per comp	---	---	---	---
11.8	Spec Srvc Pay	---	---	---	---
12.1	Benefits	---	---	---	---
13.0	Benefits-former	---	---	---	---
21.0	Travel	---	140	51	(89)
22.0	Transportation of things	30	---	---	---
23.1	GSA rent	608	822	1,540	718
23.2	Other rent	---	75	---	(75)
23.3	Communication, Utilities, and misc charges	---	3,443	---	(3,443)
24.0	Printing	---	---	---	---
25.1	Advisory & Assistance Services	19,922	56,708	34,411	(22,297)
25.2	Other Services	12	1,061	1,483	422
25.3	Purchase from Govt. Accts.	6,441	10,368	12,867	2,499
25.4	Operation & maintenance of facilities	21,519	20,008	7,207	(12,801)
25.5	Research & Development	10,655	---	---	---
25.6	Medical care	---	---	---	---
25.7	Operation & maintenance of equipment	3,657	29,165	65,040	35,875
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	---	---	---	---
31.0	Equipment	34,683	16,966	29,804	12,838
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	---	---	---	---
43.0	Interest and Dividends	---	14	---	---
91.0	Unvouchered	---	---	---	---
Total, Security Activities		\$97,527	\$138,770	\$152,403	\$13,633
Full Time Equivalents		---	---	---	---

Note: 1) FY2009 Rent allocation revised based on CIO's approved methodology. Offset provided to 25.1 'Advisory and Assistance Services

2) FY2009 Total includes carryover funding in the amount of \$46,147. The enacted amount for FY2009 is \$92,623.

PPA Mission Statement

A set of programs that provides for the integration and protection of sensitive DHS information.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$0	\$140	\$51	(\$89)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 Request includes a decrease of \$89,000 as a result of less than expected travel costs.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$608	\$822	\$1,540	\$718

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 Request includes an increase of \$718,000 in anticipated rent costs.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Rent	\$0	\$75	\$0	(\$75)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 Request includes a decrease of \$75,000 due to reallocation of funding to meet program requirements.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$0	\$3,443	\$0	(\$3,443)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 Request includes a decrease of \$3,443,000 due to prioritization of program and mission requirements to accurately reflect charges.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$19,922	\$56,708	\$34,411	(\$22,297)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 Request includes a decrease of \$22,297,000 due to prioritization of program and mission requirements.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$12	\$1,061	\$1,483	\$422

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 Request includes an increase of \$422,000 due to the component data center migration and disaster recovery program increase, and information sharing and exchange technical support associated with the Federal Integration and Watchlist program.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$6,441	\$10,368	\$12,867	\$2,499

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 Request includes an increase of \$2,499,000 due to proper allocation of resources to fund Working Capital Fund activities.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$21,519	\$20,008	\$7,207	(\$12,801)

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes a decrease of \$12,801,000 due to mission and priority requirements.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$3,657	\$29,165	\$65,040	\$35,875

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes an increase of \$35,875,000 due to Data Center consolidation efforts.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$34,683	\$16,966	\$29,804	\$12,838

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 Request includes an increase of \$12,838,000 due to data center circuits, and program increases for network security, internet gateway, and single sign on capability enhancements.

Department of Homeland Security
Departmental Management and Operations
Office of the Chief Information Officer
Wireless Activities
Funding Schedule
(Dollars in Thousands)

PPA: Wireless Activities		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	\$0	\$0	\$0	\$0
11.3	Other than perm	---	---	---	---
11.5	Other per comp	---	---	---	---
11.8	Spec Srvc Pay	---	---	---	---
12.1	Benefits	---	---	---	---
13.0	Benefits-former	---	---	---	---
21.0	Travel	---	---	---	---
22.0	Transportation of things	---	---	---	---
23.1	GSA rent	---	---	---	---
23.2	Other rent	---	---	---	---
23.3	Communication, Utilities, and misc charges	---	---	---	---
24.0	Printing	---	---	---	---
25.1	Advisory & Assistance Services	---	448	---	(448)
25.2	Other Services	---	---	---	---
25.3	Purchase from Govt. Accts.	14,566	---	---	---
25.4	Operation & maintenance of facilities	2,235	---	---	---
25.5	Research & Development	---	---	---	---
25.6	Medical care	---	---	---	---
25.7	Operation & maintenance of equipment	2,877	2,100	---	(2,100)
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	---	---	---	---
31.0	Equipment	4,092	---	---	---
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	---	---	---	---
43.0	Interest and Dividends	---	3	---	---
91.0	Unvouchered	---	---	---	---
Total, Wireless Activities		\$23,770	\$2,551	\$0	(\$2,551)
Full Time Equivalents		---	---	---	---

Note: The Wireless program was transferred to the Office of Emergency Communications within NPPD in FY2007. The funding shown in FY2008/FY2009 is carryover funding.

PPA Mission Statement

A program whose mission it is to ensure the effective operation, management, budgeting, and procurement of all wireless technology department-wide, and the development of policy and wireless program performance metrics and standards for DHS.

Department of Homeland Security
Departmental Management and Operations
Office of the Chief Information Officer
Homeland Secure Data Network

Funding Schedule

(Dollars in Thousands)

PPA: Homeland Secure Data Network		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	\$0	\$0	\$0	\$0
11.3	Other than perm	---	---	---	---
11.5	Other per comp	---	---	---	---
11.8	Spec Srvc Pay	---	1,062	---	(1,062)
12.1	Benefits	---	---	---	---
13.0	Benefits-former	---	---	---	---
21.0	Travel	---	35	---	(35)
22.0	Transportation of things	---	---	---	---
23.1	GSA rent	61	96	244	148
23.2	Other rent	---	---	---	---
23.3	Communication, Utilities, and misc charges	---	299	---	(299)
24.0	Printing	---	15	---	(15)
25.1	Advisory & Assistance Services	1,308	4,137	---	(4,137)
25.2	Other Services	2	278	3	(275)
25.3	Purchase from Govt. Accts.	24,550	1,680	8,540	6,860
25.4	Operation & maintenance of facilities	---	---	---	---
25.5	Research & Development	---	---	---	---
25.6	Medical care	---	---	---	---
25.7	Operation & maintenance of equipment	115	32,951	26,898	(6,053)
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	---	25	---	(25)
31.0	Equipment	2	14,000	11,976	(2,024)
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	---	---	---	---
43.0	Interest and Dividends	---	1	---	---
91.0	Unvouchered	---	---	---	---
Total, Homeland Secure Data Network		\$26,038	\$54,579	\$47,661	(\$6,918)
Full Time Equivalents		---	---	---	---

Note: 1) FY2009 Rent allocation revised based on CIO's approved methodology. Offset provided to 25.7 'Operation & Maintenance of equipment'
2) FY2009 Total includes carryover funding in the amount of \$6,906. The enacted amount of for FY2009 is \$47,673.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$0	\$1,062	\$0	(\$1,062)

There is no request for funding associated with this object class. The reduction of FY2010 funding is a result of reallocating resources to fund higher priority items.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$0	\$35	\$0	(\$35)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 Request includes a decrease of \$35,000 as a result of a lack of travel being anticipated. requirements.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
GSA rent	\$61	\$96	\$244	\$148

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 Request includes an increase of \$148,000 in anticipated rent costs.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous charges	\$0	\$299	\$0	(\$299)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 Request includes a decrease of \$299,000 due to prioritization of program and mission requirements.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Printing	\$0	\$15	\$0	(\$15)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 Request includes a decrease of \$15,000 due to less than anticipated costs for printing.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$1,308	\$4,137	\$0	(\$4,137)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 Request includes a decrease of \$4,137,000 due to prioritization of program and mission requirements.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$2	\$278	\$3	(\$275)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 Request includes a decrease of \$275,000 due to reprioritization of program and mission requirements.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Purchase from Government Accounts	\$24,550	\$1,680	\$8,540	\$6,860

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 Request includes an increase of \$6,860,000 due to anticipated IAAs with Coast Guard and GSA FEDSIM for HSDN O&M.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Operation & Maintenance of equipment	\$115	\$32,951	\$26,898	(\$6,053)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes a decrease of \$6,053,000 from FY2009. The funding shown will be used for HSDN O&M.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Supplies & materials	\$0	\$25	\$0	(\$25)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 Request includes a decrease of \$25,000 due to prioritization of program and mission requirements. Routine supply costs will be paid for by the 'Salaries and Expenses' account

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Equipment	\$2	\$14,000	\$11,976	(\$2,024)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 Request includes a decrease of \$2,024,000 due to reprioritization of program and mission requirements resulting in a reallocation of funding. The amount shown for FY2010 will be used for HSDN asset refresh.

Department of Homeland Security
Departmental Management and Operations
Office of the Chief Information Officer
National Cyber Security Center
Funding Schedule
(Dollars in Thousands)

PPA: National Cyber Security Center		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	\$0	\$0	\$0	\$0
11.3	Other than perm	---	---	---	---
11.5	Other per comp	---	---	---	---
11.8	Spec Srvc Pay	---	---	---	---
12.1	Benefits	---	---	---	---
13.0	Benefits-former	---	---	---	---
21.0	Travel	---	---	---	---
22.0	Transportation of things	---	---	---	---
23.1	GSA rent	---	---	---	---
23.2	Other rent	---	---	---	---
23.3	Communication, Utilities, and misc charges	---	---	---	---
24.0	Printing	---	---	---	---
25.1	Advisory & Assistance Services	---	1,100	---	(1,100)
25.2	Other Services	---	655	---	(655)
25.3	Purchase from Govt. Accts.	---	---	---	---
25.4	Operation & maintenance of facilities	---	---	---	---
25.5	Research & Development	---	---	---	---
25.6	Medical care	---	---	---	---
25.7	Operation & maintenance of equipment	---	---	---	---
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	---	---	---	---
31.0	Equipment	---	303	---	(303)
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	---	---	---	---
43.0	Interest and Dividends	---	---	---	---
91.0	Unvouchered	---	---	---	---
Total, National Cyber Security Center		\$0	\$2,058	\$0	(\$2,058)
Full Time Equivalents		---	---	---	---

Note: Amount shown for FY2009 is carryover funding that was reprogrammed within CIO account 70X0113 and funds transferred in from CIO account 70X0102

PPA Mission Statement

To secure U.S. Federal Government Networks and Systems by coordinating and integrating information to provide cross domain situational awareness, analyze and report on the composite state of U.S. Cyber Networks and Systems, and foster collaboration

I. Changes in Full Time Equivalents

**Department of Homeland Security
Departmental Management and Operations
Office of the Chief Information Officer
Changes in Full-Time Equivalents**

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	65	70	94
INCREASES			
Increase #1: Hire 7 FTEs to service the Information Technology Services Division for Infrastructure and Network service requirements Description:	3	4	
Increase #2: Hired 2 FTEs tp service the Enterprise Business Management Office for eGov and Acquisition support Description:	2		
Increase #3: Objective is to hire additional FTEs to fully staff approved positions within OCIO to enhance operations to peak potential Description:		20	
Sub-Total Increases	5	24	0
DECREASES			
Decrease #1: Description:			
Decrease #2: Description:			
Decrease #3: Description:			
Sub-Total Decreases	0	0	0
Year-end Actual/Estimated FTEs	70	94	94
Net Change from prior year base to Budget Year Estimate:	5	24	0

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity

**Department of Homeland Security
Departmental Management and Operations
Office of the Chief Information Officer**

**FY 2010 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)**

Program/Project Activity	FY 2008 Actual	FY 2009 Enacted	FY 2010 Anticipated	Increase / Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Salaries and Expenses	\$26,901	\$26,592	\$30,170	\$3,578
Information Technology Services	3,490	8,937	5,347	(3,590)
Security Activities	6,632	9,217	69,556	60,339
Homeland Secure Data Network	1,513	3,215	1,898	(1,317)
Total Working Capital Fund	\$38,536	\$47,961	\$106,971	\$59,010

Department of Homeland Security

Departmental Management and Operations
Office of the Chief Information Officer



Fiscal Year 2010
Strategic Context
Congressional Justification

FY 2010 PRESIDENT’S BUDGET REQUEST STRATEGIC CONTEXT

Departmental Management and Operations
Office of the Chief Information Officer

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A. Mission and Description of Component

The Department of Homeland Security (DHS) Office of the Chief Information Officer (CIO), in collaboration with the DHS Chief Information Officer Council, is responsible for implementing the necessary programs to align the Information Technology (IT) organization, including all of the systems and infrastructure, to support the missions and activities across the Department.

Under the leadership of the CIO, IT will enable the transformation of the Department into a performance based and integrated organization by providing effective technologies and systems. This transformation will align information-delivery resources into appropriate functions to achieve DHS' missions and strategic goals. To that end, the CIO and the CIO Council are committed to providing the following:

- A secure means of sharing appropriate information to all internal and external stakeholders
- A set of advanced tools that enables the DHS workforce to rapidly and efficiently communicate, process, retrieve, deliver, and share information
- A single, DHS-wide IT infrastructure environment that is reliable, scalable, flexible, maintainable, and secure
- A clear set of performance metrics and efficient business processes
- IT standards and frameworks that provide for integration
- A single, consistent IT governance model
- Continued Improvements in cyber security
- A mature and fully detailed Enterprise Architecture
- The alignment of acquisition for IT goods and services to the department's goals

B. Major Activities and DHS IT Strategic Goals

The Office of the Chief Information Officer provides a myriad of Information Technology related services and support throughout the Department of Homeland Security. The CIO program is divided into five major subprograms as follows:

Salaries and Expenses

Salaries and Expenses is a crosscutting program that provides technology management, shared services, acquisition strategy and executive leadership support to all offices within the CIO. In prior years, the DHS OCIO successfully maintained full Federal Information Security Management Act (FISMA) compliance for more than 700 DHS IT systems; provided governance, oversight, and implementation of DHS security policies to ensure the protection of IT resources; and provided security architecture support to ensure acquisitions are in compliance with the DHS Enterprise Architecture. The sub program also provides operations and maintenance support to legacy, as well as, newly defined Infrastructure investments. In FY2010, the Salaries and Expenses sub program will project to build upon these efforts by improving the Department's classified cyber threat information processing capability; implement the DHS security incident forensic analysis capability; annually review 107 websites and multiple IT applications to ensure all are accessible to DHS employees with disabilities; and provide operations and maintenance support to Infrastructure investments such as the Department's Data Center migration plan. The DHS OCIO's immediate

and long term goal is to protect our IT resources from cyber threats and foster information sharing across the Department. These initiatives fully support the Department's strategic goal to strengthen and unify DHS operations and management.

Department-wide Technology Investments

Information Technology Services – A program that supports development, implementation, and maintenance of a comprehensive and integrated Enterprise Architecture, and the integration of the following: the Department's financial management system activities; IT systems accessibility; Infrastructure Services; IT Policy and Management; Capital Plan Investment Control; geospatial technologies; and information sharing. In FY2010, the DHS OCIO will have ten portfolio segment architectures complete or in process; Screening, Securing; Incident Management, Benefits Administration, Domain Awareness, Information Sharing, Enterprise IT Services (infrastructure), Enterprise Business Services (HRIT, Financial Management), and Enterprise Mission Services; will annually review and align \$6 billion of IT investments to portfolios and provide budget recommendations to the Program Review Board (PRB); annually review 20 Level One and 18 Level Two IT programs for alignment to IT Strategy, Enterprise Architecture, Portfolio requirements and IT Security; and annually review \$4 billion in IT procurements to align with IT Strategy, Enterprise Architecture, Portfolio requirements and IT Security. The Information Technology Services sub program will provide a greater information sharing capability through the setting of Data Standards in alignment with segment architectures and Federal-wide standards such as the National Information Exchange Model (NIEM). The DHS OCIO's immediate and long term goal is to manage and govern IT acquisitions and their alignment with the Enterprise Architecture and promote information sharing across the Department through the setting of Data Standards. These initiatives fully support the Department's strategic goal to strengthen and unify DHS operations and management.

Security Activities – A set of programs that provide for the integration and protection of sensitive and collateral DHS information. In FY2010, the DHS OCIO will continue its efforts to consolidate disparate data centers into two DHS Data Centers; establish Disaster Recovery capability for primary DHS systems; consolidate multiple disparate networks into DHS OneNet; manage infrastructure support to include network services, data center services and application support for 15 enterprise applications; establish Trusted Internet Connection (TIC) capability and move all traffic behind the TIC; and Implement Single Sign-On and HSPD-12 initiatives. The DHS OCIO's immediate and long term goal is to protect our IT resources from cyber threats, provide One DHS Infrastructure platform, and foster information sharing across the Department. These initiatives fully support the Department's strategic goal to strengthen and unify DHS operations and management.

Homeland Secure Data Network (HSDN) – HSDN provides the primary means for data and information exchange, messaging, and collaboration with specific and controlled interconnections to the intelligence community and federal law enforcement resources at a SECRET-classified level within the civil side of Federal government for DHS Component Organizations, Federal, and State and Local Government. In FY2010, the DHS OCIO will deploy Secret network connectivity to multiple field sites and establish Disaster Recovery capability. The DHS OCIO's immediate and long term goal is to foster information sharing across the Department, intelligence community; and federal, state, and local law enforcement resources through trusted connectivity. These initiatives fully support the Department's strategic goal to strengthen and unify DHS operations and management.

DHS IT Strategic Goals

The Department of Homeland Security (DHS) Office of the Chief Information Officer (CIO), in coordination with other Component CIOs, is responsible for efficiently and effectively managing and governing the Department's resources for IT investments. In order to comply with Component's IT mission requirements and ensuring alignment with the Department's Strategic Goals and Objectives, the CIO Community has provided the following IT Strategic Goals:

1. Establish secure IT infrastructure capabilities to protect the Homeland and enhance our Nation's preparedness, mitigation and recovery capabilities.
2. Strengthen and unify the Department's ability to share information with federal, state, local and tribal partners
3. Effectively manage IT capabilities and implement cross-departmental IT portfolios that enhance mission and business performance
4. Develop and implement a comprehensive approach to IT employee recruitment, development, retention and recognition to ensure excellence in IT delivery across the Department.

C. Resources Requested and Performance Impact

Current Services:

The Office of the Chief Information Officer is requesting \$249,893,000; 94 positions, 94 FTEs in Current Services for FY2010. The total adjustment to base reflects a decrease of \$22,276,000 over the FY2009 Enacted. The net decrease in current services includes FY 2009 annualization and FY 2010 payroll increases, a transfer to the Office of the Secretary Executive Management for executive travel requirements, increased Working Capital Fund costs, a decrease in the estimated payment for GSA Rent, and a decrease in one time funding for the National Center Critical Information Processing and Storage (NCCIPS). In FY2010, the DHS OCIO will continue to provide governance, management, and oversight over the Department's IT portfolios, capital planning, and strategic planning and budgeting for IT acquisitions, to ensure alignment with DHS Strategic Goals, DHS OCIO IT Strategic Goals, and the Enterprise Architecture. The DHS OCIO will continue to promulgate and implement DHS IT Security policy, governance, and security architecture guidance for all Departmental IT acquisitions and continue to deliver and improve Infrastructure services. The DHS OCIO will also continue its efforts to consolidate multiple data centers, networks, and services to comply with the One DHS, One Infrastructure policy. The DHS OCIO is committed to fully supporting the Department's Strategic Goal to Strengthen and Unify DHS Operations and Management.

Program Increases:

The Office of the Chief Information Officer is requesting a total of \$88.5 million and 0 FTEs in over guidance program increases for FY2010. Each over guidance program increase is as follows:

- **Data Center Consolidation (\$58.8 million)-** Increased funding in FY 2010 will focus on further migration activity of Component systems, applications and disaster recovery to the DHS Enterprise Data Centers for central DHS management. FY 2010 funding will provide essential data center capability enhancements and support services to facilitate Components

migrations from legacy Component data centers into the DHS Data Centers. Collocation and consolidation will provide a number of benefits over the environments that currently exist within the disparate Component computing facilities. Reducing the overall computing asset footprint will result in reduced system maintenance, management, and administration costs, while a merging of existing operations and maintenance contracts will further reduce overhead and administrative costs. The previous, non-unified networking structure made communication and information exchange across the Department enterprise arduous and costly, thereby inhibiting mission success and timeliness. The Data Center consolidation efforts will standardize IT resource acquisitions across Components, as well as streamline maintenance and support contracts, allowing for less complex vendor support and expediting response times in the event of an emergency. Benefits derived from consolidation are enhanced IT security posture, improved information sharing with stakeholders, and enhanced operational efficiencies over time. This activity will be managed through the DHS Working Capital Fund.

- **COMSEC Modernization (\$6.7 million)**- increases the capability of secure communications throughout the Department by the de-certification and replacement of 15,000 separate units, fielding and custodial training, and operations and maintenance of existing COMSEC equipment. This program increase will allow the Department to comply with the National Security Directive 42 (NSD-42) National Policy for the Security of National Security Telecommunications and Information systems and the NCSC 1, National Policy for the Safeguarding and Control of Communications Security Material.
- **Information Security and Infrastructure (\$23.0 million)**- the increase in program funding will enhance network security through the mitigation of high risk areas within the DHS firewall, mitigate high risk areas on the perimeter via the Internet Gateway, and begin the initiation of the single sign on capability. These initiatives provide an improvement to the DHS network infrastructure based on the Defense-in-Depth Strategy Framework developed by the U.S. Department of Defense.

D. Performance Highlights, Resources, and Alignment to Strategic Goals

For each major program, the performance goal, alignment to DHS goals and objectives, total dollars and FTE, and main performance measure/s are shown below.

Program: Office of the Chief Information Officer						
Performance Goal: Provide world class information technology leadership and guidance to components and stakeholders enabling them to efficiently and effectively achieve their vision, mission and goals.						
DHS strategic objectives supported and % allocation of activities: 5.1 Improve Department Governance and Performance, 100% Allocation						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$275,270	\$294,257	\$349,013	\$295,200	\$272,169	\$338,393
FTE	78	78	84	91	94	94

Performance Plan Measures

Measure: Percent of major information technology systems with full Federal Information

Security Management Act Compliance						
Description of Measure: Information security is vital to U.S. economic and national security interests. This measure assesses the percent of the Department's major Information Technology (IT) systems in the operations and maintenance phase that meet all Federal Information Security Management Act (FISMA) requirements. FISMA requires that agencies develop, document, and implement an agency - wide program to protect information and information systems from unauthorized access, use, disclosure, disruption, modification, or destruction. Major IT systems are defined as: important to the mission of the agency; for financial management obligating more than 500,000 annually; having significant program or policy implications; high executive visibility, high development, operating, or maintenance costs; funded through other than direct appropriations; or defined as major by the agency's capital planning and investment control process. The targets reflect that there are always systems in a life - cycle transition phase.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	None	90%	90%
Actual:	None	None	None	None	N/A	N/A

Measure: Percent of major investments currently aligned to the Agency Enterprise Architecture.						
Description of Measure: This measure assesses how many of the Department's major (Level 1 and 2) investments are aligned with the Department of Homeland Security's Enterprise Architecture. Enterprise Architecture is a blueprint for describing the enterprise and is one tool for managing change within the Department of Homeland Security. Enterprise Architecture ensures that all investments are aligned to strategic goals and the target Enterprise Architecture for achieving those goals. Investment programs that align to the target architecture for the Department are given authority to proceed with their implementation. Investment programs determined not to align with the target architecture are provided recommendations on how to enhance their alignment before proceeding forward. The Enterprise Architecture alignment is important for improving mission effectiveness and operational efficiency while ensuring that all investments are not creating unnecessary redundancies.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	None	25%	40%
Actual:	None	None	None	None	N/A	N/A

E. Digest Tables by Future Year Homeland Security Program (FYHSP) Program

Digest of FY 2010 Budget Estimates by Activity and FYHSP Program (dollars in thousands)						
FYHSP Program	FY2008 Enacted		FY2009 Enacted		FY2010 Request	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Office of the Chief Information Officer	91	295.200	94	272.169	94	338.393
Salaries and Expenses	91	81.000	94	86.928	94	86.912
Information Technology Services		56.200		44.945		51.417
Security Activities		124.900		92.623		152.403
Wireless Activities		0		0		0
Homeland Secure Data Network		33.100		47.673		47.661
Total Budget Authority	91	295.200	94	272.169	94	338.393

Department of Homeland Security

Analysis and Operations

Analysis and Operations Appropriation



Fiscal Year 2010
Congressional Justification

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i. Summary of FY 2010 Budget Estimates by Appropriation

Department of Homeland Security
Analysis and Operations
 Summary of FY 2010 Budget Estimates by Appropriation
 Total Appropriations
 (Dollars in Thousands)

Budget Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Analysis and Operations	380	\$266,941	583	\$327,373	699	\$357,345	116	\$29,972	16	\$7,500	100	\$22,472
Subtotal, Enacted Appropriations and Budget Estimates	380	\$266,941	583	\$327,373	699	\$357,345	116	\$29,972	16	\$7,500	100	\$22,472
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	380	\$266,941	583	\$327,373	699	\$357,345	116	\$29,972	16	\$7,500	100	\$22,472

*A portion of the funding is classified.

ii: Homeland and Non-Homeland Allocation

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

Budget Activity	2008 Actual						2009 Enacted						2010 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Analysis and Operations	380	266,941	---	---	380	\$266,941	583	\$327,373	---	---	583	\$327,373	699	\$357,345	---	---	699	\$357,345
Total Direct Appropriations and Budget Estimates	380	266,941	---	---	380	266,941	583	327,373	---	---	583	327,373	699	357,345	---	---	699	357,345

*A portion of the funding is classified.

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

Department of Homeland Security
Analysis and Operations

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2009	12/30/2008	Explanatory Statement pg. 583 Senate Report 110-396 pg. 20	FY 09 DHS Intelligence Expenditure Plan - As detailed in the Senate report, no later than 60 days after the date of enactment of this Act, the Secretary shall submit a fiscal year 2009 expenditure plan for the Office of Intelligence and Analysis, including balances carried forward from prior years.	Ongoing Departmental review
2009	2/13/2009	Explanatory Statement pg.583 Senate Report 110-396 pg.24	1st Qtr. FY 09 State and Local Fusion Centers - The Committee directs the Department's Chief Intelligence Officer to continue quarterly updates to the Committees on Appropriations that detail progress in placing DHS intelligence professionals in State and local fusion centers. These reports shall include: the qualification criteria used by DHS to decide where and how to place DHS intelligence analysts and related technology; total Federal expenditures to support each center to date and during the most recent quarter of the current fiscal year, in the same categorization as materials submitted to the Committees on Appropriations on March 23, 2007; the location of each fusion center, including identification of those with DHS personnel, both operational and planned; the schedule for operational stand-up of planned fusion centers and their locations; the number of DHS-funded employees located at each fusion center, including details on whether the employees are contract or government staff; the privacy protection policies of each center, including the number of facility personnel trained in Federal privacy, civil rights, and civil liberties laws and standards; and the number of local law enforcement agents at each center approved or pending approval to receive and review classified intelligence information.	Ongoing internal review
2009	5/15/2009	Explanatory Statement pg.583 Senate Report 110-396 pg.24	2nd Qtr. FY 09 State and Local Fusion Centers - The Committee directs the Department's Chief Intelligence Officer to continue quarterly updates to the Committees on Appropriations that detail progress in placing DHS intelligence professionals in State and local fusion centers. These reports shall include: the qualification criteria used by DHS to decide where and how to place DHS intelligence analysts and related technology; total Federal expenditures to support each center to date and during the most recent quarter of the current fiscal year, in the same categorization as materials submitted to the Committees on Appropriations on March 23, 2007; the location of each fusion center, including identification of those with DHS personnel, both operational and planned; the schedule for operational stand-up of planned fusion centers and their locations; the number of DHS-funded employees located at each fusion center, including details on whether the employees are contract or government staff; the privacy protection policies of each center, including the number of facility personnel trained in Federal privacy, civil rights, and civil liberties laws and standards; and the number of local law enforcement agents at each center approved or pending approval to receive and review classified intelligence information.	Ongoing internal review

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

Department of Homeland Security

Analysis and Operations

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2009	8/14/2009	Explanatory Statement pg.583 Senate Report 110-396 pg.24	3rd. Qtr. FY 09 State and Local Fusion Centers - The Committee directs the Department's Chief Intelligence Officer to continue quarterly updates to the Committees on Appropriations that detail progress in placing DHS intelligence professionals in State and local fusion centers. These reports shall include: the qualification criteria used by DHS to decide where and how to place DHS intelligence analysts and related technology; total Federal expenditures to support each center to date and during the most recent quarter of the current fiscal year, in the same categorization as materials submitted to the Committees on Appropriations on March 23, 2007; the location of each fusion center, including identification of those with DHS personnel, both operational and planned; the schedule for operational stand-up of planned fusion centers and their locations; the number of DHS-funded employees located at each fusion center, including details on whether the employees are contract or government staff; the privacy protection policies of each center, including the number of facility personnel trained in Federal privacy, civil rights, and civil liberties laws and standards; and the number of local law enforcement agents at each center approved or pending approval to receive and review classified intelligence information.	Pending
2009	11/14/2009	Explanatory Statement pg.583 Senate Report 110-396 pg.24	4th Qtr. FY 09 State and Local Fusion Centers - The Committee directs the Department's Chief Intelligence Officer to continue quarterly updates to the Committees on Appropriations that detail progress in placing DHS intelligence professionals in State and local fusion centers. These reports shall include: the qualification criteria used by DHS to decide where and how to place DHS intelligence analysts and related technology; total Federal expenditures to support each center to date and during the most recent quarter of the current fiscal year, in the same categorization as materials submitted to the Committees on Appropriations on March 23, 2007; the location of each fusion center, including identification of those with DHS personnel, both operational and planned; the schedule for operational stand-up of planned fusion centers and their locations; the number of DHS-funded employees located at each fusion center, including details on whether the employees are contract or government staff; the privacy protection policies of each center, including the number of facility personnel trained in Federal privacy, civil rights, and civil liberties laws and standards; and the number of local law enforcement agents at each center approved or pending approval to receive and review classified intelligence information.	Pending

iv: Schedule of Authorized/Unauthorized Appropriations by PPA

Department of Homeland Security

Analysis and Operations

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

Budget Activity				
	Last Year of Authorization	Authorized Level	in Last Year of Authorization	FY 2010 Request
	Fiscal Year	Amount	Amount	Amount
Analysis and Operations	2008	\$276,218	\$327,373	\$357,345
Total Direct Authorization/Appropriation				\$357,345

Department of Homeland Security

Analysis and Operations

Analysis and Operations Appropriation



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

ANALYSIS AND OPERATIONS ANALYSIS AND OPERATIONS APPROPRIATION

I. Appropriation Overview

A. Mission Statement for Analysis and Operations:

The Analysis and Operations appropriation provides resources for the support of the Office of Intelligence and Analysis and the Office of Operations Coordination. Even though these two offices are different and distinct in their missions, they work together and with other DHS components to support the Department's mission of protecting the homeland. The mission of Intelligence & Analysis is to provide homeland security intelligence to the Secretary, other government officials, and our State, Local, and Private Sector partners. The mission of the Office of Operations Coordination is to integrate DHS and interagency planning and operations coordination in order to prevent, protect, respond to, and recover from terrorist threats/attacks or threats from other man-made or natural disasters.

B. Budget Activities:

Office of Intelligence and Analysis (I&A) - As a member of the U.S. Intelligence Community (IC), I&A is the nexus between the nation's intelligence apparatus and DHS components and other State, Local, and Private Sector (SLP) partners. I&A ensures that information is gathered from all relevant DHS field operations and other SLP partners and that this information is shared with appropriate stakeholders to produce accurate, timely and actionable analytical intelligence products and services. The Under Secretary for Intelligence and Analysis (U/SIA) leads I&A, and is also the Department's Chief Intelligence Officer (CINT), responsible for managing the entire DHS Intelligence Enterprise, and the Department's Chief Information Sharing Officer, responsible for implementing the objectives of the Program Manager – Information Sharing Environment (PM-ISE) within DHS.

Office of Operations Coordination and Planning (OPS) - OPS plays a pivotal role in DHS' mission to lead the unified national effort to secure America by facilitating the Secretary's responsibilities across the full spectrum of incident management (prevention, protection, response and recovery). OPS provides situational awareness, assessments and operations coordination for the DHS Secretary and facilitates operational information sharing with all DHS components, as well as for Federal, State, local, tribal, private sector and international partners. In support of the Secretary's role as principal Federal official for domestic incident management, OPS develops and coordinates Departmental and interagency strategic-level operations plans.

C. Budget Request Summary:

The Analysis and Operations account requests 783 positions, 699 FTE and \$357,345,000 for FY 2010. Details regarding the program increases can be found in the classified annex.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
Analysis and Operations
Analysis and Operations
 Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)
 (Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Analysis and Operations	380	266,941	583	327,373	699	357,345	116	29,972	16	7,500	100	22,472
Subtotal, Enacted Appropriations and Budget Estimates	380	266,941	583	327,373	699	357,345	116	29,972	16	7,500	100	22,472
Net, Enacted Appropriations and Budget Estimates	380	\$266,941	583	\$327,373	699	\$357,345	116	\$29,972	16	\$7,500	100	\$22,472

III. Current Services Program Description by PPA

[Reference Classified Analysis and Operations Annex]

IV. Program Justification of Changes

[Reference Classified Analysis and Operations Annex]

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Analysis and Operations
Justification of Proposed Changes in Appropriation Name
Appropriation Language**

For necessary expenses for [information] *intelligence* analysis and operations coordination activities, as authorized by Title II of the Homeland Security Act of 2002 (6 U.S.C. 121 et seq.), [\$327,373,000] **\$357,345,000**, of which not to exceed \$5,000 shall be for official reception and representation expenses; and of which [\$215,745,000] **\$208,145,000** shall remain available until September 30, [2010] 2011. (*Department of Homeland Security Appropriations Act, 2009.*)

B: FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
Analysis and Operations
Analysis & Operations
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actuals	388	380	266,941
2009 Enacted	610	583	327,373
Adjustments-to-Base			
Transfers			
BCEP/COOP	5	5	10,800
Total Transfers.....	<u>5</u>	<u>5</u>	<u>10,800</u>
Increases			
Annualization of prior year part year funding.....	---	27	3,789
Annualization of 2009 pay raise.....	---	---	747
2010 pay increase.....	---	---	1,150
GSA Rent.....	---	---	88
Non-pay inflation excluding GSA Rent.....	---	---	---
WCF increases.....	---	---	1,430
Restoration of Base Funding.....	---	---	4,468
IMAAC Support.....	---	---	2,000
Contractor to FTE conversions	136	68	4,766
Total Increases.....	<u>136</u>	<u>95</u>	<u>18,438</u>
Decreases			
Non-recurring costs.....	---	---	(2,000)
Cost savings from FTE conversions.....	---	---	(4,766)
Total Decreases.....	<u>---</u>	<u>---</u>	<u>(6,766)</u>
Total Adjustments-to-Base	<u>141</u>	<u>100</u>	<u>22,472</u>
2010 Current Services	751	683	349,845
 Program Changes			
Analysis & Operations.....	32	16	7,500
Total Program Changes	32	16	7,500
 2010 Request	783	699	357,345
 2009 to 2010 Total Change	173	116	29,972

* A portion of the funding request is classified.

C: Summary of Requirements

Department of Homeland Security
Analysis and Operations
Analysis & Operations
FY 2009 to FY 2010 Budget Change

										2010 Request					
										Perm. Pos.	FTE	Amount			
FY 2008 Actual										388	380	\$266,941			
2009 Enacted										610	583	\$327,373			
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)															
Transfers										5	5	10,800			
Increases										136	95	18,438			
Decreases										---	---	(6,766)			
Total Adjustments-to-Base										141	100	22,472			
2010 Current Services										751	683	\$349,845			
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)										32	16	7,500			
2010 Total Request										783	699	\$357,345			
2009 to 2010 Total Change										173	116	29,972			
Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Analysis & Operations	610	583	327,373	141	100	22,472	32	16	7,500	783	699	357,345	173	116	29,972
Total	610	583	\$327,373	141	100	\$22,472	32	16	\$7,500	783	699	\$357,345	173	116	\$29,972

D. Summary of Reimbursable Resources

[Reference Classified Analysis and Operations Annex]

E: Summary of Requirements by Object Class

Department of Homeland Security
Analysis and Operations
Analysis & Operations
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)

Object Classes	FY 2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	40,368	57,281	74,112	16,831
11.3 Other than full-time permanent	285	439	489	50
11.5 Other Personnel Compensation	969	1,491	1,718	227
12.1 Benefits	11,098	15,901	20,608	4,707
Total, Personnel Comp. & Benefits	\$52,719	\$75,112	\$96,927	\$21,815
Other Object Classes:				
21.0 Travel	2,514	3,910	4,711	801
22.0 Transportation of things	212	1,401	1,676	275
23.1 GSA rent	7,477	12,015	17,325	5,310
23.2 Other rent	671	420	420	---
23.3 Communications, utilities, & other misc. charges	376	---	---	---
24.0 Printing and reproduction	8	8	8	---
25.1 Advisory and assistance services	86,062	151,553	133,997	(17,556)
25.2 Other services	2,432	17,555	18,162	607
25.3 Purchases of goods & svcs. from Gov't accounts	76,832	49,757	53,605	3,848
25.4 Operation & maintenance of facilities	4,804	825	921	96
25.7 Operation and maintenance of equipment	14,510	15,831	15,897	66
26.0 Supplies and materials	1,356	1,451	1,862	411
31.0 Equipment	16,968	8,663	11,834	3,171
Total, Other Object Classes	\$214,222	\$263,389	\$260,418	(\$2,971)
Total, Direct Obligations	\$266,941	\$338,501	\$357,345	\$18,844
SF-1151 Transfer	1,500	---	---	
Unobligated balance, start of year	(23,074)	(11,128)	---	
Unobligated balance, end of year	11,128	---	---	
Recoveries of prior year obligations	(623)	---	---	
Total requirements	\$255,872	\$327,373	\$357,345	

F: Permanent Positions by Grade

Department of Homeland Security
Analysis and Operations
Analysis & Operations
FY 2009 to FY 2010 Budget Change

Grades and Salary Ranges	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
	Pos.	Pos.	Pos.	Total
Total, SES	28	34	34	---
GS-15	100	122	125	3
GS-14	208	232	268	36
GS-13	65	82	99	17
GS-12	58	68	71	3
GS-11	36	47	48	1
GS-10	1	---	---	---
GS-9	3	24	27	3
GS-8	---	---	---	---
GS-7	---	1	1	---
Ungraded Positions	---	---	---	---
Total Permanent Positions	529	656	735	79
Unfilled Positions EOY	47	---	---	---
Total Perm. Employment EOY	90	169	200	31
FTE	380	583	699	116
Headquarters	388	610	783	173
U.S. Field	---	---	---	---
Foreign Field	---	---	---	---
Total Permanent Positions	388	610	783	173
Average ES Salary	\$150,500	\$155,438	\$159,513	\$4,075
Average GS Salary	\$100,044	\$95,541	\$97,974	\$2,433
Average GS Grade	13	13	13	---

G. Capital Investment and Construction Initiative Listing

[Not Applicable]

H. PPA Budget Justifications

[Reference Classified Analysis and Operations Annex]

I. Changes in FTE

**Department of Homeland Security
Analysis and Operations
Analysis and Operations
Changes in Full-Time Equivalentents**

	FY 2008	FY 2009	FY 2010
Base: Actual from Prior Year	374	491	583
INCREASES			
Total Increases:	6	106	116
Total Decreases:	---	14	---
Year-end Actual/Estimated FTEs	380	583	699
Net Change from prior year base to Budget Year Estimate:			

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity

Department of Homeland Security

Analysis and Operations

Analysis and Operations

FY 2010 Schedule of Working Capital Fund by Program/Project Activity

(Dollars in Thousands)

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	Increase / Decrease for FY 2010
Program/Project Activity	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Analysis and Operations	37,820	40,208	43,108	2,900
Total Working Capital Fund	\$37,820	\$40,208	\$43,108	\$2,900

Department of Homeland Security

Office of Inspector General



Fiscal Year 2010

Overview

Congressional Justification

i. Summary of FY 2010 Budget Estimates by Appropriation

**Department of Homeland Security
Office of Inspector General**
Summary of FY 2010 Budget Estimates by Appropriation
Total Appropriations
(Dollars in Thousands)

Budget Activity	FY 2008 Actual ¹		FY 2009 Enacted ²		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Audit, Inspections, and Investigations Program	551	\$114,729	577	\$98,513	632	\$127,874	55	\$29,361	30	\$8,539	25	\$20,822
Total, Enacted Appropriations and Budget Estimate	551	\$114,729	577	\$98,513	632	\$127,874	55	\$29,361	30	\$8,539	25	\$20,822

American Recovery and Reinvestment Act (ARRA)	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Audit/Oversight				\$5,000								
Total				\$5,000								

¹ Includes actual obligations associated with the transfer from the FEMA Disaster Relief Fund

² Excludes the transfer from the FEMA Disaster Relief Fund \$16.0M

ii. Homeland and Non-Homeland Allocation

**Department of Homeland Security
Office of Inspector General**
Homeland and Non-Homeland Allocation by Program/Project Activity
(Dollars in Thousands)

Budget Activity	2008 Actual ¹						2009 Enacted ²						2010 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Salaries and Expenses	---	\$0	551	\$114,729	551	\$114,729	---	\$0	577	\$98,513	577	\$98,513	---	\$0	632	\$127,874	632	\$127,874
Audit, Inspections, and Investigations Program	---	---	551	114,729	551	114,729	---	---	577	98,513	577	98,513	---	---	632	127,874	632	127,874
Total Direct Appropriations and Budget Estimates	---	\$0	551	\$114,729	551	\$114,729	---	\$0	577	\$98,513	577	\$98,513	---	\$0	632	\$127,874	632	\$127,874

¹ Includes actual obligations associated with the transfer from the FEMA Disaster Relief Fund

² Excludes the transfer from the FEMA Disaster Relief Fund \$16.0M

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

**Department of Homeland Security
Office of Inspector General**

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2007	11/1/2008	FY 2007 Approps [P.L. 109-295], Conference Report 10*-699 / Title VI, Sec 696, p.108	Requires the IG to review internal controls of any database or system for federal disaster relief assistance programs administered by FEMA	Underway
2007	8/3/2009	9/11 Commission Act of 2007 [101-53],121 Stat. 374/Sec. 1001 (e)Conferece Report 110-259, Sec. 1001(e), p.109.	Requires the IG to conduct a study and be completed no later than 2 years after enactment.	
2008	9/30/2008	FY 2008 Consolidated Appropriations [PL 110-161], Joint Explanatory Statement, p. 1027	Directs the IG to report on the vulnerabilities that exist to our aviation system if the Secure Flight program does not screen against the full terrorism watch list.	Draft to Department 01/09
2007	8/3/2008	9/11 Commission Act of 2007 [101-53],121 Stat. 290/Title 1, Sec. 2022(G).	Requires the IG to review and evaluate FEMA's grants management and oversight practices, including assessments and recommendations relating to skills, resources and capabilities of the workforce, and any additional resources and staff needed- due no later than 1 year after enactment.	Draft to Department 04/10
2008	9/30/2008	FY 2008 Consolidated Appropriations [PL 110-161], Joint Explanatory Statement, p. 1026	In fiscal year 2007, the Committee received a Government Accountability Office (GAO) Report (GAO-07-529) which reviewed U.S. Customs and Border Protection (CBP) revenue oversight. The Committee learned CBP needs to improve workforce planning and accountability. Includes \$1,200,000 for the Inspector General to conduct CBP revenue oversight.	Revenue Analysis Function report - Completed Collections and Deposit Draft Report Expected May/June 09
2008	9/30/2008	FY 2008 Consolidated Appropriations [PL 110-161], 121 STAT. 2029/ Sec. 539(d), Joint Explanatory Statement, p. 1103	Requires the IG to review departmental contracts awarded thorough other than full and open competition. Also, the appropriations bill includes a new provision proposed by the House prohibiting the obligation of funds to the Office of Secretary and Executive Management, the Office of the Under Secretary for Management, and the Office of the Chief Financial Officer for grants or contracts awarded by any means other than full and open competition. Certain exceptions apply. The amended bill requires the IG to review Departmental contracts awarded noncompetitively and report on the results.	Draft Report Expected April 09
2008	180 days after DHS Secretary submits section 4(a) report	Kendell Frederick citizenship Assistance Act [PL110-251] 122 STAT. 2321 / sec. 4(b)	The U.S. Comptroller General and the DHS IG shall conduct a study on the implementation of the Act by Secretary of DHS and DOD.	
2008	9/1/2009	FISA Amendments Act of 2008 [PL 110-261] 122 STAT. 2446 / sec. 702(l)(2)	IGs of the Intelligence Community shall review the number of disseminated intelligence reports containing a reference to a U.S. person identity.	
2009	4/6/2009	FY2009 Appropriations, HR 2638, Division D, Title II, p. 86; House Report 110-875,Division D, Title II, p. 88; Joint Explanatory Statement, Division D, Title II, p. 592	ICE's 287(g) Agreements Report – Report on the performance of Immigration and Customs Enforcement 287(g) agreements [between ICE and state and local officials.	Underway

2009	4/6/2009	FY2009 Appropriations, HR 2638, Division D, Title V, Sec. 518(b), p. 111; House Report 110-875, Division D, Title V, Sec.518(b), p. 114; Joint Explanatory Statement, Division D, Title V, p. 642	IG review of the data collected by the National Applications Office, including a description of the collection purposes and the legal authority under which the collection activities were authorized. Due six months after enactment then quarterly thereafter.	Review incomplete - due to NAO is currently Non-Operational. Notification Letter sent to Appropriations Committees.
2009	4/6/2009	FY2009 Appropriations, HR 2638, Division D, Title V, Sec. 525(d), p. 112; House Report 110-875, Division D, Title V, Sec.525(d), p. 116; Joint Explanatory Statement, Division D, Title V, p. 643	Review departmental contracts awarded noncompetitively and report on the results to the Committees on Appropriations.	Draft Report Expected April 09
2009	4/6/2009	FY2009 Appropriations, Joint Explanatory Statement, Division D, Title II, p. 596;House Committee Report 110-862, p. 28,57	The OIG is directed to review ICE practices for determining the age of those in its custody, and to report to the Committees on Appropriations on any cases in fiscal years 2008 or 2009 where ICE used dental or skeletal examinations to determine a child's age.	Underway Notification Letter sent to Appropriations Committees.
2009	3/6/2009	Special Immigrant Non-Minister Religious Worker Program Act [PL 110-391] 122 STAT. 4193 / Sec. 2©	Not later than 3/6/09 DHS IG shall submit to Congress a report on the effectiveness of the regulations required by subsection (b)(1).	Underway

iv. Schedule of Authorized/Unauthorized Appropriations by PPA

Not Applicable

Department of Homeland Security

Office of Inspector General

Audit, Inspections, and Investigations Program



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

OFFICE OF INSPECTOR GENERAL AUDIT, INSPECTIONS AND INVESTIGATIONS PROGRAM

I. Appropriation Overview

The Department of Homeland Security (DHS), Office of Inspector General (OIG) was established by the *Homeland Security Act 2002* (P.L. 107-296), by amendment to the *Inspector General Act of 1978*. The Inspector General (IG) has a dual reporting responsibility, to the Secretary of Homeland Security and to the Congress. The OIG serves as an independent and objective inspection, audit, and investigative body to promote economy, efficiency, and effectiveness in DHS programs and operations, and to prevent and detect fraud, waste, and abuse in such programs and operations. For fiscal year (FY) 2010, the OIG is requesting 662 positions, 632 full time equivalent (FTE) and \$127.9 million. The request includes 25 FTE and \$4.8 million for adjustments-to-base, and 30 FTE and \$8.5 million for program increases. In addition to the program increase, the request includes a base increase of \$16.0 million to continue its disaster oversight efforts.

A. Mission Statement for the Office of Inspector General:

The OIG aspires to aid the Department in continuously improving its management and program operations, and inspire innovation in its offices and within the Inspector General community.

The OIG conducts and supervises audits, inspections, special reviews, and investigations of the Department's programs and operations, including program and financial management, contract and grant activity, and disaster relief efforts. The OIG conducts these reviews to offer recommendations for improving the economy, efficiency, and effectiveness of the Department's operations and activities, when necessary; and to deter, identify, and address fraud, waste, and abuse. The OIG annually publishes a schedule of audits, inspections, and investigations that will assist the Department in fulfilling its mission and goals, and report its findings to the Secretary, the Congress, and the public, when appropriate.

B. Budget Activities:

Audit, Inspections and Investigations Program - The OIG has one budget activity which consists of the following components:

Executive Office: The Executive Office consists of the IG, the Deputy IG, an executive assistant, and support staff. It provides executive leadership to the OIG. The office has 4 FTEs.

Office of Congressional and Media Affairs: The Office of Congressional and Media Affairs serves as primary liaison to members of Congress and their staffs, the White House and Executive Branch, the media, and other federal agencies and governmental entities involved in securing the Nation. The office's staff responds to inquiries from the Congress, the White House, and the media; notifies Congress about OIG initiatives, policies, and programs; and informs other governmental entities about OIG measures that affect their operations and activities. It also provides advice to the IG and supports OIG staff as they address congressional, White House, and media inquiries. The office has 5 FTEs.

Office of Counsel to the Inspector General: The Office of Counsel provides legal advice to the IG and other management officials; supports audits, inspections, and investigations by ensuring that applicable laws and regulations are followed; serves as the OIG's designated ethics office; manages the OIG's *Freedom of Information Act* and *Privacy Act* responsibilities; furnishes attorney services for the issuance and enforcement of OIG subpoenas; and provides legal advice on OIG operations. The office has 14 FTEs.

Office of Audits: The Office of Audits conducts and coordinates audits and program evaluations of the management and financial operations of DHS. Auditors examine the methods employed by agencies, bureaus, grantees, and contractors in carrying out essential programs or activities. Audits evaluate whether established goals and objectives are achieved and resources are used economically and efficiently; whether intended and realized results are consistent with laws, regulations, and good business practice; and determine whether financial accountability is achieved and the financial statements are not materially misstated. The office has 165 FTEs.

Office of Emergency Management: The Office of Emergency Management (EMO) provides an aggressive and ongoing audit and investigative effort designed to ensure that disaster relief funds are being spent appropriately, while identifying fraud, waste, and abuse as early as possible. The office is an independent and objective means of keeping the Congress, the Secretary, the Administrator of the FEMA and other federal disaster relief agencies fully informed on problems and deficiencies relating to disaster operations and assistance programs, and progress regarding corrective actions. EMO's focus is weighted heavily against prevention, including reviewing internal controls, and monitoring and advising DHS and FEMA officials on contracts, grants, and purchase transactions before they are approved. This allows the office to stay current on all disaster relief operations and provide on-the-spot advice on internal controls and precedent-setting decisions. The office coordinates with other Federal Offices of Inspector General, meets with state and local officials on audit and investigative matters, and advises contractors and grantees on compliance requirements. The office has 75 FTEs supplemented by temporary and term employees as needed to cover disaster surges, including a continued presence in the Gulf Coast area.

Office of Inspections: The Office of Inspections provides the IG with a means to analyze programs quickly and to evaluate operational efficiency and vulnerability. This work includes special review of sensitive issues that arise suddenly and congressional requests for studies that require immediate attention. Inspections may examine any area of the Department, plus it is the lead OIG office for reporting on DHS intelligence, international affairs, civil rights and civil liberties, and science and technology. Inspections reports use a variety of study methods and evaluate techniques to develop recommendations for DHS; and the reports are released to DHS, Congress, and the public. The office has 41 FTEs.

Office of Information Technology Audits: The Office of Information Technology conducts audits and evaluations of DHS' information management, cyber infrastructure, and systems integration activities. The office reviews the cost effectiveness of acquisitions, implementation, and management of major systems, and telecommunications networks across DHS. In addition, it evaluates the systems and related architectures of DHS to ensure they are effective, efficient, and implemented according to applicable policies, standards, and procedures. The office also assesses DHS' information security program as mandated by the *Federal Information Security Management Act* (FISMA). In addition, the office provides technical forensics assistance to OIG offices in support of OIG's fraud prevention and detection programs. The office has 43 FTEs.

Office of Investigations: The Office of Investigations conducts investigations into allegations of criminal, civil, and administrative misconduct involving DHS employees, contractors, grantees, and programs. These investigations can result in criminal prosecutions, fines, civil monetary penalties, administrative sanctions, and personnel actions. Additionally, the Office of Investigations monitors the investigative activity of DHS'

various internal affairs offices. This office has 189 FTEs along with temporary employees dedicated to disaster recovery efforts.

Office of Administration: The Office of Administration provides critical administrative support functions, including OIG strategic planning; development and implementation of administrative directives; the OIG's information and office automation systems; budget formulation and execution; correspondence; printing and distribution of OIG reports; and oversight of the personnel, procurement, travel, and accounting services provided to the OIG on a reimbursable basis by the Bureau of Public Debt. The office also prepares the OIG's annual performance plans and the semiannual reports to the Congress. The office has 41 FTEs.

C. Budget Request Summary

The OIG is requesting 662 positions, 632 FTE and \$127.9 million for FY 2010. The program increases include 60 positions, 30 FTE and \$8.5 million. The adjustments-to-base are for 25 FTE and \$4.8 million and include a base increase of \$16.0 million for Emergency Management Oversight disaster relief activities.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Office of Inspector General
Audit, Inspections and Investigations Program
Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)**

Program/Project Activity	FY 2008 Actual ¹		FY 2009 Enacted ²		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Audit, Inspections, and Investigations Program	551	\$114,729	577	\$98,513	632	\$127,874	55	\$29,361	30	8,539	25	\$20,822
Subtotal, Enacted Appropriations and Budget Estimates	551	\$114,729	577	\$98,513	632	\$127,874	55	\$29,361	30	\$8,539	25	\$20,822
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	551	\$114,729	577	\$98,513	632	\$127,874	55	\$29,361	30	\$8,539	25	\$20,822

American Recovery and Reinvestment Act (ARRA)	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Audit/Oversight				\$5,000								
Total				\$5,000								

¹ Includes actual obligations associated with the transfer from the FEMA Disaster Relief Fund

² Excludes ARRA funding of \$5M and \$16M transfer from the FEMA Disaster Relief Fund

III. Current Services Program Description by PPA

Department of Homeland Security
Office of Inspector General
Audit, Inspections, and Investigations Program
Program Performance Justification
(Dollars in thousands)

PPA: AUDIT, INSPECTIONS AND INVESTIGATIONS PROGRAM

	Perm Pos	FTE	Amount
2008 Actual ¹	552	552	114,729
2009 Enacted ²	602	577	98,513
2010 Adjustments-to-Base	0	25	20,822
<hr/>			
2010 Current Services	602	602	119,335
2010 Program Change	60	30	8,539
<hr/>			
2010 President's Budget	662	632	127,874
Total Change 2009-2010	60	55	29,361

1 Includes actual obligations associated with the transfer from the Disaster Relief Fund.

2 Excludes ARRA funding of \$5.0M and \$16.0M transfer from the Disaster Relief Fund.

* The table above excludes AARA funding of \$5.0 million provided in P.L. 111-5. For FY 2010, the Office of Inspector General (OIG) requests \$127.9 million for this activity. This reflects an increase of \$4.8 million over FY 2009 for pay inflation and other adjustments-to-base, a base increase of \$16.0 million to continue its disaster oversight efforts, as well as a total program increase of \$8.5 million to provide additional staff. The additional staff will perform oversight responsibilities and assist DHS in achieving its strategic goal of "organizational excellence." Specifically, \$5.1 million program increase associated with personnel support, \$2.4 million towards training to include requirements of Public Law 110-40, *The Inspector General Reform Act of 2008*, and \$1.0 million for GSA rent and facility-related costs.

CURRENT SERVICES PROGRAM DESCRIPTION:

Specifically, the OIG's key legislated responsibilities are to:

- Promote economy, efficiency, and effectiveness in the management of the Department's programs and supporting operations;
- Conduct and supervise audits, investigations, and inspections relating to the Department's programs and support operations;
- Detect and prevent fraud, waste, and abuse;
- Review existing and proposed legislation and regulations and make appropriate recommendations;
- Maintain effective working relationships with other federal, state, and local governmental agencies, and non-governmental entities regarding the mandated duties of the OIG's;

- Inform the Secretary of the DHS and the Congress of serious problems and recommend corrective actions and implementation strategies;
- Comply with the audit standards of the Comptroller General of the Government Accountability Office (GAO); avoid duplication of GAO activities; and
- Report violations of federal criminal law to the U.S. Attorney General.

Significant accomplishments in FY 2008 include:

- The OIG issued 99 management reports (audits and inspections) and 25 financial assistance grant reports. The OIG processed 52 reports on DHS programs that were issued by other organizations. As a result of these efforts, \$140.7 million of questioned costs were identified, of which \$89.6 million were determined to be unsupported. In addition, \$37.6 million were recovered as a result of identifying disallowed costs identified from current and prior year reports and identifying \$4.9 million of funds that could have been put to better use.
- DHS management concurred with 96 percent of the recommendations of OIG, an increase of two percent over 2007.
- OIG investigations resulted in 904 reports issued, 426 arrests, 470 indictments, 402 convictions, and 33 personnel actions. OIG investigators closed 1,056 investigations and 15,415 complaints.
- Additionally, investigative recoveries, fines, restitutions, and cost savings totaled \$52.9 million.

FY 2009 planned accomplishments include:

- The Office of Audit's plans include issuing an increased number of program and financial audits and will continue to work closely with DHS management and congressional oversight committees to identify potential audit work that will promote the economy, efficiency, and effectiveness of departmental programs and operations.
- The Office of Emergency Management Oversight will continue the disaster oversight activities focusing on internal controls, grant and contract audits, and performance reviews, for all FEMA programs and operations.
- The Office of Inspections continued reviews with emphasizes on DHS operations involving intelligence information management to include a review of the Homeland Security Infrastructure Threat and Risk Analysis Center, Science and Technology Directorate programs, and overseas operations.
- The Office of Information Technology continues a series of reviews and evaluations on the Department's progress in establishing a cost-effective and secure information technology infrastructure.
- The Office of Investigations plans continue assessment of operations to ensure all efforts address protecting the integrity of the Department of Homeland Security. Additionally, Investigations is also supporting the Hurricane Katrina Task Force (HKTF) by increasing the FEMA investigative caseloads.

Anticipated FY 2010 performance is described below:

The Office of Audits plans to issue 65 program and financial audits during FY 2010. The OIG anticipates that it will complete approximately 20 of the FY 2009 carryover audits in FY 2010 and 45 new program and financial reports. The OIG will continue to work closely with DHS management and congressional oversight committees to identify potential audit work that will promote the economy, efficiency, and effectiveness of departmental programs and operations.

The Office Information Technology Audits (IT) will continue to evaluate the Department's progress in establishing a cost-effective and secure information technology infrastructure. Specifically, IT will assess the progress DHS is making in consolidating its myriad networks and implementing a standard IT platform across the Department. In addition, IT will evaluate the effectiveness of DHS' program for modernizing its immigration systems and to implement a border security system; DHS' programs to protect privacy; and DHS' efforts to protect the Nation's cyber infrastructure. Furthermore, IT will conduct a series of reviews addressing the security aspects of telework, web servers, consolidated data centers, and the Automated Commercial Environment (ACE) and Secure Flight programs. Finally, the IT office will assess DHS' effort to address significant deficiencies identified in the IT security program by ensuring that progress is made in developing components' plans of action and milestones; ensuring that security policies and procedures are implemented department-wide; and ensuring that all systems are adequately certified and accredited.

The Office of Inspections (ISP) ISP is the lead OIG unit for reporting on DHS intelligence, international affairs, civil rights and civil liberties, and science and technology. ISP's international efforts will build upon the OIG's 2008 report *Management of Department of Homeland Security International Activities and Interests (OIG-08-71)* by evaluating the quality of management direction and control exercised overseas at the component level. ISP will continue to meet regularly with the DHS Office of Civil Rights and Civil Liberties and stakeholders to identify areas warranting review. Planned reviews include whether DHS components properly process unaccompanied juvenile aliens. ISP will review the Science and Technology Directorate on, whether selected acquisitions complied with federal regulations and will assess the appropriateness of the directorate's acquisition structure. In addition, ISP plans to evaluate the effectiveness of mission communications among Federal Air Marshals (FAMS) and the comprehensiveness of management controls to prevent immigration adjudicators from issuing fraudulent benefits. ISP will also review the quality of DHS coordination among departments and components regarding employment verification programs and regarding infrastructure protection in the petroleum and natural gas subsectors.

The Office of Investigations and its field office staff members will continue to protect the personnel, property, and integrity of DHS by vigorously investigating allegations of serious criminal, civil, and administrative wrongdoing involving DHS personnel, programs and operations.

The Office of Investigations will continue to maintain effective liaison and joint investigations with the Immigration and Customs Enforcement (ICE), Office of Professional Responsibility; the U.S. Coast Guard (USCG), Investigative Service; the Transportation Security Administration (TSA), Office of Inspections; the United States Secret Service (USSS), Office of Professional Responsibility; the U.S. Customs and Border Protection (CBP), Office of Internal Affairs; and U.S. Citizenship and Immigration Services (CIS), Office of Security and Investigations; and the other various non-law enforcement components within the DHS. Investigations will also liaison with law enforcement and non-law enforcement entities outside of DHS. In addition, Investigations will continue to exercise its authorized oversight function by reviewing the internal inspection divisions of ICE, USCG, FAMS, the Federal Protective Service (FPS), and CIS.

In FY 2010, the Office of Investigations, Inspections Division will conduct internal inspections of the following OIG Investigations offices: the Miami Field Office, including the San Juan Resident Office and Orlando Sub-Office; the Atlanta Field Office, including the Hattiesburg, Biloxi, and Mobile Sub-Offices; the San Diego Field Office, including the Los Angeles and El Centro Resident Offices; the Chicago Field Office including the Detroit Resident Office; the El Paso Field Office; and the San Francisco Field Office, including the Seattle Resident Office.

The Office of Investigations, Inspections Division, Hotline and Correspondence Unit will continue to maintain and improve its systems for receiving, routing, and responding to thousands of routine complaints and communications each year, as well as congressional and other official correspondence.

The Office of Investigations, Federal Emergency Management Agency Support Unit will maintain liaison with FEMA and continue to support the National Center for Disaster Fraud by improving information access and communications, and maintaining a steady flow of investigative cases, prosecutions, and recoupment's by the Baton Rouge, Biloxi, Hattiesburg, and Mobile Sub-Offices and other field offices nationwide.

The Office of Emergency Management Oversight (EMO) EMO will maintain a presence at FEMA field offices in the Gulf Coast to provide oversight and technical assistance to FEMA and state and local officials, as well as to monitor the implementation of FEMA's mitigation programs. The EMO office coordinates with other Federal Offices of Inspector General, meets with state and local officials on audit and investigative matters, and advises contractors and grantees on compliance requirements. EMO is prepared to deploy experienced staff to FEMA's operation centers, joint field offices, and transitional recovery offices to provide assistance and oversight during a significant natural or man-made disaster.

EMO provides an independent and objective means of keeping Congress, the Secretary of Homeland Security, the Administrator of FEMA and other Federal disaster relief agencies fully informed of problems and deficiencies relating to disaster operations and assistance programs and the progress regarding corrective actions. These reports are valuable to both the Office of Management and Budget (OMB) and the Congress in making budget and program decisions.

IV. Program Justification of Changes

**Department of Homeland Security
Office of Inspector General
Audit, Inspection and Investigations
Justification of Program Changes
(Dollars in Thousands)**

Program Increase 1: Personnel Support

Strategic Goal(s) & Objective(s): 5.0 - Strengthen and Unify DHS Operations and Management
PPA: Audit, Inspections and Investigations

Program Increase: Positions 60 FTE 30 Dollars \$5,100

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level									
Program Increase							60	30	5,100
Total Request							60	30	5,100

Description of Item

The FY 2010 program requests reflect an increase of \$5.1 million for personnel support for 60 new positions. The program increase reflects the resources that are required to enable the OIG to perform its oversight responsibilities, as well as assist DHS in achieving its strategic goal of “organizational excellence.”

Justification

The FY 2010 budget requests funding for additional resources for staffing requirements for the OIG oversight activities relating to several DHS issues on immigration and border security, transportation security, critical infrastructure protection, federal and state/local intelligence sharing, Secure Border Initiative(SBI), and acquisition strategies. The request provides the OIG an additional 60 positions and 30 FTEs. These resources will provide the required staff to support our ever-increasing investigative and oversight functions. The country faces a massive challenge in its effort to achieve security and stability along its borders. Since September 11, 2001, the federal government has increased funding for border security and doubled the size of the Border Patrol from approximately 9,000 agents to 20,000 agents. There is a positive relationship between the increased critical border patrol infrastructure activities and the increased OIG investigative oversight activities to prevent risk management issues in these programs and operations.

The additional resources will enable the Office of Audits to conduct new audits annually (of varying complexity), covering several aspects of immigration and border control. Priority will be given to the Secure Border Initiative (SBI), acquisition strategies, funding and eventual implementation planning. In addition to this, the application and security of biometric data obtained through US-VISIT and how the components and intelligence elements use this data needs critical analysis. Plus, increased reviews and evaluations of the policies and procedures associated with the apprehension, detention, and removal of illegal immigrants will intensify the workload as these policies change, are legislated, or become controversial through implementation.

The Office of Audits will also be capable of conducting in-house grant audits of state grantees and local government sub-grantees. The Office of Audits will conduct audits annually of science and technology preparedness programs and development grants awarded to university based researchers and private industry for nuclear and biological detections, surveillance, scanning, and counter measure initiatives. In addition, the Office of Audits will conduct audits of cross component initiatives such as interoperable commoditization and intelligence sharing, and a follow-on audit to the audit of the National Response Plan. Furthermore, Audits will also review the Department's systems and internal controls over financial reporting and follow-up on over 1,000 open recommendations that its office and others have issued to the Department concerning these and other programs.

The increase in staffing will better position the Office of Investigations to assist in supporting the Department's integrated planning guidance (IPG) of strengthening border security and interior enforcement. These resources provided to the current investigative field offices will facilitate the expeditious resolution of the overwhelming number of incoming allegations of criminal conduct and or egregious administrative misconduct on the part of DHS employees, contractors, and grantees. The Office of Investigations will thereby, be able to investigate more of the allegations that they previously delegated to component internal affairs offices.

The additional resources will also allow the Office of Information Technology Audits to perform security reviews of select DHS components in their entirety and address major information technology (IT) issues facing the Department in the various stages of development and implementation. This manner of review would give the component head, the DHS Chief Information Officer (CIO), and Secretary a comprehensive assessment of the security posture of those components tested, such as Transportation Security Administration (TSA), Custom and Border Protection (CBP), United States Coast Guard (USCG), United States Secret Service (USSS), etc. Further, these reviews would be linked directly to the Department's IPG priority of strengthening intelligence and enhancing information sharing with its partners. The primary priority supporting the IPG would be information interoperability across DHS. The Department is making progress in developing and implementing an agency-wide information security program that addresses the needs of over 200,000 employees assigned to hundreds of different sites.

The Office of Inspections (ISP) will evaluate operational efficiency and vulnerability to expand examining the role of DHS in intelligence fusion centers and several aspects of terrorist watch list management, including potential vulnerabilities in Secure Flight. ISP will examine the DHS Traveler Redress Inquiry Program, which permits travelers to seek resolution for difficulties such as denial of airline boarding or border crossing. ISP's efforts in international affairs include an assessment of visa security issues and the first in a series of reports evaluating the management of DHS overseas operations. ISP will review the Science and Technology Directorate's processes for selecting and managing research and development programs.

Impact on Performance (Relationship of Increase to Strategic Goals)

The additional resources that the OIG is requesting reflect the highest priorities and vision for the Office over the next five years. The request has a direct correlation to the achievement of DHS' goal to "strengthen and unify DHS operations and management." The resources should increase the number of reports that the OIG is able to produce and its ability to provide a greater number of departmental managers with recommendations to ensure that their programs/activities are operating in the most economical, efficient, and effective manner possible. The additional resources will also

enable the OIG to enhance its ability to follow-up, on a regular basis, on the substantial number of open recommendations that the OIG and others have issued to the Department.

IV. Program Justification of Changes

**Department of Homeland Security
Office of Inspector General
Audit, Inspection and Investigations
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 2: GSA Rent and Facility-Related Costs

Strategic Goal(s) & Objective(s): 5.0 - Strengthen and Unify DHS Operations and Management
PPA: Audit, Inspections and Investigations

Program Increase: Positions 0 FTE 0 Dollars \$1,049

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level									
Program Increase							-	-	1,049
Total Request									1,049

Description of Item

The OIG requests \$1.0 million in program resources for General Services Administration (GSA) rent and facility-related costs. The FY 2010 request funds an accumulated increase of GSA rent, guard services, maintenance and management of buildings, commercially leased parking, utilities, and other miscellaneous space related costs.

Justification

The OIG conducts its mission-critical work through its workforce. The OIG is headquartered in Washington, D.C. and includes field offices strategically located throughout the country. Approximately 47 percent of the OIG’s workforce is located in the Washington, DC headquarters office with the other 53 percent of its workforce located across the nation and Puerto Rico.

The OIG’s on-board position level grew significantly during FY 2008 – an increase of 40 positions over the previous fiscal year. During FY 2009, the OIG will consolidate the Office of Investigations, Washington Field Office (WFO) in Northern Virginia within headquarters. The relocation of the WFO within headquarters will result in a more effective and efficient operation for the Office of Investigations.

Impact on Performance (Relationship of Increase to Strategic Goals)

The increase in the on-board position level together with the decision to relocate the Washington Field Office within headquarters resulted in a permanent requirement to acquire additional space at OIG’s headquarters in Washington, D.C. The \$1.0 million program increase is required to meet the OIG’s commitment to GSA for rent and for the additional facility-related costs.

IV. Program Justification of Changes

**Department of Homeland Security
Office of Inspector General
Audit, Inspection and Investigations
Justification of Program Changes
(Dollars in Thousands)**

Program Increase 3: Training

Strategic Goal(s) & Objective(s): 5.0 - Strengthen and Unify DHS Operations and Management
PPA: Audit, Inspections and Investigations

Program Increase: Positions 0 FTE 0 Dollars \$2,390

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level									
Program Increase							-	-	2,390
Total Request									2,390

Description of Item

The program increase will enable the OIG to continue growth of professionals to excel in their fields. In addition to mandatory and essential training courses needed for the OIG personnel, these funds will also be used for the President’s Council on Integrity and Efficiency.

Justification

The FY 2010 budget requests funding of \$2.4 million to facilitate the OIG 's personnel professional educational training requirements and the Council of the Inspectors General on Integrity and Efficiency (CIGIE) under the mandatory requirements of the Inspector General Reform Act of 2008, P.L. 110-40 [H.R. 928]. The Inspector General Act requires Office of Inspectors General to adhere to the Generally Accepted Government Auditing Standards (GAGAS) promulgated by the Government Accountability Office. Similarly, evaluations and investigations are done in adherence with professional standards adopted by the President’s Council on Integrity and Efficiency and the Executive Council on Integrity and Efficiency. Additionally, the OIG investigation personnel must complete required training programs, annual training and specialized technology and investigative training. Moreover, the requested resources will help the OIG properly train new comers as well as experienced professional staff to enable them to perform at top efficiency. The OIG will maintain the Agency’s quality and flexibility of human resources and ensure that staff maximizes the professional skills needed to grow with job requirements.

Impact on Performance (Relationship of Increase to Strategic Goals)

The OIG has made every effort to continue to provide staff the required training opportunities while minimizing costs by introducing more group classes and online training sessions, including for the cross training of employees. Despite these efforts, with the continuous change in technology, the OIG needs to ensure that its employees stay current with their skill levels. The overall staff development goal is to improve performance through structured training, professional development, and career development efforts. Moreover, the OIG is committed to achieving increased productivity and therefore would like to provide its employees the opportunity to learn and contribute efficiently at the workplace. The OIG also hopes to achieve higher staff motivation, increased performance levels, boost in the retention of its employees, and enable further the contribution to organizational value. The \$2.4 million represents the continuation of professional, technological, and investigative educational training requirements.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Office of Inspector General
Justification of Proposed Changes in Salaries and Expenses
Appropriation Language**

For necessary expenses of the Office of Inspector General in carrying out the provisions of the Inspector General Act of 1978 (5 U.S.C. App.), [\$92,711,000] \$127,874,000 of which not to exceed \$150,000 may be used for certain confidential operational expenses, including the payment of informants, to be expended at the direction of the Inspector General

Explanation of Changes:

Not Applicable

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
Office of Inspector General
Audit, Inspections and Investigations Program
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual ¹	551	551	\$114,729
FY 2009 Enacted ²	602	577	98,513
Adjustments-to-Base			
Increases			
Annualization of prior year part year funding.....	---	25	2,723
Annualization of 2009 pay raise.....	---	---	659
2010 pay increase.....	---	---	1,236
GSA Rent.....	---	---	179
WFC Increased Costs	---	---	25
Annulization for Disaster Relief Funding	---	---	16,000
Total Increases.....	---	25	20,822
Total Adjustments-to-Base.....	---	25	20,822
 2010 Current Services.....	 602	 602	 119,335
 Program Changes			
Program Increases/(Decreases)			
Personnel Support Salaries & Expenses.....	60	30	5,100
GSA Rent & Facilities Related Costs.....			1,049
Training.....			2,390
Total Program Changes.....	60	30	8,539
 2010 Request	 662	 632	 127,874
 2009 to 2010 Total Change.....	 60	 55	 29,361

1 Includes actual obligations associated with the transfer from the FEMA Disaster Relief Fund

2 Excludes ARRA funding of \$5M and \$16M transfer from the FEMA Disaster Relief Fund

C. Summary of Requirements

Department of Homeland Security
Office of Inspector General
Audit, Inspections and Investigations Program
 Summary of Requirements
 (Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual ¹	551	551	\$114,729
2009 Enacted ²	602	577	98,513
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	---	---	---
Increases	---	25	20,822
Decreases	---	---	---
Total Adjustments-to-Base	---	25	20,822
2010 Current Services	602	602	119,335
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	60	30	8,539
2010 Total Request	662	632	127,874
2009 to 2010 Total Change	60	55	29,361

Estimates by Program/Project Activity	2009 ² Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Audit, Inspections, and Investigations Program	602	577	\$98,513	25	25	\$20,822	60	30	\$ 8,539	662	632	\$127,874	60	55	\$29,361
Total	602	577	\$98,513	25	25	\$20,822	60	30	\$8,539	662	632	\$127,874	60	55	\$29,361

Note:

¹ Includes actual obligations associated with the transfer from the FEMA Disaster Relief Fund

² Excludes ARRA funding of \$5M and \$16M transfer from the FEMA Disaster Relief Fund

D. Summary of Reimbursable Resources

**Department of Homeland Security
Office of Inspector General
Audit, Inspections and Investigations Program
Summary of Reimbursable Resources
(Dollars in Thousands)**

Collections by Source	FY 2008 Actual			2009 Revised Estimate			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Department of Homeland Security - CFO (CFO Audit)			\$14,636			18,000			18,000	---	---	---
PCIE/ECIE Training Conference			17							---	---	---
FEMA			2,468							---	---	---
Total Budgetary Resources	---	---	17,121	---	---	18,000	---	---	18,000	---	---	---

Obligations by Program/Project Activity	FY 2008 Actual			2009 Revised Estimate			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Audit, Inspections, and Investigations Program			\$17,121			\$18,000			\$18,000	---	---	---
										---	---	---
										---	---	---
Total Obligations	---	---	17,121	---	---	18,000	---	---	18,000	---	---	---

E. Summary of Requirements by Object Class
Department of Homeland Security
Office of Inspector General
Audit, Inspections and Investigations Program
Summary of Requirements by Object Class
(Dollars in Thousands)

Object Classes	FY 2008 Actual 1	FY 2009 Enacted 2	FY 2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$52,639	\$55,319	\$61,378	\$6,059
11.3 Other than full-time permanent	1,838	3,799	2,463	(1,336)
11.5 Other Personnel Compensation	4,585	5,175	5,406	231
11.8 Special Service Pay	4	---		---
12.1 Benefits	18,299	18,524	20,406	1,882
13.0 Benefits - former	17	---		---
Total, Personnel Comp. & Benefits	\$77,382	\$82,817	\$89,653	\$6,836
Other Object Classes:				
21.0 Travel	5,490	4,890	4,168	(722)
22.0 Transportation of things	92	70	70	---
23.1 GSA rent	8,837	9,946	11,173	1,227
23.2 Other rent	413	218	218	---
23.3 Communications, utilities, & other misc. charges	2,020	2,692	2,718	26
24.0 Printing and reproduction	75	235	235	---
25.1 Advisory and assistance services	5,688	8,387	2,787	(5,600)
25.2 Other services	1,255	1,064	3,516	2,452
25.3 Purchases of goods & svcs. from Gov't accounts	8,407	7,176	7,904	728
25.4 Operation & maintenance of facilities	276	135	135	---
25.7 Operation and maintenance of equipment	456	324	339	15
26.0 Supplies and materials	533	568	599	31
31.0 Equipment	2,618	3,841	4,209	368
32.0 Land & structures	1,000			---
42.0 Indemnity	1			---
43.0 Interest & dividends	40			---
44.0 Refunds				---
91.0 Unvouchered	146	150	150	---
Total, Other Object Classes	\$37,347	\$39,696	\$38,221	(\$1,475)
Total, Direct Obligations	\$114,729	\$122,513	\$127,874	\$5,361
Unobligated balance, start of year	(10,728)	(8,000)	---	
Adjustments for Other Funding Sources FEMA - DRF Transfer	(16,000)	(16,000)	---	
Unobligated balance, end of year	5,351		---	
Recoveries of prior year obligations	(641)		---	
Total requirements	\$92,711	\$98,513	\$127,874	29,361

1 Includes actual obligations associated with the transfer from the FEMA Disaster Relief Fund

2 Excludes ARRA funding of \$5M and \$16M transfer from the FEMA Disaster Relief Fund

F. Permanent Positions by Grade

**Department of Homeland Security
Office of Inspector General
Audit, Inspections and Investigations Program
Permanent Positions by Grade**

Grades and Salary Ranges	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
	Pos.	Pos.	Pos.	Total
Total, SES	12	12	12	---
Total, EX	1	1	1	---
GS-15	55	57	57	---
GS-14	105	108	116	8
GS-13	201	205	240	35
GS-12	77	85	93	8
GS-11	27	35	41	6
GS-10	---	---	---	---
GS-9	44	57	60	3
GS-8	1	1	1	---
GS-7	23	35	35	---
GS-6	3	3	3	---
GS-5	2	2	2	---
GS-4	1	1	1	---
GS-3	---	---	---	---
GS-2	---	---	---	---
Other Graded Positions	---	---	---	---
Ungraded Positions	---	---	---	---
Total Permanent Positions	552	602	662	60
Unfilled Positions EOY			---	---
Total Perm. Employment EOY	552	602	662	60
FTE	551	577	632	55
Headquarters	240	280	320	40
U.S. Field	312	322	342	20
Foreign Field	---	---	---	---
Total Permanent Positions	552	602	662	60
Average ES Salary	\$ 158,735	\$ 163,338	\$ 168,565	\$ 5,227
Average GS Salary	\$ 86,121	\$ 86,644	\$ 89,417	\$ 2,773
Average GS Grade	12.80	12.80	12.80	---

G. Capital Investment and Construction Initiative Listing
NOT APPLICABLE

H. PPA Budget Justifications

**Department of Homeland Security
Office of Inspector General
Audit, Inspections and Investigations Program
Funding Schedule
(Dollars in Thousands)**

PPA: Audit, Inspections and Investigations Program		2008 Actual ¹	2009 Enacted ²	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$42,834	\$45,120	\$61,378	\$16,258
11.3	Other than perm	734	1,858	2,463	605
11.5	Other per comp	4,127	5,061	5,406	345
11.8	Spec Srvc Pay	4	---		---
12.1	Benefits	15,168	15,586	20,406	4,820
13.0	Benefits-former	17	---		---
21.0	Travel	4,024	3,258	4,168	910
22.0	Transportation of things	43	65	70	5
23.1	GSA rent	7,858	8,945	11,173	2,228
23.2	Other rent	292	144	218	74
23.3	Communication, Utilities, and misc charges	1,575	2,629	2,718	89
24.0	Printing	49	204	235	31
25.1	Advisory & Assistance Services	4,210	2,767	2,787	20
25.2	Other Services	916	1,044	3,516	2,472
25.3	Purchase from Govt. Accts.	6,959	7,089	7,904	815
25.4	Operation & maintenance of facilities	76	135	135	---
25.7	Operation & maintenance of equipment	426	324	339	15
26.0	Supplies & materials	458	479	599	120
31.0	Equipment	2,483	3,655	4,209	554
32.0	Land & Structures	298	---	---	---
42.0	Indemnity	---	---	---	---
43.0	Interest & dividends	---	---	---	---
91.0	Unvouchered	146	150	150	---
Total, Audit, Inspections and Investigations Progra		\$92,697	\$98,513	\$127,874	\$29,361
Full Time Equivalents		551	577	632	55

1 Includes actual obligations associated with the tranfrer from the FEMA Disaster Relief Fund

2 Excludes ARRA funding of \$5M and \$16M transfer from the FEMA Disaster Relief Fund

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$62,884	\$67,625	\$89,653	\$22,028

Salaries and Benefits includes costs for 632 FTEs. The FY 2010 Request includes an increase of \$13,792,000 base funding for Emergency Management Oversight activities, \$1,236,000 for the proposed January 2010 2.0 percent increase in personnel compensation, \$2,723,000 in annualization of prior year funding, \$659,000 in the FY 2009 pay raise, and includes \$3,618,000 in personnel support program increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$4,024	\$3,258	\$4,168	\$910

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 Request includes no increase in non-pay inflation, a base funding increase of \$632,000 for Emergency Management Oversight activities, and \$278,000 associated with the personnel support program increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$43	\$65	\$70	\$5

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 Request reflects a base funding increase of \$5,000 for Emergency Management Oversight activities.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$7,858	\$8,945	\$11,173	\$2,228

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 Request includes increases of \$179,000 in non-pay inflation a base funding increase of \$1,000,000 for Emergency Management Oversight activities and includes \$1,049,000 in program increase for GSA rent and facility related cost for additional space.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Rent	\$292	\$144	\$218	\$74

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 Request reflects a base funding increase of \$74,000 for Emergency Management Oversight activities.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous charges	\$1,575	\$2,629	\$2,718	\$89

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 Request includes a base funding increase of \$63,000 for Emergency Management Oversight activities increases of \$26,000 for related costs associated with the personnel support program increase.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Printing	\$49	\$204	\$235	\$31

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 Request reflects a base funding increase of \$31,000 for Emergency Management Oversight activities.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$4,210	\$2,767	\$2,787	\$20

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 Request reflects a base funding increase of \$20,000 for Emergency Management Oversight activities.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$916	\$1,044	\$3,516	\$2,472

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 Request includes no increase in non-pay inflation, a base funding increase of \$200,000 for Emergency Management Oversight activities and includes \$2,390,000 for the training program increase and \$62,000 for related costs associated with the personnel support program increase. The increases in funding will be used to facilitate the OIG's personnel professional educational training requirements and the Council of the Inspectors General on Integrity and Efficiency (CIGIE).

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Purchase from Government Accounts	\$6,959	\$7,089	\$7,904	\$815

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 Request includes a base funding increase of \$87,000 for Emergency Management Oversight activities an increase of \$703,000 in program increases and \$25,000 for increased related costs to the working capital fund.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Operation & maintenance of facilities	\$76	\$135	\$135	\$0

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 Request reflect no change over the FY 2009 budget.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$426	\$324	\$339	\$15

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes an increase of \$15,000 for related costs associated with the personnel support program increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$458	\$479	\$599	\$120

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 Request includes a base funding increase of \$89,000 for Emergency Management Oversight activities increases of \$31,000 for related costs associated with the personnel support program increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$2,483	\$3,655	\$4,209	\$554

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 Request includes a base funding increase of \$187,000 for Emergency Management Oversight activities increases of \$367,000 for related costs associated with the personnel support program increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Land & Structures	\$298	\$0	\$0	\$0

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2010 Request reflects no change over the FY 2009 budget.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Unvouchered	\$146	\$150	\$150	\$0

Unvouchered includes expenditures made lawfully for confidential purposes, including authorized payments made by law enforcement personnel to informants, which are not subject to detailed vouchering or reporting. The FY 2010 Request includes reflects no change over the FY 2009 budget.

I. Changes In FTE

Department of Homeland Security
Office of Inspector General
Audit, Inspections and Investigations Program
Changes in Full-Time Equivalents

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	550	551	577
INCREASES			
Increase #1:			
Description: Filled Vacant Positions	36	25	
Increase #2:			
Description: Annualization of Prior Year FTE	5	1	25
Increase #3:			
Description: FY 2010 Program Increase Personnel Support			30
Sub-Total Increases	41	26	55
DECREASES			
Decrease #1:			
Description: Technical adjustment NFC reclass FY 2007 CORE/DAE personnel	(40)		
Sub-Total Decreases	(40)	0	0
Year-end Actual/Estimated FTEs	551	577	632
Net Change from prior year base to Budget Year Estimate:	1	26	55

J. FY 2009 Schedule of Working Capital Fund by Program/Project Activity

Department of Homeland Security

Office of Inspector General

Audit, Inspections and Investigations Program

FY 2010 Schedule of Working Capital Fund by Program/Project Activity

(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual	FY 2009 Anticipated	FY 2010 Anticipated	Increase / Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Audit, Inspections and Investigations Program	\$814	\$877	\$752	-\$125
Total Working Capital Fund	\$814	\$877	\$752	(\$125)

Department of Homeland Security

Office of Inspector General
Audit, Inspections and Investigations Program



Fiscal Year 2010
Strategic Context
Congressional Justification

FY 2010 PRESIDENT’S BUDGET REQUEST STRATEGIC CONTEXT

Office of Inspector General (OIG)

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A. Mission and Description of the Office of Inspector General

The Homeland Security Act of 2002 provided for the establishment of the Office of Inspector General (OIG) to ensure independent and objective audits, inspections, and investigations of the operations of the Department of Homeland Security (DHS).

An Inspector General (IG), who is appointed by the President and confirmed by the Senate, reports directly to both the Secretary of DHS and the Congress. Barring narrow and exceptional circumstances, the IG may inspect, audit, or investigate anyone in the Department, or any program or operation of the Department. To ensure the IG's independence and objectivity, the OIG has its own budget, contracting, and personnel authority, separate from that of the Department. Such authority enhances the OIG's ability to promote economy, efficiency, and effectiveness within the Department, and to prevent and detect fraud, waste, and abuse in the Department's programs and operations.

Specifically, the OIG's key legislated responsibilities are to:

- Promote economy, efficiency, and effectiveness in the management of the Department's programs and supporting operations;
- Conduct and supervise audits, investigations, and inspections relating to the Department's programs and support operations;
- Detect and prevent fraud, waste, and abuse;
- Review existing and proposed legislation and regulations and make appropriate recommendations;
- Maintain effective working relationships with other federal, state, and local governmental agencies, and non-governmental entities regarding the mandated duties of the OIG's;
- Inform the Secretary of the DHS and the Congress of serious problems and recommend corrective actions and implementation strategies;
- Comply with the audit standards of the Comptroller General of the Government Accountability Office (GAO); avoid duplication of GAO activities; and
- Report violations of federal criminal law to the U.S. Attorney General.

For FY 2010, the OIG is requesting 662 positions of which 632 full-time equivalents (FTEs). Approximately 48 percent of these FTEs will be located in the Washington, D.C. headquarters office. The remainder will be located in 27 field offices in the following locations: Atlanta, Bellingham, Boston, Buffalo, Chicago, Denver, Detroit, Denton/Dallas, Del Rio, El Centro, El Segundo, Los Angeles, El Paso, Houston, Jersey City/New York, Laredo, McAllen, Marlton/Philadelphia, Miami, Orlando, San Diego, Oakland/San Francisco, San Juan, Seattle, St. Thomas, Tucson, Yuma, and Northern Virginia (Washington Field Office). In addition, there are temporary field offices dedicated to disaster oversight operations.

In FY 2010 approximately 54 percent of OIG employees are professional staff to function in the areas of audit, inspection and emergency oversight; approximately 34 percent of employees are criminal investigators and approximately 12 percent of employees are in executive and administrative management support capacities.

B. Major Activities and Key Strategic Goals

In the FY 2008 report of management challenges, the OIG identified the following as the most serious management challenges facing DHS:

- Catastrophic Disaster Response and Recovery;
- Acquisition and Contract Management;
- Grants Management;
- Financial Management;
- Information Technology Management;
- Infrastructure Protection;
- Border Security;
- Transportation Security;
- Trade Operations and Security.

In addition to keeping with the priorities of both the Secretary and the Congress, we will focus attention on DHS' "non-homeland" missions. Particular attention will be given to the United States Coast Guard's (USCG) "non-homeland" mission, as mandated by the *Homeland Security Act*, and to disaster response and recovery activities.

These programs and functions are not an all-inclusive inventory of the Department's activities. Rather, they represent those activities that are the core of the Department's mission and strategic objectives. By answering certain fundamental questions within each of these program and functional areas, we will determine how well the Department is performing and will be able to recommend ways to improve the efficacy of the Department's programs and operations.

We will strive to have a consultative and collaborative working relationship with senior management of DHS while at the same time providing constructive and objective information to promote DHS management decision making and accountability.

The OIG has a dual reporting responsibility, to the Congress as well as to the Secretary. During the reporting period, the OIG continued its active engagement with Congress through numerous meetings, briefings, and dialogues with members and staff of the Department's authorizing and appropriations committees and subcommittees on a range of issues relating to our work and that of the DHS. The OIG's statements for the record and the reports cited in the congressional testimony are available on the OIG website at www.dhs.gov.

C. Resources Requested and Performance Impact

The Office of Inspector General provides an objective, third party assessment to ensure integrity, prevention and detection, and ferreting out of waste, fraud and abuse in DHS programs and operations. These activities result in financial savings and recoveries associated with the identification of fraud, waste, and abuse. The avoidance of fraud, waste, and abuse clearly contributes to the DHS goal of achieving organizational excellence, in addition to all other DHS strategic goals, while also providing the various DHS components and Congress with the assurances that DHS resources are being used as intended.

The proposed FY 2010 budget request totals \$127,874,000 to maintain ongoing activities that will mitigate potential risk management vulnerabilities and provide oversight of critical department-wide initiatives and programs while incorporating the Secretary's priorities to protect our Nation from dangerous people, and to protect our Nation from dangerous goods. Major changes to the base funding include \$16,000,000 for Emergency Management Oversight disaster relief activities. This base increase reflects a funding level activity that in previous years was transferred from the Federal Emergency Management Agency (FEMA) Disaster Relief Fund to the OIG in support of Emergency Management Oversight efforts. The FY 2010 requested funding will be used to maintain current levels of program operations, support 60 additional positions, and for adjustments to the base and pay annualization.

Current services:

The Office of Audits plans to issue 65 program and financial audits during FY 2010. The OIG anticipates that it will complete approximately 20 of the FY 2009 carryover audits in FY 2010 and 45 new program and financial reports. The OIG will continue to work closely with DHS management and congressional oversight committees to identify potential audit work that will promote the economy, efficiency, and effectiveness of departmental programs and operations.

The Office Information Technology Audits (IT) will continue to evaluate the Department's progress in establishing a cost-effective and secure information technology infrastructure. Specifically, IT will assess the progress DHS is making in consolidating its myriad networks and implementing a standard IT platform across the Department. In addition, IT will evaluate the effectiveness of DHS' program for modernizing its immigration systems and to implement a border security system; DHS' programs to protect privacy; and DHS' efforts to protect the Nation's cyber infrastructure. Furthermore, IT will conduct a series of reviews addressing the security aspects of telework, web servers, consolidated data centers, and the Automated Commercial Environment (ACE) and Secure Flight programs. Finally, the IT office will assess DHS' effort to address significant deficiencies identified in the IT security program by ensuring that progress is made in developing components' plans of action and milestones; ensuring that security policies and procedures are implemented department-wide; and ensuring that all systems are adequately certified and accredited.

The Office of Inspections (ISP) emphasizes special reviews of sensitive issues that arise suddenly and congressional requests for studies that require immediate attention. Inspectors may examine any area of the Department, plus ISP is the lead OIG unit for reporting on DHS intelligence, international affairs, civil rights and civil liberties, and science and technology. With respect to intelligence, ISP reports quarterly to the President's Intelligence Oversight Board on the Department's compliance with Executive Orders 12333 and 13462 regarding intelligence on U.S. persons. ISP's international efforts will build upon the OIG's 2008 report *Management of Department of Homeland Security International Activities and Interests (OIG-08-71)* by evaluating the quality of management direction and control exercised overseas at the component level. In the area of civil rights and civil liberties, ISP will continue to meet regularly with the DHS Office of Civil Rights and Civil Liberties and stakeholders to identify areas warranting review. Planned reviews include whether DHS components properly process unaccompanied juvenile aliens. Finally, regarding the Science and Technology Directorate, ISP will review whether selected acquisitions complied with federal regulations and will assess the appropriateness of the directorate's acquisition structure. In addition to these specialty areas, ISP plans to evaluate the effectiveness of mission communications among Federal Air Marshals (FAMS) and the

comprehensiveness of management controls to prevent immigration adjudicators from issuing fraudulent benefits. ISP will also review the quality of DHS coordination among departments and components regarding employment verification programs and regarding infrastructure protection in the petroleum and natural gas subsectors.

The Office of Investigations and its field office staff members will continue to protect the personnel, property, and integrity of DHS by vigorously investigating allegations of serious criminal, civil, and administrative wrongdoing involving DHS personnel, programs and operations.

The Office of Investigations will continue to maintain effective liaison and joint investigations with the Immigration and Customs Enforcement (ICE), Office of Professional Responsibility; the U.S. Coast Guard (USCG), Investigative Service; the Transportation Security Administration (TSA), Office of Inspections; the United States Secret Service (USSS), Office of Professional Responsibility; the U.S. Customs and Border Protection (CBP), Office of Internal Affairs; and U.S. Citizenship and Immigration Services (CIS), Office of Security and Investigations; and the other various non-law enforcement components within the DHS. Investigations will also liaison with law enforcement and non-law enforcement entities outside of DHS. In addition, Investigations will continue to exercise its authorized oversight function by reviewing the internal inspection divisions of ICE, USCG, FAMS, the Federal Protective Service (FPS), and CIS.

In FY 2010, the Office of Investigations, Inspections Division will conduct internal inspections of the following OIG Investigations offices: the Miami Field Office, including the San Juan Resident Office and Orlando Sub-Office; the Atlanta Field Office, including the Hattiesburg, Biloxi, and Mobile Sub-Offices; the San Diego Field Office, including the Los Angeles and El Centro Resident Offices; the Chicago Field Office including the Detroit Resident Office; the El Paso Field Office; and the San Francisco Field Office, including the Seattle Resident Office.

The Office of Investigations, Inspections Division, Hotline and Correspondence Unit will continue to maintain and improve its systems for receiving, routing, and responding to thousands of routine complaints and communications each year, as well as congressional and other official correspondence.

The Office of Investigations, Federal Emergency Management Agency Support Unit will maintain liaison with FEMA and continue to support the National Center for Disaster Fraud by improving information access and communications, and maintaining a steady flow of investigative cases, prosecutions, and recoupment's by the Baton Rouge, Biloxi, Hattiesburg, and Mobile Sub-Offices and other field offices nationwide.

The Office of Emergency Management Oversight (EMO) provides an aggressive and ongoing audit and investigative effort designed to ensure that disaster relief funds are being spent appropriately, while identifying fraud, waste, and abuse as early as possible. There are normally 40 to 60 Presidential disaster declarations each year and hundreds of open disasters. The office will continue its proactive and aggressive disaster oversight activities working with FEMA to ensure accountability and identify and resolve potential problems before they occur. It is critical that the OIG maintain sufficient funding levels and staff to oversee these efforts as EMO provides an aggressive and ongoing audit and investigative effort designed to ensure that disaster relief funds are being spent appropriately, while identifying fraud, waste, and abuse as early as possible. EMO will focus on internal controls, grant and contract audits, performance reviews, congressional requests, and special projects covering all FEMA programs and operations.

EMO will maintain a presence at FEMA field offices in the Gulf Coast to provide oversight and technical assistance to FEMA and state and local officials, as well as to monitor the implementation of FEMA's mitigation programs. The EMO office coordinates with other Federal Offices of Inspector General, meets with state and local officials on audit and investigative matters, and advises contractors and grantees on compliance requirements. EMO is prepared to deploy experienced staff to FEMA's operation centers, joint field offices, and transitional recovery offices to provide assistance and oversight during a significant natural or man-made disaster.

EMO provides an independent and objective means of keeping Congress, the Secretary of Homeland Security, the Administrator of FEMA and other Federal disaster relief agencies fully informed of problems and deficiencies relating to disaster operations and assistance programs and the progress regarding corrective actions. These reports are valuable to both the Office of Management and Budget (OMB) and the Congress in making budget and program decisions.

Program increases:

The FY 2010 program requests reflect an increase of \$8.5 million comprised of \$5.1 million for personnel support for 60 new positions, \$2.4 million for training to include requirements under the Inspector General Reform Act of 2008, PL110-40-[H.R. 928], \$1.0 million for General Services Administration (GSA) rent and facility related costs.

Personnel Support

The FY 2010 budget requests funding for additional resources for staffing requirements for the OIG oversight activities relating to several DHS issues on immigration and border security, transportation security, critical infrastructure protection, federal and state/local intelligence sharing, Secure Border Initiative(SBI), and acquisition strategies. The request provides the OIG an additional 60 positions and 30 FTEs. These resources will provide the required staff to support our ever-increasing investigative and oversight functions. The country faces a massive challenge in its effort to achieve security and stability along its borders. Since September 11, 2001, the federal government has increased funding for border security and doubled the size of the Border Patrol from approximately 9,000 agents to 20,000 agents. There is a positive relationship between the increased critical border patrol infrastructure activities and the increased OIG investigative oversight activities to prevent risk management issues in these programs and operations.

The additional resources will enable the Office of Audits to conduct new audits annually (of varying complexity), covering several aspects of immigration and border control. Priority will be given to the Secure Border Initiative (SBI), acquisition strategies, funding and eventual implementation planning. In addition to this, the application and security of biometric data obtained through US-VISIT and how the components and intelligence elements use this data needs critical analysis. Plus, increased reviews and evaluations of the policies and procedures associated with the apprehension, detention, and removal of illegal immigrants will intensify the workload as these policies change, are legislated, or become controversial through implementation.

The Office of Audits will also be capable of conducting in-house grant audits of state grantees and local government sub-grantees. The Office of Audits will conduct audits annually of science and technology preparedness programs and development grants awarded to university based researchers and private industry for nuclear and biological detections, surveillance, scanning, and

counter measure initiatives. In addition, the Office of Audits will conduct audits of cross component initiatives such as interoperable commoditization and intelligence sharing, and a follow-on audit to the audit of the National Response Plan. Furthermore, Audits will also review the Department's systems and internal controls over financial reporting and follow-up on over 1,000 open recommendations that its office and others have issued to the Department concerning these and other programs.

The increase in staffing will better position the Office of Investigations to assist in supporting the Department's integrated planning guidance (IPG) of strengthening border security and interior enforcement. These resources provided to the current investigative field offices will facilitate the expeditious resolution of the overwhelming number of incoming allegations of criminal conduct and or egregious administrative misconduct on the part of DHS employees, contractors, and grantees. The Office of Investigations will thereby, be able to investigate more of the allegations that they previously delegated to component internal affairs offices.

The additional resources will also allow the Office of Information Technology Audits to perform security reviews of select DHS components in their entirety and address major information technology (IT) issues facing the Department in the various stages of development and implementation. This manner of review would give the component head, the DHS Chief Information Officer (CIO), and Secretary a comprehensive assessment of the security posture of those components tested, such as Transportation Security Administration (TSA), Custom and Border Protection (CBP), United States Coast Guard (USCG), United States Secret Service (USSS), etc. Further, these reviews would be linked directly to the Department's IPG priority of strengthening intelligence and enhancing information sharing with its partners. The primary priority supporting the IPG would be information interoperability across DHS. The Department is making progress in developing and implementing an agency-wide information security program that addresses the needs of over 200,000 employees assigned to hundreds of different sites.

The Office of Inspections (ISP) will evaluate operational efficiency and vulnerability to expand examining the role of DHS in intelligence fusion centers and several aspects of terrorist watch list management, including potential vulnerabilities in Secure Flight. ISP will examine the DHS Traveler Redress Inquiry Program, which permits travelers to seek resolution for difficulties such as denial of airline boarding or border crossing. ISP's efforts in international affairs include an assessment of visa security issues and the first in a series of reports evaluating the management of DHS overseas operations. ISP will review the Science and Technology Directorate's processes for selecting and managing research and development programs.

Training

The FY 2010 budget request funding of \$2.4 million to facilitate the OIG's personnel professional educational training requirements and the Council of the Inspectors General on Integrity and Efficiency (CIGIE) under the mandatory requirements of the Inspector General Reform Act of 2008, P.L. 110-40 [H.R. 928]. The Inspector General Act requires Office of Inspectors General to adhere to the Generally Accepted Government Auditing Standards (GAGAS) promulgated by the Government Accountability Office (GAO). Similarly, evaluations and investigations are done in adherence with professional standards adopted by the President's Council on Integrity and Efficiency and the Executive Council on Integrity and Efficiency. Additionally, the OIG investigation personnel must complete required training programs, annual training and specialized

technology and investigative training. Moreover, the requested resources will help the OIG properly train new comers as well as experienced professional staff to enable them to perform at top efficiency. The OIG will maintain the Agency's quality and flexibility of human resources and ensure that staff maximizes the professional skills needed to grow with job requirements.

The OIG has made every effort to continue to provide staff the required training opportunities while minimizing costs by introducing more group classes and online training sessions, including for the cross training of employees. Despite these efforts, with the continuous change in technology, the OIG needs to ensure that its employees stay current with their skill levels. The overall staff development goal is to improve performance through structured training, professional development, and career development efforts. Moreover, the OIG is committed in achieving increased productivity and therefore would like to provide its employees the opportunity to learn and contribute efficiently at the workplace. The OIG also hopes to achieve higher staff motivation, increased performance levels, boost in the retention of its employees, and enable further the contribution to organizational value. The \$2.4 million represents the continuation of professional, technological, and investigative educational training requirements.

GSA Rent and Related Facility Costs

The OIG requests \$1.0 million in program resources for General Services Administration (GSA) rent and facility-related costs. The FY 2010 request funds an accumulated increase of GSA rent, guard services, maintenance and management of buildings, commercially leased parking, utilities, and other miscellaneous space related costs.

The OIG conducts its mission-critical work through its workforce. The OIG is headquartered in Washington, D.C. and includes field offices strategically located throughout the country. Approximately 48 percent of the OIG's workforce is located in the Washington, DC headquarters office with the other 52 percent of its workforce located across the nation and Puerto Rico.

The OIG's on-board position level grew significantly during FY 2008 – an increase of 40 positions over the previous fiscal year. During FY 2009, the OIG will consolidate the Office of Investigations, Washington Field Office (WFO) in Northern Virginia within headquarters. The relocation of the WFO within headquarters will result in a more effective and efficient operation for the Office of Investigations. The increase in the on-board position level together with the decision to relocate the Washington Field Office within headquarters resulted in a permanent requirement to acquire additional space at OIG's headquarters in Washington, D.C. The \$1.0 million program increase is required to meet the OIG's commitment to GSA for rent and for the additional facility-related costs.

D. Performance Highlights, Resources, and Alignment to Strategic Goals

“For each major program, the performance goal, alignment to DHS goals and objectives, total dollars and FTE, and main performance measure/s are shown below.”

Performance Budget Highlights by Program

OIG
2010 Congressional

Program: Audit, Inspections, and Investigations Program						
Performance Goal: Add value to the DHS programs and operations; ensure integrity of the DHS programs and operations; and enable the OIG to deliver quality products and services.						
DHS strategic objectives supported and % allocation of activities: 5.1 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$97,317	\$84,187	\$102,685	\$116,711	\$114,513	\$127,874
FTE	502	540	545	551	577	632

Performance Plan Measures

Measure: Percent of recommendations made by the Office of Inspector General (OIG) that are accepted by the Department of Homeland Security.						
Description of Measure: The OIG audits and inspects programs for fraud, waste, and abuse. OIG also reviews programs to promote economy, efficiency, and effectiveness. The criteria used to select programs for audit or inspection includes: statutory and regulatory requirements; adequacy of internal control systems; newness; changed conditions; potential dollar magnitude; etc. Where appropriate, OIG audit and inspection reports include recommendations which, if accepted and implemented, will improve the respective program. This measure reflects the percent of recommendations made by the OIG that are accepted and implemented by DHS. The OIG tracks the recommendations that are issued until they have been implemented.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	75%	79%	85%	85%	85%	85%
Actual:	93%	91%	91%	96%	N/A	N/A

Measure: Percent of substantiated investigations that are accepted for criminal, civil, or administrative action.						
Description of Measure: The measure reports on the number of substantiated investigations that are accepted for criminal, civil, or administrative action in comparison to all substantiated investigations that the DHS Office of Inspector General (OIG) conducts during the fiscal year. This measure demonstrates a portion of the impact that OIG investigations have on DHS operations, as well as operations of the entire federal government.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	75%	75%	75%
Actual:	None	None	None	87%	N/A	N/A

E. Digest Tables by Future Year Homeland Security Program (FYHSP) Program

Digest of FY 2010 Budget Estimates by Activity and FYHSP Program (dollars in thousands)						
FYHSP Program	FY 2008 Revised Enacted ¹		FY 2009 Enacted		FY 2010 Request	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Audit, Inspections and Investigations	551	\$116,711	577	\$114,513	632	\$127,874
Audit, Inspections and Investigations	551	\$116,711	577	\$114,513	632	\$127,874
Total Budget Authority	551	\$116,711	577	\$114,513	632	\$127,874

¹The FY08 and FY09 column indicates revised enacted levels. This differs from the other sections of the CJ and is intended to align with the resource levels contained in the Future Years Homeland Security Program (FYHSP) which captures total budget authority.

Department of Homeland Security

U. S. Customs and Border Protection



Fiscal Year 2010
Overview
Congressional Justification

ii. Homeland and Non-Homeland Allocation

Department of Homeland Security
U.S. Customs and Border Protection
 Homeland and Non-Homeland Allocation by Program/Project Activity
 (Dollars in Thousands)

Budget Activity	FY 2008 Actual						FY 2009 Enacted						FY 2010 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Salaries and Expenses	32,020	\$6,002,242	6,486	1,107,050	38,506	\$7,109,292	38,354	\$6,465,324	7,295	\$1,137,882	45,649	7,603,206	40,474	\$6,454,671	7,684	\$1,168,397	48,158	\$7,623,068
- HQ Management & Administration (84% HL/16% NHL)	3,071	1,096,192	585	208,799	3,656	1,304,991	3,176	1,066,093	605	203,065	3,781	1,269,158	3,210	857,220	612	163,280	3,822	1,020,500
- Border Security Inspections & Trade Facilitation at POEs	11,066	1,648,083	5,451	811,743	16,517	2,459,826	12,422	1,715,936	6,118	845,163	18,540	2,561,099	13,058	1,833,241	6,431	902,939	19,489	2,736,180
- Border Security & Control Between the Ports (100%)	16,967	3,082,327	---	-	16,967	3,082,327	21,596	3,501,270	---	---	21,596	3,501,270	22,904	3,556,759	---	---	22,904	3,556,759
- Air and Marine Operations - Salaries	915	175,639	451	86,509	1,366	262,148	1,160	182,025	572	89,654	1,732	271,679	1,302	207,451	641	102,178	1,943	309,629
Automation Modernization (.5)	32	261,995	31	261,995	63	523,990	32	255,667	31	255,667	63	511,334	32	231,223	31	231,223	63	462,445
Facilities Management 100%	---	287,145	---	---	---	287,145	---	403,201	---	---	---	403,201	---	678,633	---	---	---	678,633
Border Security, Fencing, Infrastructure and Technology 100%	89	1,903,691	---	---	89	1,903,691	185	775,000	---	---	185	775,000	200	779,452	---	---	200	779,452
Air and Marine Interdiction, Operations, - (67%/33%) Maintenance and Procurement	---	483,499	---	238,141	---	721,640	---	353,760	---	174,240	---	528,000	---	338,903	---	166,923	---	505,826
Total Direct Appropriations and Budget Estimates	32,141	8,938,572	6,517	1,607,186	38,658	10,545,758	38,571	8,252,952	7,326	1,567,789	45,897	9,820,741	40,706	8,482,882	7,715	1,566,542	48,421	10,049,424
Small Airports	70	7,701	---	---	70	7,701	54	7,057	---	---	54	7,057	54	8,164	---	---	54	8,164
Fee Accounts	10,095	1,453,102	---	---	10,095	1,453,102	9,486	1,441,088	---	---	9,486	1,441,088	9,630	1,373,432	---	---	9,630	1,373,432
COBRA	1,440	378,679	---	---	1,440	378,679	1,538	410,666	---	---	1,538	410,666	1,538	398,131	---	---	1,538	398,131
Land Border Inspection	294	30,446	---	---	294	30,446	287	26,880	---	---	287	26,880	287	33,810	---	---	287	33,810
Immigration Enforcement Fines	22	2,289	---	---	22	2,289	23	3,331	---	---	23	3,331	23	2,109	---	---	23	2,109
Puerto Rico Trust Fund	606	113,403	---	---	606	113,403	529	96,719	---	---	529	96,719	529	91,784	---	---	529	91,784
Immigration User Fee	5,265	611,274	---	---	5,265	611,274	4,777	570,059	---	---	4,777	570,059	4,921	522,322	---	---	4,921	522,322
Animal & Plant Health Inspection Services (APHIS)	2,468	317,011	---	---	2,468	317,011	2,332	333,433	---	---	2,332	333,433	2,332	325,276	---	---	2,332	325,276
Total, CBP	42,306	10,399,375	6,517	1,607,186	48,823	12,006,561	48,111	9,701,097	7,326	1,567,789	55,437	11,268,886	50,390	9,864,478	7,715	1,566,542	58,105	11,431,020
Customs Unclaimed Goods	---	---	---	5,897	---	5,897	---	---	---	5,897	---	5,897	---	---	---	5,897	---	5,897

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

Fiscal Year	Due Date to Congress	Reference/Citation	Requirement	Status
2008	August 3, 2008	Implementing Recommendations of the 9/11 Commission Act of 2007 P.L. 110-53, Section 1523	Northern Border Railroad Passenger Report: A report on the current system for screening passengers and baggage on passenger railroad service between the United States and Canada, which includes an assessment of the current preclearance program; status on a bilateral protocol with Canada that would allow the preclearance of passengers; a description of the legislative, regulatory, budgetary, or policy barriers within the U.S. Government to providing prescreened passenger lists for railroad; and civil liberties and privacy impact statements.	03/03/09: Report was transmitted to Congress.
2008	November 14, 2008	FY 2008 Appropriations Act Omnibus Report 110-497, Div. E, Title II, pg 20; House Report 109-79, Title II, pg 31; Senate Report 109-83, Title II, pg 28	Qrtly: Automated Commercial Environment (4th Quarter FY 08): Of the funds recommended, not less than \$321,690,000 is available for the development of ACE. As requested, this funding is available for ACE only upon the submission of a comprehensive plan from the Secretary of Homeland Security for the ACE program.	02/27/09: Report was transmitted to Congress.
2008	November 30, 2008	FY 2008 Appropriations Act Omnibus Report 110-497, Div. E, p. 18; Senate Report 110-84, Title II, p. 32	Annual AD/CVD, Past Due Collections, and Unliquidated Entries Report – FY 2008: The Committees on Appropriations direct CBP to continue to work with all relevant U.S. departments and agencies to increase duty collections, and to provide an annual report, within 30 days of each year's distributions under CDSOA, which summarizes CBP's efforts to collect past due amounts and increase current and future collections. CBP is also directed to provide the amounts of antidumping (AD) and countervailing duties (CVD) held by CBP in its Clearing Account for unliquidated entries as of October 1,2006 (and, now, as of October 1,2007), segregated by case number and Department of Commerce period of review.	03/18/09: Report was transmitted to Congress.
2008	December 26, 2008	FY 2008 Appropriations Act P.L 110-161, Division E, Title VI, Section 605, p. 254	Port of Entry Technology Demonstration Program: Not later than 1 year after the date of the enactment of this Act, and annually thereafter, the Secretary shall submit to the Committees on Appropriations of the Senate and the House of Representatives, the Senate Committee on Environment and Public Works, the Senate Committee on Homeland Security and Governmental Affairs, the House Committee on Transportation and Infrastructure, and the House Committee on Homeland Security a report on the activities carried out at each demonstration site under the technology demonstration program established under this section.	03/11/09: Report was transmitted to Congress.
2009	December 29, 2008	FY 2009 Appropriations Act Joint Explanatory Statement for P.L. 110-329, p. 589 House Report 110-862, Title II, p. 45 Senate Report 110-396, Title II, p. 35	BSFIT Expenditure Plan: To ensure that a foundation for effective investment is in place, a track record of performance is established, and a balanced approach is taken to address all threats along the borders, \$400,000,000 is unavailable for obligation until the Committee has received and approved an expenditure plan.	03/04/09: Report was transmitted to Congress.

Fiscal Year	Due Date to Congress	Reference/Citation	Requirement	Status
2009	December 29, 2008	FY 2009 Appropriations Act Joint Explanatory Statement for P.L. 110-329, p. 590 House Report 110-862, Title II, p. 46	Alternative Analysis for Effective Control of the Border: To be included in the FY09 BSFIT expenditure plan, Congress directs CBP to identify and evaluate alternatives proposed by stakeholders as potential substitutes for tactical infrastructure, thus minimizing the impact of fencing.	This reporting requirement has been included in BSFIT Expenditure Plan
2009	December 29, 2008	FY 2009 Appropriations Act Joint Explanatory Statement for P.L. 110-329, p. 590 House Report 110-862, Title II, p. 47	Consultation with Federal Agencies and Local Communities: The Committee is aware of the Department's documented outreach efforts with organizations, local government officials and landowners . . . To support such consultation, the Committee directs CBP, as part of the alternative analysis in the 2009 [BSFIT] expenditure plan, to identify and evaluate alternatives proposed by stakeholders as potential substitutes for tactical infrastructure.	This reporting requirement has been included in BSFIT Expenditure Plan
2009	December 29, 2008	FY 2009 Appropriations Act Joint Explanatory Statement for P.L. 110-329, p. 591 House Report 110-862, Title II, p. 47	Tactical Communications: The Commissioner is directed to provide a plan, within 90 days of the date of enactment of this Act, detailing the staffing, equipment, and funding necessary to complete the build out of the Border Patrol Tactical Communications program by the end of fiscal year 2013.	04/05/09: Report was transmitted to OMB for review.
2009	January 1, 2009	FY 2009 Appropriations Act House Report 110-862, Title II, p. 35	International Registered Traveler (Global Entry): The Committee directs CBP to report on its findings from the pilot airports, with recommendations for funding and staffing a permanent program, not later than January 1, 2009.	02/11/09: Report was transmitted to Congress.
2009	January 8, 2009	FY 2009 Appropriations Act House Report 110-862, Title II, p. 41	TECS Modernization Expenditure Plan: The Committee directs CBP to submit a detailed expenditures plan not later than January 8, 2009.	03/05/09: Report was transmitted to Congress.
2009	January 8, 2009	FY 2009 Appropriations Act House Report 110-862, Title II, p. 44	Border Interoperability Demonstration Project: The Committee directs the Secretary to report by January 8, 2009, on the Department's plans for use of this funding, including selection of participating communities and a timetable for conducting the pilots.	This reporting requirement was reassigned to DHS Office of Emergency Communications, because the Border Interoperability Demonstration Project falls under their jurisdiction. Accordingly, \$30 million of BSFIT appropriations has been reassigned to DHS OEC, in keeping with the legislative mandate. This is no longer a CBP reporting requirement.
2009	January 8, 2009	FY 2009 Appropriations Act Joint Explanatory Statement for P.L. 110-329, p. 592 House Report 110-862, Title II, p. 48	Unmanned Aircraft Systems: The Committee directs CBP to provide a comprehensive report on the plans for deployment of the UAS, to include: the concept of operations for the border and coastal regions, and international operations, if relevant a detailed report on operational costs, to include staffing and maintenance basing and range of deployment of UAS mission performance statistics and status of FAA certification and approval for national airspace operations. The report should be submitted not later than January 8, 2009.	03/05/09: Report was transmitted to Congress.

Fiscal Year	Due Date to Congress	Reference/Citation	Requirement	Status
2009	1/8/2009 Monthly Report	FY 2009 Appropriations Act House Report 110-862, Title II, p. 44	Operations and Support: The Committee recommends the funding level of \$410 million to make certain that the program does not lack basic operational resources despite the fact that the Department provided inadequate information to justify it. To ensure these funds are necessary, the Committee directs CBP to provide a detailed report on operations and support to obligations and expenditures on a monthly basis, beginning January 8, 2009. The first such report shall include all obligations and expenditures to date.	CBP is submitting this report to DHS for transmission to Congress on a monthly basis.
2009	January 16, 2008	FY 2009 Appropriations Act Senate Rpt 110-396, Title II, p 33	Qrtly: Automated Commercial Environment (1st Quarter FY 09): The Committee directs that CBP continue to provide the level of detail within the ACE expenditure plan as required in previous years.	03/09/09: Report was transmitted to Congress.
2009	1/30/2009	FY 2009 Appropriations Act House Report 110-862, Title II, p. 31 and 42	SBI Quarterly Report: The Committee directs the Department to continue its Secure Border Initiative status reports on a quarterly, versus the current bi-monthly, schedule. The report should include an update on Northern Border <i>SBI</i> investments.	03/27/09: 1 st Quarter report was transmitted to Congress.
2009	January 30, 2009	FY 2009 Appropriations Act Joint Explanatory Statement for P.L. 110-329, p. 586 House Report 110-862, Title II, p. 31	Staffing Resources Report: CBP is directed to brief the Committees not later than January 30, 2009, on how incentives such as pay adjustments could be used to recruit and retain Border Patrol agents and CBP Officers with language fluency skills, as outlined in the House report..	03/05/09: Although no longer a reporting requirement according to the final appropriations bill, CBP submitted a report to Congress on hiring and retention incentives; the report provided good insight in CBP's programs and ongoing efforts to maintain a healthy workforce.
2008	January 30, 2009	FY 2008 Appropriations Act P.L 110-161, Division E, Title VI, Section 604, p. 253	National Land Border Security Plan: Not later than January 31 of every other year, the Secretary, acting through the Commissioner, shall prepare a National Land Border Security Plan and submit such plan to the Committees on Appropriations of the Senate and the House of Representatives, the Senate Committee on Environment and Public Works, the Senate Committee on Homeland Security and Governmental Affairs, the Senate Committee on the Judiciary, the House Committee on Transportation and Infrastructure, the House Committee on Homeland Security, and the House Committee on the Judiciary.	The reporting requirements for section 604 (this report) and 603 (POE Infrastructure Assessment Study) will be combined into one report. 03/18/09: Report was transmitted to OMB for review.
2008	January 30, 2009	FY 2008 Appropriations Act P.L 110-161, Division E, Title VI, Section 603, p. 252	Port of Entry Infrastructure Assessment Study: Not later than January 31 of every other year, the Commissioner, in consultation with the Administrator of General Services shall submit an updated assessment of land port of entry infrastructure needs to the Committees on Appropriations of the Senate and the House of Representatives, the Senate Committee on Environment and Public Works, the Senate Committee on Homeland Security and Governmental Affairs, the House Committee on Transportation and Infrastructure, and the House Committee on Homeland Security.	The reporting requirements for section 603 (this report) and 604 (National Land Border Security Plan) will be combined into one report. 03/18/09: Report was transmitted to OMB for review
2009	February 1, 2009	FY 2009 Appropriations Act Joint Explanatory Statement for P.L. 110-329, p. 589	Container Security Devices: The bill includes language directing the Commissioner to submit to the Committees, not later than 120 days after the date of enactment of this Act, the results of operational field testing of container security devices and a plan for implementation and deployment of such devices, as applicable, in high risk trade lanes.	03/05/09: Report was transmitted to Congress.

Fiscal Year	Due Date to Congress	Reference/Citation	Requirement	Status
2009	February 16, 2009	FY 2009 Appropriations Act House Report 110-862, Title II, p. 39	Project Seahawk: The Committee directs CBP to report not later than February 16, 2009, on the impact of Project SeaHawk to date, and to include details of how the project will be funded and supported beyond fiscal year 2009.	03/16/09: Report was transmitted to DHS for review.
2000	March 31, 2009	Tariff Suspension and Trade Act of 2000 P.L. 106-476, Chapter 3, section 1443	Dog and Cat Fur Protection Act: Annual report on CBP's efforts to enforce the provisions of the Dog and Cat Protection Act of 2000, which prohibit the importation of products made with dog and cat fur.	03/06/09: Report was transmitted to Congress.
2007	April 10, 2009	Security and Accountability for Every Port Act of 2006 P.L. 109-367, Section 232	Full-Scale Implementation of Pilot Scanning System: A report submitted every six months on the status of the costs and the efforts of CBP's full-scale deployment to scan, using non-intrusive imaging equipment and radiation detection equipment, all containers entering the United States before such containers arrive in the United States as soon as possible.	03/19/09: Report was transmitted to DHS for review.
2009	April 30, 2009	FY 2009 Appropriations Act House Report 110-862, Title II, p. 31 and 42	SBI Quarterly Report: The Committee directs the Department to continue its Secure Border Initiative status reports on a quarterly, versus the current bi-monthly, schedule. The report should include an update on Northern Border <i>SBI</i> investments.	04/16/09: Report is in CBP review.
2007	May 1, 2009	Security and Accountability for Every Port of 2006 P.L. 109-347 Section 235	Report on Pilot Program to Improve the Safety of Empty Containers: A report on the one-year pilot program to assess the risk posed by and improve the security of empty containers at U.S. seaports to ensure the safe and secure delivery of cargo and prevent potential acts of terrorism involving such containers.	03/17/09: Report was transmitted to DHS for review.
2009	May 5, 2009	FY 2009 Appropriations Act House Report 110-862, Title II, p. 36	US-VISIT Function Support: The Committee directs CBP to provide a detailed report on the prior year budget for this support, by account, purpose and fiscal year, with the fiscal year 2010 budget submission.	The requested report will follow the Status of Congressionally requested studies, reports and evaluation.
2009	May 5, 2009,	FY 2009 Appropriations Act House Report 110-862, Title II, p. 50 Senate Report 110-396, Title II, p. 39	Land Ports of Entry Modernization: In addition to GSA facilities, the 43 land ports of entry owned by and maintained by CBP require significant recapitalization, which CBP estimates could cost \$150,000,000. The Committee includes \$10,000,000, as requested, to begin this recapitalization, and directs CBP to submit a detailed plan for modernizing all 43 ports of entry with its 2010 budget request	The report is being updated.
2009	May 5, 2009	FY 2009 Appropriations Act House Report 110-862, Title II, p. 38	Unaccompanied Alien Children: The committee directs CBP to implement periodic training for CBP staff dealing with unaccompanied children. Directs CBP to submit report with FY10 budget on results of the Border Patrol Self Inspection Program.	The requested report will follow the Status of Congressionally requested studies, reports and evaluation.
2009	May 5, 2009	FY 2009 Appropriations Act House Report 110-862, Title II, p. 33	Internal Affairs Performance Data: The Committee urges CBP to increase efforts to eliminate such backlogs, and directs CBP to include performance data on internal affairs productivity, including time required from intake to final disposition for cases, in the fiscal year 2010 budget request.	The Internal Affairs performance data was added to the current services discussion for Internal Affairs.

Fiscal Year	Due Date to Congress	Reference/Citation	Requirement	Status
2009	May 5, 2009	FY 2009 Appropriations Act Senate Report 110-396, Title II, pg. 38	Air and Marine Facilities Upgrades: The Committee is disappointed by the apparent lack of support for a continued commitment to upgrade the many outdated and ill sized air and marine facilities. The Committee encourages the Department to include additional funding for these facilities in the 2010 budget request.	The enhancements in the FY 2010 President's budget submission focus on addressing other critical areas of meeting future challenges and fulfilling our mission of securing America.
2009	May 5, 2009	FY 2009 Appropriations Act Senate Report 110-396, Title II, pg. 39	Border Facilities Construction Backlog: Committee encourages administration to include funds in its 2010 request to address infrastructure requirements at Sault Ste. Marie International Bridge and Columbus and Santa Teresa ports of entry.	Funding for these requirements are not included in the FY 2010 President's Budget submission.
2009	May 5, 2009	FY 2009 Appropriations Act Senate Report 110-396, Title II, pg. 30	Customs Revenue Staffing Shortfalls: CBP is encouraged to include in its FY10 budget submission a plan to address the significant shortfalls in all of these positions	CBP currently exceeds the required FY 2003 staffing levels. The enhancements included in the FY 2010 President's Budget submission will focus on addressing other critical areas for meeting future challenges and fulfilling our mission of securing America while facilitating legitimate trade.
2009	May 5, 2009	FY 2009 Appropriations Act Senate Report 110-396, Title II, pg. 28	Vehicle Replacement: DHS is directed to include with its fiscal year 2010 budget submission a plan to replace at least 20 percent of the CBP vehicle fleet annually, as well as the funding needed to execute the plan, as specified in the Senate report.	CBP has made progress in addressing fleet management responsibilities; however, CBP will not be able to achieve the replacement rate of 20%. The enhancements in the FY 2010 President's budget submission focus on addressing other critical areas for meeting future challenges and fulfilling our mission of securing America.
2009	May 5, 2009	FY 2009 Appropriations Act Senate Report 110-396, Title II, pg. 37	Northern Border Air Branches: The Committee encourages the Department to include in the fiscal year 2010 budget funding to expand the hours of operation at these air branches.	The enhancements in the FY 2010 President's budget submission focus on addressing other critical areas for meeting future challenges and fulfilling our mission of securing America.
2009	May 5, 2009	FY 2009 Appropriations Act Senate Report 110-396, Title II, pg. 26	Passenger Screening at Airports: The Committee is convinced that growth in the U.S. economy depends in no small measure on international travel and encourages inclusion of funds in the fiscal year 2010 budget request for robust staffing increases at both land and air ports of entry.	The enhancements in the FY 2010 President's budget submission for on addressing other critical areas for meeting future challenges and fulfilling our mission of securing America.
2009	May 5, 2009	FY 2009 Appropriations Act House Report 110-862, Title II, p. 38	Carrizo Cane – FY 2009: The Committee directs CBP to submit, with its fiscal year 2010 budget request, a comprehensive plan to eradicate <i>Arundo donax</i> and other invasive plants that inhibit security efforts along the U.S.-Mexico border, including in Eagle Pass and other Texas border areas not now included in the pilot programs.	This reporting requirement was to be submitted in the FY 2010 Budget Submission; however, it is too long to be included. This reporting requirement will be sent to Congress as a separate report, with the same due date of May 5, 2009. 03/11/2009: Report is in OMB Review.
2009	May 5, 2009	FY 2009 Appropriations Act House Report 110-862, Title II, p. 37	Textile Transshipment Enforcement – FY 2009: The Committee directs CBP to submit report with FY10 budget on execution of 5-year plan.	This reporting requirement was to be submitted in the FY 2010 Budget Submission; however, it is too long to be included. This reporting requirement will be sent to Congress as a separate report, with the same due date of May 5, 2009. 02/20/09: Report was transmitted to Congress.
2009	May 15, 2009	FY 2009 Appropriations Act Senate Rpt 110-396, Title II, p 33	Qrtly: Automated Commercial Environment (2nd Quarter FY 09): The Committee directs that CBP continue to provide the level of detail within the ACE expenditure plan as required in previous years.	04/16/09: Report is in CBP Review

Fiscal Year	Due Date to Congress	Reference/Citation	Requirement	Status
2009	Funding dependant upon submission	FY 2009 Appropriations Act House Report 110-862, Title II, p. 33	Intelligence Staffing: The Committee directs that no funding may be obligated for the operation of the Analytical Framework for Intelligence Officers until the Commissioner certifies that this Framework complies with all applicable laws, including section 552a of title 5, U.S. Code, and other laws protecting privacy, and such certification is reviewed by OIG.	02/04/09: Report was transmitted to Congress.
2009	Funding dependant upon submission	FY 2009 Appropriations Act House Report 110-862, Title II, p. 37	Automated Targeting System – Passenger: No funding shall be obligated for the enhancement of Automated Targeting Systems-Passenger until the Commissioner certifies that such enhancement complies with all applicable laws, including section 552a of title 5 U.S. Code, and other laws protecting privacy, and such certification has been reviewed by OIG.	03/24/09: Report was transmitted to Congress.

iv: Schedule of Authorized/Unauthorized Appropriations by PPA

**Department of Homeland Security
U.S. Customs and Border Protection**

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

Budget Activity	Last Year of Authorization		Appropriation in Last Year of Authorization	FY 2010 Request
	Fiscal Year	Authorized Level	Amount	Amount
	Salaries and Expenses	2003	\$2,739,695 1/	\$3,195,094 2/
Salaries and Expenses	2002 3/	such sums	730,710	
Air and Marine Interdiction, Operations, Maintenance, and Procurement	NA	NA	NA	505,826
Border Security Fencing, Infrastructure, and Technology (BSFIT)	NA	NA	NA	779,452
Automation Modernization	NA	NA	NA	462,445
Facilities Management Program	NA	NA	NA	678,633
Total Direct Authorization/Appropriation		\$2,739,695	\$3,195,094	\$10,049,424

Note:

- 1/ Immigration and Naturalization Service - inspection, investigations, Border Patrol, detention and deportation only.
- 2/ Includes \$2,862,094,000 from the FY 2003 INS Salaries and Expenses appropriation, and \$333,000,000 included in the FY 2003 Wartime Supplemental Appropriations Act, P.L. 108-11.
- 3/ Agriculture Plant and Health Inspection Service only.

Department of Homeland Security

U. S. Customs and Border Protection Salaries and Expenses



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. Customs and Border Protection **Salaries and Expenses**

I. Appropriation Overview

A. Mission Statement for Salaries and Expenses:

For more than five years, U.S. Customs and Border Protection (CBP) has made great strides toward securing America's borders, protecting trade and travel, and ensuring the vitality of our economy. With the creation of CBP, for the first time in our nation's history, responsibility for securing, controlling and managing the U.S. border is consolidated within a single agency. As America's frontline border agency, CBP employs over 50,000 highly trained and professional personnel, resources, and expertise and law enforcement authorities to discharge our mission. CBP is responsible for protecting the sovereign borders of the United States at and between official ports of entry. CBP is on the frontline protecting the American public against terrorists and instruments of terror and protects economic security by regulating and facilitating the lawful movement of goods and persons across U.S. borders. CBP performs these missions with vigilance, integrity and professionalism.

CBP is responsible for ensuring that all persons and cargo enter the United States legally and safely through official ports of entry. CBP officers (CBPO) prevent cross-border smuggling of contraband such as controlled substances, weapons of mass destruction, and illegal or diseased plants and animals. CBP ensures that travelers and immigrants present appropriate documentation. CBP works to prevent the illegal export of U.S. currency or other monetary instruments, stolen goods such as vehicles, and strategically sensitive technologies.

CBP carries out its mission without restricting the flow of legitimate trade and travel so important to our nation's economy. Accordingly, CBP has a dual mission – to prevent terrorists and their weapons of mass destruction from entering the U.S. and to facilitate legitimate trade and travel. CBP has found that by using advance information, risk management and technology, and by partnering with other nations and private industry, these goals need not be mutually exclusive.

In support of this mission, CBP has instituted various programs and initiatives such as the Secure Border Initiative (SBI), a comprehensive multi-year plan to secure America's borders and reduce illegal migration, the Cargo Security Initiative (CSI), a program intended to help increase security for containerized cargo shipped to the United States from around the world and Customs Trade Partnership Against Terrorist (C-TPAT), a joint government-business initiative to build cooperative relationships that strengthen overall supply chain and border security.

CBP's primary field occupations include CBP officers, Border Patrol agents, pilots, marine officers, import and entry specialists, and agricultural specialists. Its field organization is

focused around 20 Border Patrol Sectors with 34 border patrol checkpoints and 93 tactical checkpoints between the ports of entry, 143 stations and substations, 20 field offices and 327 associated ports of entry, of which 15 are pre-clearance stations. Personnel use a mix of non-intrusive technology such as large-scale X-rays and radiation portal monitors, targeting systems, air and marine assets, and other forms of automation to ensure the identification and apprehension of high-risk travelers and trade and the facilitation of legitimate traffic into the United States.

Mission Statement

We are the guardians of our Nation's borders.

We are America's frontline.

We safeguard the American homeland at and beyond our borders.

We protect the American public against terrorists and the instruments of terror.

We steadfastly enforce the laws of the United States while fostering our Nation's economic security through lawful international trade and travel.

We serve the American public with vigilance, integrity, and professionalism.

Core Values

Vigilance: Vigilance is how we ensure the safety of all Americans. We are continuously watchful and alert to deter, detect, and prevent threats to our Nation. We demonstrate courage and valor in the protection of our Nation.

Service to Country: Service to Country is embodied in the work we do. We are dedicated to defending and upholding the Constitution of the United States. The American people have entrusted us to protect the homeland and defend liberty.

Integrity: Integrity is our cornerstone. We are guided by the highest ethical and moral principles. Our actions bring honor to our agency and ourselves.

B. Budget Activities:

Headquarter Management and Administration

Headquarters Management and Administration provides critical policy and operational direction, mission support, including equipment, training, and technical expertise to CBP front-line personnel. This program is essential in carrying out CBP's dual mission of protecting our homeland while facilitating legitimate trade and travel.

Border Security Inspections and Trade Facilitation at the Ports of Entry

The Inspections, Trade, and Travel Facilitation at the Ports of Entry program facilitates the flow of legitimate travel and trade across U.S. borders while ensuring that threats to the United States are not allowed entry. CBP accomplishes this by using technology, intelligence, risk information, targeting, and international cooperation in the screening of entering international cargo and travelers and departing export cargo. This program reduces the potential of terrorists' instruments of terror and contraband from entering the U.S. while facilitating the legal flow of people and trade by deploying CBP officers to the ports of entry. The goal of this program is to improve compliance with trade regulations and other mandatory import/export guidance while increasing the security of the U.S. CBP has extended its zone of security beyond its physical borders through the use of bilateral and private-sector partnerships, targeting, and scrutinizing advance information on people and products coming into this country. CBP is cultivating "smart borders" through the use of technology, has established a layered defense strategy, and has created "one face at the border," a unified, recognizable presence at the border to combine and capitalize on the authorities and skills of our diverse workforce.

Border Security and Control Between the Ports of Entry

The primary purpose of the Border Security and Control Between the Ports of Entry program is to establish and maintain effective control of U.S. borders by detecting, responding to, and interdicting border penetrations. A national strategy that consists of five objectives has been established to achieve the mission of this program: (1) Establish a substantial probability of apprehending terrorists and their weapons as they attempt to enter illegally between the ports of entry; (2) Deter illegal entries through improved enforcement; (3) Detect, apprehend, and deter smugglers of humans, drugs and other contraband; (4) Leverage Smart Border Technology to multiply the effect of enforcement personnel; and (5) Reduce crime in border communities and consequently improve the quality of life and economic vitality of targeted areas. The National Border Patrol Strategy requires increasing national security by augmenting enforcement resources along the northern and southern border. The proper balance in the deployment of personnel, equipment, intelligence, support, technology, and infrastructure is critical. Reducing vulnerability to the entry of terrorists, illegal aliens and drugs by increasing personnel and resources, is the key to the successful implementation of this strategy.

CBP Air and Marine – Salaries

CBP Air and Marine Salaries support a staff of over 1,800 air interdiction officers/pilots, marine enforcement officers, operational support, and administrative positions. It provides funding to enhance skills and expertise to deter, interdict, and prevent acts of terrorism arising from unlawful movement of people and goods across the borders of the U.S.

C. Budget Request Summary:

CBP Salaries and Expense requests 48,354 positions, 48,158 FTEs, and \$7,623,068 for FY 2010. Program increases include 394 positions and 198 FTEs:

Data Center Migrations – An increase of \$38.6 million, managed through the Working Capital Fund, is requested to provide a standardize information technology (IT) resource acquisitions across DHS Components, and streamline maintenance and support contracts, allowing for less complex vendor support and expediting response times in the event of an emergency. Benefits derived from consolidation are enhanced DHS IT security posture, improved information sharing with stakeholders, and increased operational efficiencies over time.

Combating Firearms/Currency Smuggling Southwest Border - An increase of \$26.1 million is requested to provide CBP with an enhanced capability to combat southbound firearms and currency smugglers through additional personnel at and between the port of entry and along the southern border, as well as continuing to expand and maintain the Licensed Plate Reader (LPR) program to help establish and maintain effective control of the border. This will fund 44 Border Patrol agents and 8 support staff for the Office of Border Patrol; and 65 Customs and Border Protection officers and 8 support staff for the Office of Field Operations to expand the capacity to effectively combat firearms and currency smuggling. The LPR program reads the plate as vehicles pass through the ports of entry and automatically queries the TECS database for law enforcement information. This information is then passed to the officers. As vehicles approach the southern border LPRs will be strategically positioned to capture approaching vehicles. Placement of LPRs along the southern border will be based upon current and developing intelligence.

Law Enforcement Enhanced Retirement - An increase of \$25 million is requested to provide enhanced retirement benefits to CBPOs. Public Law 110-161 established special retirement provisions for CBP officers, similar to the retirement coverage for law enforcement officers and firefighters. The enhanced retirement package became effective on July 6, 2008, covering 19,865 employees. Funding was included in the FY 2008 and FY 2009 appropriations for this purpose, but an additional \$25 million is required in FY 2010 (for a total of \$225 million) as the final increment that will fully fund the new retirement coverage. CBPOs are accountable for ensuring the security of our Nation and are required to complete law enforcement training, including: firearms, arrest techniques, defensive tactics and officer safety and survival. CBPOs face the same risks and challenges as law enforcement personnel in other organizations.

Western Hemisphere Travel Initiative (WHTI) - An increase of \$20.9 million is requested to continue maintaining and operating the WHTI program that supports Departmental efforts to facilitate the efficient movement of people at the land border POEs. WHTI provides a tool to conduct the necessary authentication at the time of crossing and it also accelerates the verification process mandated by law to the extent possible with Radio Frequency Identification (RFID) Technology and communications technology.

Air and Marine (A&M) Personnel - An increase of \$19.1 million is requested to hire 68 pilots, 20 marine, and 56 support personnel. These positions are necessary for A&M to achieve maximum compliance with strategic goals and objectives and to support Border Patrol agents on the ground. During FY 2010, A&M plans to continue the expansion of its capabilities across the northern and coastal border and place heavy emphasis on the maritime requirements along the southeast/Caribbean borders. These positions will help Air and Marine to effectively achieve CBP's strategic goals.

Import Safety and Trade Enforcement – An increase of \$9.3 million is requested to hire a total of 103 positions to include 12 scientists, 1 paralegal, 34 international trade specialists, 32 auditors, 10 attorneys, 3 import specialists and 11 support personnel to implement the Action Plan on Import Safety developed in response to Executive Order 13439. Additional staffing is also needed to carry out commercial operations and to adequately staff priority trade areas as proposed in the Office of Trade Resource Allocation Model (RAM). The increase of personnel will offer an optimal mix of trade activities and resources that allow CBP to meet the growing demand in trade volume; meet CBP's mission of enforcing trade laws and collecting revenue; achieve executive management goals and objectives for the trade mission; align activities with the appropriate skill levels; leverage efficient gains from technology process improvements, and combat risks inherent in priority trade areas.

Cyber Security - An increase of \$5 million is requested to provide continuous Top Secret/Sensitive Compartmented Information (TS/SCI) and collateral classified processing capabilities within a "Focused Operations" branch that will provide tactical cyber intelligence of ongoing threats to CBP and DHS while also providing skilled forensics experts capable of staffing a DHS/CBP Digital Media Analysis lab to identify and attribute cyber attacks.

Global Advanced Passenger Information (API)/Passenger Name Record (PNR) – An increase of \$3 million is requested to continue API/PNR in two key security partner countries (including continuing the program for a country previously identified in FY 2008); and to implement the program in one additional key country resulting in the deployment of three countries by the end of FY 2010. Funding will also support start up costs, acquisition of hardware and software, recurring information technology costs, training and travel expenses.

Analyze and Employ Information and Intelligence - An increase of \$2.8 million is requested to hire a total of 20 CBPOs and two mission support positions. The 20 CBPOs would be evenly split between the passenger and cargo facilities of the National Targeting Center (NTC), providing additional operational and analytical support, which is needed in both environments. The increased staffing levels will also ensure that NTC continues to provide CBP personnel with immediate responses to targeting and research inquiries.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and Expenses**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) for FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
1. Headquarters Management and Administration	3,656	\$1,304,991	3,781	\$1,269,158	3,822	\$1,020,500	41	(248,658)	---	43,650	41	(292,308)
2. Border Security Inspections and Trade Facilitation at POE's	16,517	2,459,826	18,540	2,561,099	19,489	2,736,180	949	175,081	100	79,196	849	95,885
Inspections, Trade & Travel Facilitation at POE's	15,933	2,053,161	17,904	2,093,988	18,842	2,255,210	938	161,222	89	76,348	849	84,874
Harbor Maintenance Fee Collection	---	3,093	---	3,154	---	3,226	---	72	---	---	---	72
International Cargo Screening	173	145,884	189	149,450	189	165,421	---	15,971	---	---	---	15,971
Other International Programs	101	15,292	101	10,984	101	11,181	---	197	---	---	---	197
C-TPAT	182	57,402	207	64,496	207	62,612	---	(1,884)	---	---	---	(1,884)
Trusted Traveler Program (TTP)	---	11,186	---	11,274	---	11,274	---	-	---	---	---	-
Inspection and Detection Technology	---	94,651	---	145,944	---	143,563	---	(2,381)	---	---	---	(2,381)
Systems for Targeting	8	26,831	8	32,550	8	32,560	---	10	---	---	---	10
National Targeting Center	120	25,346	131	24,481	142	26,355	11	1,874	11	2,848	---	(974)
Training at the Ports of Entry	---	26,980	---	24,778	---	24,778	---	-	---	---	---	-
3. Border Security and Control between the POE's	16,967	3,082,327	21,596	3,501,270	22,904	3,556,759	1,308	55,489	26	8,024	1,282	47,465
Border Security and Control between POE's	16,891	3,031,697	21,466	3,426,455	22,774	3,505,008	1,308	78,553	26	8,024	1,282	70,529
Training Between the Ports of Entry	76	50,630	130	74,815	130	51,751	---	(23,064)	---	---	---	(23,064)
4. Air and Marine Operations - Salaries	1,366	262,148	1,732	271,679	1,943	309,629	211	37,950	72	19,115	139	18,835
Net Enacted Appropriations and Budget Estimates	38,506	7,109,292	45,649	7,603,206	48,158	7,623,068	2,509	\$19,862	198	\$149,985	2,311	(\$130,123)

GSA funding for rent is being realigned to a new proposed facility appropriation.

American Recovery and Reinvestment Act (ARRA)	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Salaries and Expenses												
Headquarters Management and Administration			---	60,000								
Inspection and Detection Technology			---	100,000								
Total			---	\$160,000								

III. Current Services Program Description by PPA

Department of Homeland Security
Customs and Border Protection
Salaries and Expenses
Program Performance Justification
(Dollars in thousands)

PPA: HEADQUARTERS MANAGEMENT AND ADMINISTRATION

	Perm.		
	Pos.	FTE	Amount
2008 Actual	3,738	3,656	1,304,991
2009 Enacted	3,822	3,781	1,269,158
2010 Adjustment to Base		41	-292,308
2010 Current Services	3,822	3,822	976,850
2010 Program Change	-	-	43,650
2010 Request	3,822	3,822	1,020,500
Total Change 2009-2010	-	41	-248,658

The table above excludes American Recovery and Reinvestment Act (ARRA; P.L. 111-5) funding of \$60.0 million

CBP requests \$1.0 billion for Headquarters Management and Administration. This is a decrease of \$248.7 million under FY 2009 Enacted. The request includes:

- an increase of \$48.0 million for FY 2009 pay annualization and \$6.0 million for pay inflation.
- transfer out of \$307.7 million to the new proposed Facility Management account
- program increases of \$38.7 million for the Data Center Migration and \$5.0 million for Cyber Security

CURRENT SERVICES PROGRAM DESCRIPTION:

Headquarters Management and Administration provides critical policy and operational direction, mission support, and technical expertise to CBP front-line personnel. This program is essential in carrying out CBP's dual mission of protecting our homeland while facilitating legitimate trade and travel.

Headquarters Management and Administration is comprised of two main groupings: "Policy, Direction and Human Capital," and "Technology and National Support."

Policy, Direction and Human Capital

Office of the Commissioner

The Office of the Commissioner includes the Commissioner's direct staff and 4 offices:

Office of Intelligence and Operations Coordination (OIOC)

OIOC provides CBP decision-makers with 24/7 Total Situational Awareness of All Crimes/All Threats/All Hazards that occur within CBP's Area of Operations, and coordinates cross-cutting operations. OIOC is comprised of five divisions; the Analysis and Targeting Division (ATD), the Intelligence and Situational Awareness Division (I&SA), the Field Coordination Division, the Incident Management and Operations Coordination (IMOC) and the Mission Support Division.

ATD effectively assesses and reports on the threats CBP faces. Responsibilities include reviewing current trends, patterns and intelligence to identify actionable items for incorporation into our automated targeting systems. ATD supports the primary CBP mission of detecting, identifying, and preventing terrorists and terrorist weapons from entering the U.S. to safeguard the homeland.

I&SA ensures CBP-wide situational awareness through effective management of the Commissioner's Situation Room and the National Intelligence Watch, providing daily intelligence and operations briefings to the Commissioner and his leadership. I&SA is responsible for managing CBP intelligence requirements and developing and implementing intelligence collection management policies and processes.

The Field Coordination Division provides support to the field and advances CBP's objective to becoming an intelligence driven organization through development and coordination with inter- and intra- agency centers to ensure horizontal and vertical flow of intelligence information.

IMOC contributes towards the effectiveness of the CBP mission and preparedness efforts through the coordination of multi-component and inter/intra-agency operational activities including technical standards, contingency planning and training, through exercises and readiness assessments.

The Mission Support Division provides OIOC with Mission Support and leads the OIOC Strategic Planning and Tasking Programs, as well as the CBP Information Sharing Program.

Office of Chief Counsel

The Chief Counsel is the chief legal officer of CBP and reports to the General Counsel of the Department of Homeland Security through the Assistant General Counsel. The Chief Counsel serves as the Ethics Officer for the organization and is the principal legal advisor to the Commissioner of CBP and its officers. The Office of the Chief Counsel provides legal advice to, and legal representation of, CBP officers in matters relating to the activities and functions of CBP. The Office is also responsible for reviewing proposed actions to ensure compliance with legal requirements, preparing formal legal opinions, preparing or reviewing responses in all court actions, civil or criminal, involving CBP, and developing, implementing, and evaluating

nationwide programs, policies, and procedures within its functional areas. The Office of the Chief Counsel has both a Headquarters and a field structure. The Headquarters office is located in Washington, D.C. and its activities are divided broadly into three functional areas under the supervision of Associate Chief Counsels: Ethics, Labor and Employment; Enforcement; and Trade and Finance. The field structure consists of Associate and Assistant Chief Counsels located in major cities across the United States who advise CBP field managers in their geographic areas

Office of Policy and Planning (OPP)

The Office of Policy and Planning provides leadership, direction, and advice regarding CBP's overall policy development and implementation; assists and works on behalf of the Commissioner and Deputy Commissioner in defining and advancing CBP priorities through the effective development, review, and implementation of key policy initiatives in coordination with other CBP offices, DHS, and other governmental agencies. OPP serves as the principle advisor to the Commissioner and other senior officials on CBP's strategic planning and, in coordination with Office of Finance and Office of Information Technology, on the integration of strategic-level planning and performance with resource allocation. OPP has developed and is responsible for implementing CBP's Strategic Management Framework (SMF), which is intended to fully integrate CBP's investment management, resource management and program management process and ensure that resources are used to maximize the return on investment on CBP's mission focused goals. The SMF includes four major types of deliverables for which OPP has oversight responsibility: the CBP Strategic Plan, cross-cutting strategy documents, executive level strategic implementation plans, and quarterly progress reviews. As the designated liaison to Government Accountability Office (GAO) and the Department of Homeland Security (DHS) Office of Inspector General (OIG) for audits and inspections, OPP also serves as the primary audit coordination and liaison point for all audits and inspection work carried out in CBP.

Office of Equal Opportunity

The Office of Equal Opportunity is responsible for ensuring compliance with civil rights statutes and regulations. The Office ensures equal opportunity for all U.S. Customs and Border Protection employees, applicants for employment, members of the trade and traveling public without regard to race, color, religion, sex, age, national origin, or physical and mental disability. The Office provides program leadership in the formulation, implementation, and evaluation of policies and programs in the areas of dispute resolution; complaints processing; and compliance, analysis and special programs.

Office of Internal Affairs (IA)

The Office of Internal Affairs exercises oversight authority for all aspects of CBP operations, personnel, and facilities. IA is responsible for ensuring compliance with all bureau-wide programs and policies relating to corruption, misconduct, or mismanagement; investigating misconduct by CBP employees; and executing the internal security, integrity, management self-inspection program and operational field testing. IA also conducts pre-employment polygraph testing on a strategic selection of applicants, in support of CBP law enforcement hiring. In addition, IA conducts personnel security investigations; educates employees concerning integrity responsibilities; evaluates physical security threats to CBP facilities, and sensitive information; and inspects CBP operations and processes for managerial effectiveness and improvements.

As a result of additional staffing resources being approved in the FY 2008 budget, CBP successfully eradicated approximately 856 of the 880 opened cases involving CBP employees that were transferred at the inception from DHS Office of Inspector General and the ICE Office of Professional Responsibility (OPR).

Office of Human Resources (HRM)

The Office of Human Resources is responsible for ensuring effective delivery of the following services: recruiting, providing employee services and benefits, processing personnel actions, improving business processes, and facilitating workforce effectiveness. HRM promotes and enables mission accomplishments through human capital planning and utilization, strategic leadership with regard to CBP employees, labor-management relations, training and employee safety.

Office of Training and Development (OTD)

The Office of Training and Development is responsible for centralized leadership and direction of all CBP training programs. OTD ensures that all training efforts meet the needs of a diverse and dispersed workforce. OTD establishes standards and policies for designing, developing, delivering, and evaluating training. OTD directly executes career development programs, basic and advanced training to all occupations, management and executive development programs, and develops and implements the annual training plan for the agency.

Office of International Affairs and Trade Relations (INATR)

The Office of International Affairs is responsible for coordinating and supporting foreign initiatives, programs and activities within CBP. INATR strives to extend U.S. borders by implementing programs and initiatives that promote anti-terrorism, global border security, non-proliferation, export controls, immigration, capacity building, and facilitating legitimate trade. INATR focuses on international cooperation and strengthening multi- and bi-lateral relationships to achieve international agreements and joint efforts that both facilitate and secure legitimate trade and travel. INATR promotes expansion of the World Customs Organization (WCO) Framework of Standards for supply chain security and facilitation by providing targeted countries with training and advisory support through programs such as Capacity Building and Export Control and Border Security (EXBS). Additionally, INATR identifies, develops, implements, and coordinates specialized training and developmental assistance programs for foreign customs and other law enforcement officials and organizations. INA provides in-country advisory support for broad-based customs reform and modernization and ensures CBP is represented at overseas posts and influencing policy throughout the world.

Office of Congressional Affairs

The Office of Congressional Affairs is responsible for advising CBP managers on legislative and congressional matters and for assisting members of Congress and their staffs in understanding current and proposed CBP programs.

Office of Public Affairs (OPA)

The Office of Public Affairs communicates CBP's mission and operations. OPA continually informs the agency's chief stakeholders, the American public, through media outreach and public information campaigns conducted via media events, news releases, video and photography, as

well as the public Web site CBP.gov, informational brochures, and a national customer service call center to address public questions/complaints. OPA also provides continual information to the CBP work force through the CBPnet intranet site, the weekly e-mailed news compilation Frontline News, and through mass e-mails. A quarterly magazine, Frontline, is mailed to CBP personnel and other stakeholders throughout the nation. OPA acts as a conduit for information to and guidance from the Department of Homeland Security.

Technology and National Support

Office of Information and Technology (OIT)

The Office of Information and Technology provides integrated, comprehensive technical support to carry out the mission of CBP, as well as the Department of Homeland Security. OIT is responsible for developing, acquiring, testing, and maintaining existing technology and engineering new technology solutions; for managing the CBP Modernization Program; for overseeing the forensic and scientific analyses in the CBP laboratory system; for designing, developing, maintaining and training personnel on CBP's automated systems; for overseeing the tactical wireless radio program; and for ensuring the reliable performance of our infrastructure. OIT also manages the computer security program; establishes automated interfaces between CBP, trade participants, and other government agencies; and provides reference library and electronic information resources.

Enterprise Data Management & Engineering (EDME)

Enterprise Data Management & Engineering provides innovative Information Technology (IT) services and solutions to Office of Information and Technology (OIT), Customs and Border Protection and the Department of Homeland Security customers. EDME engineers enterprise solutions providing optimal IT data integrity and accessibility that ensures performance quality, reliability and 24x7 IT systems availability which supports the protection of our borders and the facilitation of legitimate trade. In this capacity, EDME uses industry and government best practices to integrate business and technical solutions across the OIT enterprise. EDME provides its DHS and CBP customers with financial guidance, enterprise architecture design and management, systems engineering, data center operations and services, strategic planning, security program management, technology evaluation and integration, audit coordination, and enterprise process management. As a service and mentoring organization, EDME works collaboratively with its DHS and CBP customers to provide innovative technology services and solutions through teamwork and technical excellence.

Enterprise Networks & Technology Support (ENTS)

Enterprise Networks & Technology Support is responsible for enterprise architecture, design and management of CBP network infrastructures, including the shared departmental DHS OneNet. ENTS provides operational day-to-day technology support to all CBP field locations, technology training, enterprise-wide area network, security operations and helpdesk services. ENTS provides 24x7 local area network, wireless, surveillance and detection technology support to all CBP field offices, performs field outreach, manages field modernization projects and oversees all field deployments. ENTS is aggressively working to modernize CBP Field locations deploying a common

wireless communications infrastructure and a consistent desktop configuration across all of CBP, while improving network diversity and survivability.

Targeting and Analysis Systems Program Office (TASPO)

The Targeting and Analysis Systems Program Office is responsible for enhancing, administering, and maintaining selectivity and targeting systems and related systems that help secure the supply chain and support CBP's layered defense strategy for international cargo and passengers. TASPO systems include the Automated Targeting System (ATS), an Intranet-based enforcement and decision support tool that is the cornerstone for all CBP's targeting efforts. In addition to ATS, TASPO has developed and maintains other systems, including Cargo Enforcement Reporting and Tracking System (CERTS), Customs Automated Operations System (CAOS), Customs-Trade Partnership Against Terrorism (C-TPAT), and Port Radiation Inspection, Detection & Evaluation System (PRIDE). TASPO also supports CBP operational units like the National Targeting Center (NTC), Passenger Analysis Units (PAUs), Advanced Targeting Units (ATUs), Office of Intelligence, and other analytical groups within the government.

Cargo Systems Program Office (CSPO)

The Cargo Systems Program Office is responsible for the development, maintenance, and deployment of systems (such as the new Automated Commercial Environment, the Automated Commercial System, and the Automated Export System) and interfaces that support CBP, participating government agencies, and the trade community requirements concerning the importation, exportation, and control of merchandise shipments.

Passenger Systems Program Office (PSPO)

The Passenger Systems Program Office provides application development and continued operational support of all passenger and immigration management systems hosted by CBP. PSPO integrates TECS, formerly known as Treasury Enforcement Communication System, the Advanced Passenger Information System (APIS), and other systems with US VISIT.

Border Enforcement and Management Systems Program Office (BEMSPO)

The Border Enforcement and Management Systems Program Office responsibilities include system development for the full systems life cycle from planning through deployment of all Border Enforcement and Mission Support systems. BEMSPO provides concentrated support of Border Enforcement Systems for the Office of Border Patrol, the Office of Field Operations, and the Office of Air and Marine. BEMSPO also supports Management Systems solutions for the Office of Finance, the Office of Internal Affairs, the Office of Human Resource Management and the Office of Training and Development. Some of the systems supported include ENFORCE; Border Patrol Enforcement and Tracking System (BPETS); iCAD; Enterprise GeoSpatial Information System; Customs Overtime Scheduling System (COSS); Systems, Applications and Processes (SAP); CBP.gov; and CBP.net.

Laboratories and Scientific Services

Laboratories and Scientific Services is the Forensic/Scientific arm of the CBP providing forensic and scientific testing in the area of Trade Enforcement, Weapons of Mass Destruction, Intellectual Property Rights, and Narcotics Enforcement. Each of the eight field laboratories operates a mobile laboratory that is used at the borders for on-site emergency response and programmatic on-site border security operations. A specially trained laboratory forensic "jump" team that can be activated at a moments notice provides crime scene investigation, documentation, and testing for cases involving possible terrorist activity. In addition, CBP's scientists are rotated to the front-line of many of the busiest ports to provide on-site operational support, analysis, training, and response to alerts from CBP's sophisticated Non-Intrusive Inspection and Radiation Portal Monitor technologies.

Workforce Management Group (WMG)

The Workforce Management Group is responsible for providing administrative, organizational, and management support to the managers and personnel of the Office of Information and Technology (OIT). WMG's various functional areas include logistics and space management, physical security, reviewing and tracking Background Investigations (BI) packages, and Human Resource activities relating to staffing, awards, Performance Management System, Labor & Employee Relations (LER), Workers' Compensation Program, and Human Capital. In addition, the WMG supports various special projects such as audits relative to WMG, data calls, budget activities, communications, Web Content Administration, and developing & preparing OIT Executive Performance Plans.

Financial Management Group (FMG)

The Financial Management Group formulates and executes budgets and coordinates property management for OIT. FMG supports the CBP's Investment Management Process (IMP) and the approval process of CBP information technology investment and funding approvals through the Department of Homeland Security investment review process. FMG also coordinates CBP IT acquisition plans through the DHS CIO acquisition approval process. FMG works closely with all OIT organizations to ensure sound fiscal management of OIT resources, to coordinate budgets, and to participate in all programs, projects, and budget reviews.

Office of Finance (OF)

The Office of Finance provides high quality, cost-efficient financial management services through customer involvement and modern, integrated financial systems, in support of CBP's goal of developing and promoting more effective and efficient methods to obtain and manage financial data, resources, and capital assets, consistent with the needs of customers and stakeholders. OF is responsible for acquiring and effectively managing the assets needed to accomplish CBP's frontline mission. This includes centralized requirements, planning and implementation of CBP's mail, uniform, personal property and fleet management programs. It also includes a consolidated facilities program account which allows the agency to strategically and consistently manage its complex facilities portfolio.

PPA: INSPECTIONS, TRADE & TRAVEL FACILITATIONS AT THE POEs

	Perm. Pos.	FTE	Amount
2008 Actual	17,072	15,933	2,053,161
2009 Enacted	18,753	17,904	2,093,988
2010 Adjustment to Base	-	849	84,875
2010 Current Services	18,753	18,753	2,178,863
2010 Program Change	176	89	76,347
2010 Request	18,929	18,842	2,255,210
Total Change 2009-2010	176	938	161,222

CBP requests \$2.3 billion for Border Security Inspections and Trade Facilitation at POE's. This is an increase of \$161.2 million over FY 2009 Enacted. The request includes:

- decrease of \$34.6 million for non-recurring costs for WHTI, Global Entry and 2010 Olympics
- an increase of \$125.3 million for pay annualization and \$24.7 million for pay inflation.
- transfer out of \$30.5 million to the new proposed Facilities Management account.
- program increases of \$9.3 million for Import Safety & Trade Enforcement, \$20.9 million for WHTI, \$3.0 million for API/PNR, \$18.1 million for the At the POEs portion of Combating Southbound and Currency Smuggling, and \$25.0 million for CBPO Law Enforcement Enhanced Retirement.

CURRENT SERVICES PROGRAM DESCRIPTION:

The CBP officer is multi-disciplined and performs the full range of inspection, intelligence analysis, examination, and law enforcement activities relating to arrival and departure of persons, conveyances, and merchandise at ports of entry. The officer's primary responsibility is to identify potential terrorists and instruments of terror and to perform layered enforcement activities relative to counter-terrorism. These enforcement activities are to prevent the entry of terrorists and instruments of terror, harmful pests and diseases, illegal drugs and contraband, illegal aliens, and importations/exportations contrary to law and trade agreements, from entering/exiting the United States. The officer interprets the laws and regulations of a broad range of Federal, state, and local agencies, relating to the admissibility of people, cargo, and conveyances.

Specific programs under Border Security Inspections and Trade Facilitation at the ports of entry are covered below:

Western Hemisphere Travel Initiative

Section 7209 of the Intelligence Reform and Terrorism Prevention Act of 2004 (IRTPA; P.L. 108-458 as amended) directs the Secretary of Homeland Security, in consultation with the Secretary of State, to develop and implement a plan to require U.S. citizens (and non-U.S. citizens) to present a passport or other authorized travel document that denotes identity and citizenship when entering the United States. Consistent with the Consolidated Appropriations

Act of 2008, DHS will be making the investments to prepare for implementation of this secure document requirement at land and sea border ports of entry by June 1, 2009.

By June 1, 2009, CBP will complete the implementation to the 39 high volume ports of entry that support 95 percent of the land border traffic utilizing Radio Frequency Identification (RFID) technology and IT infrastructure to read, validate, and process Passport Cards issued by the Department of State and other WHTI compliant RFID-enabled documents such as the Enhanced Driver's License. Final operational test and evaluation will be completed. Throughout FY 2009 the 39 implemented ports will be supported under a robust operations and maintenance program to ensure ongoing optimal performance. CBP will also continue implementation of the new primary processing application at additional small land border ports of entry.

This new WHTI land border application fully interfaces with the trusted traveler database in order to allow "flex" lanes at the POEs, enabling lanes to be used as trusted traveler, RFID only, or standard vehicle primary lanes based on the operational needs of the individual port of entry. When a member in one of the trusted traveler programs (NEXUS, SENTRI, FAST) utilizes their RFID enabled card in the Trusted Traveler Lane, it automatically captures and satisfies WHTI document requirements, thus enhancing CBP's ability to manage traffic flow at the land borders. Additionally, this new application supports the Enhanced Driver's License Project for the States and the Native American Tribal Enrollment Project in terms of developing the requirements and supports the technical interfaces necessary.

Electronic System for Travel Authorization (ESTA)

Section 711 of the Implementing the Recommendations of the 9/11 Commission Act of 2007 (911 Act; P.L 110-53), provides for the expansion and enhancement of the Visa Waiver Program (VWP). Pursuant to the 911 Act, DHS and CBP are required to provide an automated electronic travel authorization process to screen VWP travelers prior to travel to the United States. CBP, in coordination with the Department of State, has developed the Electronic System for Travel Authorization (ESTA), a program which allows CBP to screen applicants in advance of travel to determine their eligibility to travel to the United States under the VWP.

Originally, 27 nations were members of the VWP. On November 17, 2008, seven additional nations became members of the VWP. Those nations are: Czech Republic; Estonia; Hungary; Latvia; Lithuania; Slovakia; and South Korea. Malta was added to the VWP on December 30, 2008. ESTA gives VWP travelers advanced authorization to travel to the U.S. and allows CBP to pre-vet VWP travelers, providing another tool for CBP to further secure U.S. borders by pushing the zone of security outward.

In FY 2009, the ESTA program is projected to process over 17 million ESTA applications submitted by VWP travelers. Of these, advance travel authorization will be denied to an estimated 0.2% of the applicants.

Immigration Advisory Program (IAP)

Under the Immigration Advisory Program (IAP), CBP deploys officers overseas (London-Heathrow, Amsterdam, Warsaw, Tokyo, Frankfurt, Seoul, Madrid, London-Gatwick, and Manchester) to support CBP's goal of enhancing the security of air travel by preventing terrorists

from boarding commercial aircraft destined for the U.S. and reducing the number of improperly documented passengers traveling from or through a country to the United States. IAP provides information to host countries, or appropriate authorities, regarding travelers of interest. It focuses on high-risk persons through the use of current targeting and passenger analysis information or an assessment of the passenger's travel documentation. The goal of these efforts is the interdiction and apprehension of criminals and persons of national security interest by host countries, the disruption of attempts to smuggle aliens, and the disruption of attempts to enter the U.S. with fraudulent documents. Since IAP does not have any authority in the host country to take such action, the program works with the host country's immigration and/or control authority and the air carrier who will take the appropriate action to prevent the person from boarding the flight to the United States.

In FY 2008, with nine IAP locations operational, IAP officers assisted foreign governments and airline personnel in preventing 2,292 persons from boarding flights for the U.S., discovered 63 fraud cases, identified 63 terrorist targets, and saved the airlines \$3,875,875 in fines.

Fraudulent Document Analysis Unit (FDAU)

The FDAU serves as the repository and central location for analysis of fraudulent documents seized by CBP officers nationwide. The mission of the FDAU is to remove fraudulent travel documents from circulation and to prevent the use of these documents by mala fide travelers attempting to enter the United States.

The FDAU manages the Carrier Liaison Program. The mission of the Carrier Liaison Program is to enhance border security by increasing commercial carrier effectiveness in identifying improperly documented passengers destined to the United States. The FDAU also manages the CBP Fraud Prevention Program. The goal of the Fraud Prevention Program is to increase fraudulent document interceptions through sharing of information within and outside of CBP. CBP officers have been designated as Fraud Prevention Officers, and have been tasked with sharing information regarding document fraud and fraud trends, for creating reports on fraudulent document use, for conducting document examination training, and for working closely with headquarters on matters related to document examination and document fraud.

As the central repository and point of analysis for fraudulent documents seized by CBP, the FDAU provides training and training material regarding fraudulent document use. The FDAU has worked with the CBP Academy and the Advanced Training Center (ATC) to update their document training programs. Training material and exemplars are provided to other DHS entities such as the Border Patrol, Transportation Security Administration (TSA), Citizenship and Immigration Services (USCIS), and the U.S. Coast Guard (USCG).

Admissibility Review Office (ARO)

The Admissibility Review Office provides CBP with a dedicated resource with institutional knowledge and a consistent approach in making determinations of admissibility relative to the exercise of discretion of inadmissible aliens under the Immigration and Nationality Act (INA). The ARO works extensively with the Department of State (DOS) and other agencies to determine whether inadmissible aliens may be permitted to travel as non-immigrants with waivers. They review applications submitted by aliens who have been determined by CBP

officers or consular officers to be ineligible to be admitted to the United States because of one or more grounds of inadmissibility under section 212(a) of the INA. In Fiscal Year 2008, the ARO completed 14,278 waiver decisions. The ARO plans to complete 15,500 cases in FY 2009 and 16,275 in FY 2010.

The ARO currently processes and adjudicates all nonimmigrant waivers of inadmissibility recommended by DOS consular officers worldwide. It also adjudicates all nonimmigrant temporary and permanent waiver applications, Form I-192 and Form I-212 within the jurisdiction of CBP.

Canine Enforcement Program (CEP)

The Canine Enforcement Program plays a crucial role in CBP's anti-terrorism and interdiction efforts. The CEP remains a major component in CBP's ability to interdict illegal narcotics, concealed humans, prohibited agriculture products, explosives, firearms, and undeclared currency while facilitating legitimate trade and travel.

Through CEP, CBP has established and deployed world-class detector dogs programs to augment existing technology while establishing cutting edge detection capabilities. Under these programs, the agency now provides a higher level of security and detection capability while emphasizing a seamless conduit between existing technology and the proven capabilities of detector dogs. The CEP will continue to advance and develop the anti-terrorism aspects of our mission while maintaining the traditional roles of narcotics interdiction. The Office of Field Operations canine teams are strategically assigned to ports of entry around the United States, and have been located at pre-clearance stations abroad. As their core mission, CBP officers use specially trained detector dogs in an interdiction role at our nation's ports of entry. The Canine Enforcement Program is also involved in specialized detection programs aimed at combating terrorist threats at our nation's borders, international airports, and seaports.

In FY 2009, the Office of Field Operations has 626 CBP canine officers: 228 Narcotics Detection Teams, 15 Currency Detection Teams and 238 Narcotics/Human Smuggling Detection Teams, 115 Agricultural Teams, and 23 Explosive Detection Teams.

Office of International Trade (OT)

OT is responsible for developing the national CBP trade policy and programs that facilitate legitimate trade and enforce our trade laws. OT is able to leverage a diverse array of skill sets to develop a comprehensive trade strategy and action plans, focused on results-driven strategic initiatives addressing trade facilitation, administration and enforcement issues. By promoting trade facilitation through partnership programs, OT streamlines the flow of legitimate shipments and fosters corporate self-governance as a means of achieving compliance with trade laws and regulations. OT also directs national enforcement responses through effective targeting of goods crossing the border as well as strict, swift punitive actions against companies participating in predatory trade practices, including textile transshipment and intellectual property rights infringement. A risk-based audit program is used to respond to allegations of commercial fraud and to conduct corporate reviews of internal controls to ensure importers comply with trade laws and regulations. Finally, OT provides the legal tools such as all regulations, Federal Register

notices, binding rulings and decisions, informed compliance publications, to support and promote facilitation and enforcement of our trade and border security requirements.

OT administers the Trade Agreements Program, Textile Enforcement and Operations Program, the Antidumping Countervailing Duty (AD/CVD) Program, the Intellectual Property Rights (IPR) Enforcement Program and leads CBP's efforts on import safety. In addition, OT provides technical assistance and training to United States Trade Representative (USTR), international organizations, and foreign governments to further support our trade and border security policies.

Within OT are Regulatory Audit and the Commercial Targeting and Enforcement Division. Regulatory Audit conducts audits in a variety of complex trade areas which identify additional revenue, enforce compliance with intellectual property rights laws, trade agreements, supply chain security issues and product safety concerns. Regulatory Audit also provides technical audit support to Immigration and Customs Enforcement (ICE) in money laundering cases, illegal and harmful agriculture imports, visa fraud and a variety of other issues. The Commercial Targeting and Enforcement Division mission is to develop enforcement strategies to address non-compliance in priority trade areas, to improve upon and develop innovative methods by which this effort will be accomplished, to measure agency performance in key trade and security program areas, and to provide source data for agency statistics.

Agriculture Programs and Trade Liaison

CBP's Agriculture Programs and Trade Liaison (APTL) office provides leadership, expertise, and innovation to defend the United States from the threats of bio and agro-terrorism. APTL also is responsible for meeting the traditional goals of safeguarding and protecting American agriculture from the risks associated with the entry, establishment, or spread of plant pests and pathogens, noxious weeds, and foreign animal diseases. The specific activities conducted by CBP's APTL fall into five general areas:

1. Agro/Bio-Terror Countermeasures (ABTC) Program mission is to prevent ag/bio-terrorist, their equipment, and weapons from entering into the United States. In partnership with scientific, regulatory, intelligence, and law enforcement agencies, the program seeks to assess risks and obtain information to guide the development and implementation of specific targeting and inspection systems to better protect our people, agriculture, food, and economy from ag/bio-terror attacks.
2. The Agriculture Operational Oversight (AOO) office is responsible for improving oversight of the agricultural mission across all CBP field offices by ensuring a more consistent application of agriculture inspection policy across all ports of entry. The office is the primary point of contact for all stakeholder-related issues and the implementation of the Joint Agency Task Force Implementation Action Plans to include coordination with the Animal & Plant Health Inspection Service, Department of Agriculture, Department of Homeland Security, and our agriculture industry stakeholders.
3. Agricultural Policy provides policy, planning, and guidance for CBP agriculture inspection programs in order to prevent the intentional and unintentional introduction of plant and animal pests and diseases.

4. Agricultural Safeguarding is responsible for the development, clarification, and interpretation of agricultural oversight policy and procedures. In addition, Agricultural Safeguarding is responsible for the application strategies for maritime cargo, air cargo, land border cargo, passenger processing (air, maritime, land border), and trade facilitation and related operations.
5. The Fines, Penalties & Forfeitures (FPF) Division is responsible for oversight and policy initiation of all aspects of the Seized Property Process to ensure proper management control and accountability of all property seized by the law enforcement officers within the Office of Field Operations of CBP. The division also adjudicates carrier fines assessed under the Immigration and Nationality Act, all Customs cases under the Tariff Act and manages the FPF officers, paralegal, and Seized Property Specialists. The adjudication includes oversight of both administrative and judicial actions related to violations of law of carrier fines referred to headquarters for initiation as well as providing guidance to the field on carrier fines issues.
6. The Trade Operations Division manages the core functions related to the entry of merchandise, processing of drawback claims, and manages the Entry and Import Specialists. Some of the programs that the division is responsible for include: the Reconciliation Prototype, Remote Location Filing, Import Specialist Discrepancy Add (ISDA) input, Protests, and the Port Account Management Program. The division is responsible for, identifying resource levels, communicating national policy to the field, providing oversight, collections, broker account management, broker compliance, drawback and liquidation.

Air/Sea Cargo Security Verification Program

The Air/Sea Cargo Security Verification Program establishes maritime and air cargo policy. The program's primary focus is to secure cargo against terrorists and the transport of terrorist weapons within the cargo arena, to coordinate the maritime/air programs with other law enforcement agencies, and to ensure the maximization of efforts in these environments. The program provides a critical component in the facilitation and coordination among other law enforcement agencies of combined anti-terrorism efforts while ensuring the facilitation of trade continues with minimal effect on our economy.

In the maritime environment, CBP has the lead for cargo security controls and measures to mitigate the risk of suspect shipments arriving from or departing to foreign destinations. These efforts support the CBP Cargo Security Strategy and other DHS initiatives such as implementation of the SAFE Port Act of 2006 (P.L. 109-347), and the 9/11 Act. CBP works in collaboration with DHS and its component agencies, such as the USCG, on cargo and port security matters. CBP and USCG have developed joint protocols for maritime operations, including the development of response matrices and joint protocols in the event of an incident of national significance. Further, CBP and USCG routinely conduct joint operations such as law enforcement vessel boardings, targeting efforts, and maritime cargo enforcement operations. Additionally, CBP continues to work with TSA and the USCG in an effort to facilitate the enforcement of the Transportation Worker Identification Credential. Lastly, CBP and USCG

endeavor to address business resumption and recovery efforts under the Homeland Security Presidential Directive 13 and collaboratively address industry and trade issues through specific cargo and maritime federal advisory committees.

In the air environment, CBP is strengthening air cargo security measures by updating its national advance targeting unit efforts in support of the CBP International Air Cargo Security Strategy and DHS's National Strategy for Aviation Security. Currently, CBP is working to effectuate enhanced security protocols in the air cargo environment to ensure that high risk cargo is identified for examination and is not released without proper CBP authorization. Additionally, CBP is working with TSA and the DHS Screening Coordination Office to strengthen access control protocols in the air cargo and passenger environments. Lastly, the CBP Office of Port Security is working with CBP Field Offices to identify operational issues and to maximize efforts in the air cargo security environment and other modes of transportation.

FY 2008 accomplishments include:

- Implemented ESTA and made it available to the VWP traveling public. Since the initial release on August 1, 2008, additional releases have been made to incorporate new functionality and accommodate the addition of the eight new VWP member nations.
- Conducted two pilots at IAP sites to test the feasibility of establishing permanent operations at those locations. As mandated in the IRTPA, CBP has identified 50 locations as presenting potential for permanent IAP operations; and
- Initiated implementation of the WHTI end-to-end solution at high volume land ports of entry.

FY 2009 goals include:

- Completing rollout of WHTI infrastructure and technology to all remaining high volume land ports of entry and begin deployment of facilitative technology to remaining lower volume ports of entry;
- Completing implementation of the ESTA system and website in multiple languages to accommodate all VWP countries; and
- Enhancing the Trusted Traveler Programs and Global Enrollment System.

FY 2010 goals include:

- Transitioning the ESTA system and website to an Operations and Maintenance (O&M) mode and achieving all service related performance goals;
- Delivering a traffic management system to the high volume land ports of entry, completing deployment of WHTI facilitative technology to low volume land ports of entry, maintaining a secure border at the land ports of entry while facilitating legitimate trade and travel, and extending WHTI facilitative technology to other environments such as pedestrian processing, ferries, and rail; and
- Expanding Global Entry to other designated airports.

PPA: HARBOR MAINTENANCE FEE (HMF) COLLECTION

	Perm. Pos.	FTE	Amount
2008 Actual	3,093
2009 Enacted	3,154
2010 Adjustment to Base	72
2010 Current Services	3,226
2010 Program Change	0
2010 Request	3,226
Total Change 2009-2010	72

CBP requests \$ 3.2 million for Harbor Maintenance Fee Collection. This is an increase of \$0.07 million over the FY 2009 Enacted Budget. The request includes:

- increase of \$28,000 for pay annualization
- increase of \$44,000 for 2010 pay increase

CURRENT SERVICES PROGRAM DESCRIPTION:

The Harbor Maintenance Fee is an Army Corps of Engineers (COE) fee, which is collected for the operation and maintenance, as well as improvements, of U.S. channels and harbors. CBP is reimbursed for a portion of the costs associated with the collection of the fee for COE.

PPA: INTERNATIONAL CARGO SCREENING

	Perm. Pos.	FTE	Amount
2008 Actual	189	173	145,884
2009 Enacted	189	189	149,450
2010 Adjustment to Base	-	-	15,971
2010 Current Services	189	189	165,421
2010 Program Change	-	-	0
2010 Request	189	189	165,421
Total Change 2009-2010	-	-	15,971

CBP requests \$ 165.4 million for International Cargo Screening. This is an increase of \$ 16.0 million from the FY 2009 Enacted Budget. The request includes:

- increase of \$ 15,500,000 for Secure Freight base funding adjustment
- increase of \$ 351,000 for pay annualization,
- increase of \$ 541,000 for 2010 pay raise
- transfer out of \$ 421,000 to the new Facilities Management Account

CURRENT SERVICES PROGRAM DESCRIPTION:

This PPA includes Container Security Initiative (CSI) operations, which consist of 58 foreign ports, and Secure Freight Initiative (SFI), which is the next phase of CSI. The CSI/SFI program will continue its mission to prevent terrorists and terrorist weapons from entering the U.S. while also facilitating the flow of legitimate trade.

Today, CSI is the only multinational program in the world actually protecting the primary system of global trade – maritime containerized shipping – from being exploited or disrupted by international terrorists. In FY 2009, CSI continues operating in 58 ports and screening over 86 percent of the volume of maritime containers destined to the U.S.

The core elements of CSI are:

- Identify high-risk containers—CBP uses automated targeting tools to identify containers that pose a potential risk of terrorism, based on advance shipping information and strategic intelligence.
- Screen and evaluate containers before they are shipped—Containers are screened as early in the supply chain as possible, generally at the last port of lading.
- Use technology to scan high-risk containers to ensure that scanning can be done rapidly without impeding the movement of trade—this technology includes large-scale X-ray, gamma ray machines, and/or radiation detection devices.

Through the CSI program, CBP deploys multi-disciplined teams that include CBP officers, Intelligence Analysts, and ICE agents to selected foreign seaports throughout the world to protect the U.S. and its citizens from potential terrorist attacks in the maritime cargo environment and to help secure the primary system of international trade. CSI helps to secure an indispensable link in the chain of global trade: maritime containerized shipping. Since CSI was unveiled in January 2002, it has become a part of our government's strategy to secure the nation from the potential terrorist threat using maritime cargo containers. CSI will continue fostering partnerships with other countries and our trading partners in order to inspect all high-risk containers before they are loaded on board vessels to the United States. CBP will ensure effective coordination with host countries by conducting periodic risk evaluations of ports to assess the level of staffing and other resource needs. CBP will also encourage interagency cooperation by developing a capacity to collect and share information and trade data gathered from CSI ports. The following is a comprehensive listing of the 58 CSI operational ports.

In the Americas and Caribbean:

- Montreal, Vancouver, and Halifax, Canada
- Santos, Brazil
- Buenos Aires, Argentina
- Puerto Cortes, Honduras
- Caucedo, Dominican Republic
- Kingston, Jamaica

- Freeport, Bahamas
- Cartagena, Columbia
- Balboa, Manzanillo, and Colon, Panama

In Europe:

- Antwerp and Zeebrugge, Belgium
- Le Havre and Marseilles, France
- Bremerhaven and Hamburg, Germany
- Piraeus, Greece
- Geona, La Spezia, Livorno, Gioia Tauro, and Naples, Italy
- Rotterdam, Netherlands
- Gothenburg, Sweden
- Felixstowe, Southampton, Liverpool, Thamesport, and Tilbury, United Kingdom
- Lisbon, Portugal
- Algeciras, Valencia, and Barcelona, Spain

In Asia and the Middle East:

- Shanghai, Shenzhen, and Hong Kong, China
- Ports of Kaoshung and Chi-Lung
- Tokyo, Kobe, Yokohoma, and Nagoya, Japan
- Pusan, Korea
- Quasim, Pakistan
- Port Klang and Tanjung Pelepas, Malaysia
- Singapore
- Laem Chabang, Thailand
- Colombo, Sri Lanka
- Dubai, United Arab Emirates (UAE)
- Port Salalah, Oman
- Ashdod and Haifa, Israel

In Africa:

- Durban, South Africa
- Port Alexandria, Egypt

Secure Freight Initiative (SFI)

The Secure Freight Initiative incorporates a three-pronged approach to enhance supply chain security that includes the International Container Security (ICS) program, the development of a regulation to require additional data elements for improved high-risk targeting, known as Security Filing (10+2), and initiatives to identify and acquire technology enhancements to strengthen cargo scanning and cargo risk assessment capabilities.

The ICS program uses an integrated scanning system, consisting of radiation portal monitors (RPM) and non-intrusive inspection (NII) imaging systems provided by CBP, to scan containers as they move through foreign ports. Through optical character recognition technology, data from these systems are integrated and provided to CBP officers, who determine if the container should be referred to the host nation for secondary examination prior to lading. For the CBP officers,

ICS provides additional data points that are used in conjunction with advanced manifest data, such as 24-hour rule information, Customs-Trade Partnership Against Terrorism information, and the Automated Targeting System to assess the risk of each container coming to the United States.

On October 12, 2007, CBP met the legislative requirements mandate by the SAFE Port Act, which requires DHS to establish a pilot program in three foreign ports that couples NII and RPM to scan all US-bound containers laden in those ports for radioactive and nuclear material. The SFI's ICS program is fully operational and is currently scanning 100% of U.S. bound containers laden in:

- Port of Qasim (Pakistan)
- Puerto Cortes (Honduras)
- Port of Southampton (UK)

CBP is going beyond the legislative mandate and has deployed SFI operations on a limited basis to three additional locations that will provide diverse environments with unique challenges, such as high volume and transshipment ports. These three additional SFI locations are:

- Modern Terminal (Hong Kong)
- Port of Salalah (Oman)
- Gamman Terminal (Busan, Korea)

CBP has developed a strategic direction for the SFI program, which focuses on identifying high-risk trade corridors where the implementation of SFI would mitigate the risk associated with the potential introduction of Weapons of Mass Effect into the United States by way of maritime containerized cargo. Future deployments of SFI at foreign seaports will focus on those trade corridors through which high-risk containerized cargo destined to the U.S. transits or originates. These deployments will provide additional data for risk targeting and strengthen the DHS layered, risk-based enforcement strategy in the maritime containerized cargo environment.

The Security Filing (10+2) project, as mandated by Section 203 of the SAFE Port Act, requires DHS to develop a regulation that requires additional data elements for improved high-risk targeting, including appropriate security elements of entry data to be provided as advanced information prior to vessel lading.

This new requirement, known as the "Importer Security Filing and Additional Carrier Requirements" or simply "10+2" will significantly increase the scope and accuracy of information gathered on the goods, conveyances, and entities involved in the shipment of cargo to the U.S. When fully implemented, the importer will be responsible for supplying CBP with 10 trade data elements 24 hours prior to lading while the ocean carrier will be required to provide their vessel stow plans and container status messages.

FY 2008 accomplishments include:

- Incorporated and institutionalized the use of SFI data (e.g. radiospectrography and NII images) into domestic targeting protocols;

- Responded to Security Filing (10+2) notice of proposed rule making comments and developed a phased implementation plan; and
- Reviewed current and potential new CSI locations for strategic importance to secure the U.S. and the global supply chain.

FY 2009 goals include:

- Expanding deployment of ICS to at least one additional location;
- Increasing the capacity at the SFI limited operation locations/ports;
- Phasing implementation of Secure Filing (10+2) regulations;
- Continuing to transition CSI TDY personnel to permanent status and place resources at the National Targeting Center – Cargo (NTC-C) in order to support overseas activity; and
- Continuing to monitor container traffic through CSI ports to ensure staffing needs are met, to include the possible reduction of Officers deployed overseas in those areas that warrant such a reduction.

FY 2010 goals include:

- As permitted, expanding SFI to an additional 9 locations, focusing on high-risk trade corridors;
- Fully incorporating Secure Filing (10+2) data into the Automated Targeting System;
- Continuing to transition CSI TDY personnel to permanent status and review the transitioning of CSI personnel to the NTC-C in order to support overseas activity; and
- Continuing to monitor container traffic through CSI ports to ensure staffing needs are met, to include the possible reduction of officers deployed overseas in those areas that warrant such a reduction.

PPA: OTHER INTERNATIONAL PROGRAMS

	Perm. Pos.	FTE	Amount
2008 Actual	101	101	15,292
2009 Enacted	101	101	10,984
2010 Adjustment to Base	-	-	197
2010 Current Services	101	101	11,181
2010 Program Change	-	-	0
2010 Request	101	101	11,181
Total Change 2009-2010	-	-	197

CBP requests \$ 11.2 million for Other International Programs. This is an increase of \$ 197,000 over the FY 2009 Enacted Budget. The request includes:

- increase of \$ 78,000 for pay annualization
- increase of \$ 119,000 for 2010 pay increase

CURRENT SERVICES PROGRAM DESCRIPTION:

The goal of Other International Programs is to establish international partnerships that promote security and facilitation of international travel and trade. In this arena, CBP implements international programs and initiatives that support the U.S. Government's objectives in anti-terrorism, border security, non-proliferation and customs and immigration laws. Other International Programs is the conduit for CBP's participation in the World Customs Organization (WCO) and in regional bodies such as the Asia-Pacific Economic Cooperation (APEC) forum; support for the negotiation of bilateral and multilateral agreements, conventions and treaties; and high-level meetings with foreign administrations. Other International Programs key objectives are:

- Identify and drive CBP's international strategy;
- Internationalize CBP's programs and initiatives;
- Manage the international agreements process for CBP;
- Advance CBP policy agenda and international initiatives in international fora;
- Develop and maintain strategic international relationships

FY 2008 accomplishments include:

- Identified and pursued opportunities for cooperation with foreign governments and international organizations on issues such as the mutual recognition of customs-trade programs and "single window" data systems for international trade and customs information;
- Developed protocols related to the issuance and use of APEC Business Travel Cards in accordance with U.S. commitments; and
- Assessed the deployment of overseas personnel based on CBP mission needs and cooperation with foreign governments of strategic importance.

FY 2009 goals include:

- Continue to identify and pursue opportunities for cooperation with foreign governments and international organizations on issues such as the mutual recognition of customs-trade programs and "single window" data systems for international trade and customs information;
- Manage and maintain dialogues with foreign governments where Mutual Recognition of each other's industry partnership programs is in progress;
- Increase awareness of the Electronic System of Travel Authorization (ESTA) and other CBP initiatives and programs by facilitating and participating in international conferences and meetings; and
- Continue to provide support services to CBP overseas personnel to fully sustain CBP's global activities and presence.

FY 2010 goals include:

- Pursue international partnerships to share best practices, exchange information, and promote the facilitation of secure travel and trade;
- Support implementation of the WCO Framework; and

- Implement initiatives in support of an international immigration strategy to identify and interdict high risk travelers.

PPA: CUSTOMS-TRADE PARTNERSHIP AGAINST TERRORISM (C-TPAT)

	Perm. Pos.	FTE	Amount
2008 Actual	207	182	57,402
2009 Enacted	207	207	64,496
2010 Adjustment to Base	-	-	(1,884)
2010 Current Services	207	207	62,612
2010 Program Change	-	-	0
2010 Request	207	207	62,612
Total Change 2009-2010	-	-	(1,884)

CBP requests \$ 62.6 million for C-TPAT. This is a decrease of \$1.9 million from the FY 2009 Enacted Budget. The request includes:

- increase of \$ 322,000 for pay annualization
- increase of \$ 496,000 for pay inflation
- transfer out of \$ 2,702,000 to the new Facilities Management Account

CURRENT SERVICES PROGRAM DESCRIPTION:

The C-TPAT program is CBP’s premier trade security program. The purpose of C-TPAT is to partner with the trade community for the purpose of securing the U.S. and international supply chains from possible intrusion by terrorist organizations. C-TPAT requires the trade community participant to document and validate their supply chain security procedures in relation to existing C-TPAT criteria or guidelines as applicable. C-TPAT company participants develop an internal validation process to ensure the existence of security measures documented in their Supply Chain Security Profile and in any supplemental information provided to CBP. As a part of the C-TPAT process, C-TPAT Supply Chain Security Specialists (SCSS) and the C-TPAT participants will jointly conduct a validation of the company’s supply chain security procedures. The validation process is essential to verifying the company’s commitment to C-TPAT.

C-TPAT’s Supply Chain Security Specialists conduct C-TPAT validations, identify supply chain security vulnerabilities, and work to monitor company initiatives that address those vulnerabilities. Validations conducted by Supply Chain Security Specialists serve to determine the accuracy and effectiveness of companies’ security profiles as applied to their foreign and domestic supply chains.

To better secure and facilitate the flow of goods into the United States, CBP will continue to ensure that existing and new C-TPAT partners fulfill their commitments by verifying that agreed upon security measures have been implemented. CBP will also continue to work with C-TPAT

partners to further finalize minimum applicable supply chain security criteria and security best practices. C-TPAT teams travel around the globe to visit partners, their vendors, and vendors' plants to validate that supply chain security meets C-TPAT minimum security criteria. They also ensure that best practices and procedures used are reliable, accurate, effective and meet the agreed upon security standards. CBP will continue providing tools and creating incentives for the private sector to join C-TPAT, which is a prerequisite for the Free and Secure Trade (FAST) program and other CBP expedited processing programs.

FY 2008, accomplishments include:

- Completed additional mutual recognition agreements with two foreign Customs administrations (Canada and Jordan);
- Ensured compliance with the requirements of the Safe Port Act, such as reviewing and certifying security profiles within 90 days of submission and conducting validations within 1 year of certification and revalidations within 3-years of the initial validation;
- Concluded a pilot to assess the feasibility of having 3rd party entities gather validation information on CBP's behalf to determine compliance with program criteria; and
- Conducted 2 joint validation exercises for the first time with the General Administration of Customs of the People's Republic of China resulting in 18 validations of C-TPAT members' supply chains originating in China.

FY 2009, goals include:

- Ensuring compliance with the requirements of the Safe Port Act, such as reviewing and certifying security profiles within 90 days of submission and conducting validations within 1 year of certification and revalidations within 3-years of the initial validation;
- Continuing to assess the feasibility of an export component to the C-TPAT program and start implementation as permitted;
- Completing additional mutual recognition agreements with two foreign Customs counterparts; and
- Creating a new enrollment sector for Third Party Logistics Providers (3PL) involved in the international movement of cargo and begin accepting and processing applications for companies eligible to participate in the program under this new sector.

FY 2010, goals include:

- Ensuring compliance with the requirements of the Safe Port Act, such as reviewing and certifying security profiles within 90 days of submission and conducting validations within 1 year of certification and revalidations within 3-years of the initial validation;
- Maintaining 90 percent or higher compliance rates for C-TPAT members in terms of the ratio of suspensions/removals to overall number of certified/validated partners; and
- Completing an additional mutual recognition agreement with a foreign Customs counterpart.

PPA: TRUSTED TRAVELER PROGRAM (TTP)

	Perm. Pos.	FTE	Amount
2008 Actual	11,186
2009 Enacted	11,274
2010 Adjustment to Base
2010 Current Services	11,274
2010 Program Change
2010 Request	11,274
Total Change 2009-2010	---

- CBP requests to change the FAST/NEXUS/SENTRI PPA title to the Trusted Traveler Program (TTP) to provide a better representation of the program.
- CBP requests \$11.3 million for Trusted Traveler Program (TTP). There is no change from the FY 2009 Enacted Budget.

CURRENT SERVICES PROGRAM DESCRIPTION:

Trusted Traveler Programs

Since the terrorist attacks of September 11th, 2001, CBP has placed great emphasis on developing and expanding TTP for passengers and commercial truck drivers at the land borders with Canada and Mexico and developing similar programs for international air passengers. TTP help to identify low-risk, pre-vetted travelers by the voluntary submission of an application and subsequent vetting using automated name and fingerprint based checks of law enforcement databases, fingerprint/name checks, and an interview with a uniformed officer. Currently, CBP TTP has four programs – NEXUS, Secure Electronic Network for Travelers Rapid Inspection (SENTRI), Free and Secure Trade (FAST), and Global Entry.

NEXUS Highway and Air

The NEXUS Highway and NEXUS Air programs are combined into one NEXUS program with air and highway components. NEXUS is a joint US/Canada enrollment program at the northern border land ports of entry and all Canadian preclearance ports that identifies, through a complete background check and fingerprinting, low-risk travelers. Once an applicant is identified as low-risk they are enrolled in the NEXUS program and given a Radio Frequency Identification (RFID) enabled card that is specific to the traveler. The RFID-enabled card allows the traveler to utilize the NEXUS dedicated lane, which is a specific primary lane at the land border port of entry that can only be used by NEXUS enrollees. The use of the NEXUS lane facilitates the movement of low-risk travelers. At the Canadian preclearance airports, passengers use kiosks instead of dedicated lanes; and CBP uses iris scans to identify low risk travelers rather than RFID-enabled cards. At the time of enrollment, travelers qualify for trusted traveler status in all modes of travel but must report to a preclearance site to have the iris scan process performed. The future WHTI lane expansions will have NEXUS and SENTRI RFID capabilities. CBP had 236,530 NEXUS

Highway and Air members in FY 2008. In FY 2009, CBP plans to have 350,000 members in this program.

Secure Electronic Network for Traveler's Rapid Inspection (SENTRI)

Secure Electronic Network for Traveler's Rapid Inspection (SENTRI) is an enrollment program at the southern land border ports of entry that identifies low-risk travelers, through a complete background check, fingerprinting, and an in person interview with a CBP officer. Once enrolled in the SENTRI program, travelers are given an RFID enabled SENTRI card that is specific to the traveler. The RFID card allows the traveler to utilize the SENTRI dedicated lane, which is a specific primary lane at designated Southern land border ports of entry that can only be used by SENTRI members. The use of the SENTRI lane and RFID technology facilitates the movement of these low-risk travelers. The SENTRI program is located at nine southern border locations - Nogales, Arizona (1); Calexico (1) Otay Mesa (1) and San Ysidro (1), California; and Brownsville (1), Hidalgo (1), Laredo (1) and El Paso (2), Texas. The future WHTI lane expansions will have NEXUS and SENTRI RFID capabilities. CBP had 179,000 SENTRI members in FY 2008. In FY 2009 CBP, plans to have 210,000 members in this program.

Free and Secure Trade (FAST)

Free and Secure Trade is the cargo equivalent to facilitative programs in the passenger environment such as SENTRI and NEXUS. Through FAST, importers, commercial carriers, truck drivers, and manufacturers who enroll in the program and meet agreed upon security criteria, including participation in the Customs-Trade Partnership Against Terrorism program, are entitled to expedited clearance at the port of entry. Using electronic data transmission and transponder technology, CBP expedites clearance of approved trade participants. The FAST program fosters more secure supply chains and enables CBP to focus security efforts and inspections where they are needed most – high-risk commerce. CBP had 94,500 FAST members in FY 2008. In FY 2009, CBP plans to have 95,000 members in this program.

Global Entry

Global Entry is a program operated by CBP to allow for the expedited clearance of pre-approved low-risk air travelers into the United States. Through the use of automated kiosks placed in the Federal Inspection Services (FIS) area of each identified airport, a pre-vetted, enrolled traveler is able to conduct the Passport Control Inspection without having to see a CBP officer. This program would mostly benefit those frequent travelers who travel internationally 4 or more times a year.

CBP launched Global Entry as a pilot in June 2008. Currently, Global Entry is available at JFK International Airport, Houston G. Bush International Airport, Dulles International Airport, Chicago O'Hare International Airport, Atlanta Hartsfield International Airport, Los Angeles International Airport, and Miami International Airport. CBP had 3,100 participants in Global Entry in FY 2008 and projects to have 13,500 members in FY 2009. Also, in FY 2009, CBP expects to begin operating a joint pilot with the Government of the Netherlands that will allow qualified U.S. citizens to join Privium, the Dutch equivalent to Global Entry, and allow Dutch citizens to join Global Entry. Participants in this pilot must pass each nation's security vetting requirements.

Global Enrollment System (GES)

CBP has developed a Global Enrollment System for all CBP TTP to be operational on the CBP national network. The GES has integrated the independent CBP enrollment and validation processes into a single solution, and provides a more efficient platform to share data and perform real-time watch list and lookout checks.

The GES also reduces the redundancy of maintaining several application processes, and allows for a quicker and more accurate applications process. A single online, paperless application process has been developed by CBP to support the GES and will allow a traveler to apply to multiple programs online. The on-line application Global On-Line Enrollment System (GOES) currently supports the SENTRI and NEXUS programs and the Global Entry pilot. It is envisioned that once GES is fully operational, CBP will have a single TTP in which a person will only have to apply one time, pay one fee, and be registered in all modes of travel.

FY 2008 accomplishments include:

- Provided enrollment for FAST Driver through GOES and GES;
- Added iris scan equipment to all NEXUS and some FAST enrollment centers; and
- Set up selected FAST enrollment centers to support both NEXUS and FAST.

FY 2009 goals include:

- Enrolling a total of 350,000 people in NEXUS;
- Enrolling a total of 210,000 people in SENTRI; and
- Facilitating NEXUS and SENTRI enrollees into Global Entry.

FY 2010 goals include:

- Fully integrating FAST and the Automated Commercial Environment (ACE);
- Implementing bi-lateral international air trusted traveler programs with additional countries; and
- Ensuring that all lanes at the 39 busiest southern land border ports of entry be GEN2 RFID enabled so that the lanes can be considered flex lanes, which will allow them to be designated as TTP lanes as needs warrant.

PPA: INSPECTION AND DETECTION TECHNOLOGY

	Perm. Pos.	FTE	Amount
2008 Actual	94,651
2009 Enacted	145,944
2010 Adjustment to Base	(2,381)
2010 Current Services	143,563
2010 Program Change	0
2010 Request	143,563
Total Change 2009-2010	(2,381)

The table above excludes ARRA funding of \$100.0 million.

CBP requests \$ 143.6 million for Inspection and Detection Technology. This is a decrease of \$2,381,000 from the FY 2009 Enacted Budget. The request includes:

- Non-recur of \$ 1,700,000 for Project SeaHawk
- transfer out of \$ 681,000 to the new Facilities Management Account

CURRENT SERVICES PROGRAM DESCRIPTION

As trade increases, CBP's reliance on Non-Intrusive Inspection (NII) technology, the cornerstone of CBP's multi-layered strategy to secure the borders, becomes more and more critical. In conjunction with CBP's many other initiatives Customs-Trade Partnership Against Terrorism (C-TPAT), Automated Targeting System (ATS), National Targeting Center (NTC), Container Security Initiative (CSI), NII technology which includes Radiation Portal Monitors (RPM) allows us to concentrate our efforts on high risk cargo while facilitating legitimate cargo, trade and travelers.

CBP has long recognized an adversary can defeat any single system or device. For this reason, CBP cannot rely on any single technology or inspection process. Instead, CBP uses various technologies in different combinations to increase substantially the likelihood that a nuclear or radiological weapon, weapons grade material, contraband, or illegal aliens being smuggled across the United States borders will be detected. NII technologies are viewed as force multipliers that enable CBP officers to screen or examine a larger portion of commercial traffic, while maintaining the flow of legitimate trade, cargo and travelers.

NII systems currently deployed to our nation's land, sea, and airports of entry include large-scale X-ray and gamma-ray imaging systems, handheld detection, and RPM technologies. This PPA provides funds for operations and maintenance of: (a) the 211 large scale NII systems that were deployed by the end of FY 2008, (b) 3,404 small scale NIIs, 1,683 Radiation Isotope Identifier Devices (RIIDs) and 18,268 Personal Radiation Detectors (PRDs) and (c) 1,127 radiation portal monitors (RPM) that were deployed by the end of FY 2008.

The Operation and Maintenance (O&M) funds requested will ensure that deployed NII technologies meet the expected operational requirements of CBP as well as requirements surrounding the Federal Information Systems Management Act (FISMA; P.L. 107-347). Additionally, these funds will ensure mandated security and vendor upgrades are installed while providing CBP with the means to dispose of obsolete NII systems as mandated by federal regulations. Lastly, these funds will provide maintenance support at approximately 600 locations throughout the U.S. and its territories.

FY 2008 accomplishments include:

- Tested and deployed 18 new (additional) large-scale NII systems purchased in FY 2007;
- Upgraded 8 large-scale NII systems; and
- Maintained 100% inspection percentage of targeted containers and cargo.

FY 2009 goals include:

- Testing and deploying 28 remaining new (additional) and replacement large-scale NII systems purchased in FY 2007;
- Purchasing, testing, and deploying approximately 20 baggage X-ray units, 10 tool trucks, 10 X-ray vans, 100 busters, 60 laser range finders, and 80 fiberscopes to replace outdated technologies; and
- Operating and maintaining NII technologies at 74 of the 327 U.S. ports of entry, 16 of the 16 U.S. mail facilities that process international mail, and 75 of 75 international airports.

FY 2010 goals include:

- Purchasing 12 new large scale NII systems to replace outdated technologies.
- Purchasing 5 new (additional) large scale NII systems for 7 of the 52 new/expanded ports of entry; and
- Purchasing approximately 600 small scale NII and handheld technologies to replace outdated technologies and to reduce existing shortages.

PPA: SYSTEMS FOR TARGETING

	Perm. Pos.	FTE	Amount
2008 Actual	8	8	26,831
2009 Enacted	8	8	32,550
2010 Adjustment to Base	-	-	10
2010 Current Services	8	8	32,560
2010 Program Change	-	-	---
2010 Request	8	8	32,560
Total Change 2009-2010	-	-	10

CBP requests \$32.6 million for Systems for Targeting. This is an increase of \$10 thousand above FY 2009 Enacted Budget. The request includes:

- increase of \$4,000 for pay annualization
- increase of \$6,000 for pay inflation

CURRENT SERVICES PROGRAM DESCRIPTION:

At the core of CBP’s ability to achieve its critical border security objectives and maintain the flow of lawful commerce is the ability to identify high-risk travelers and goods for inspection while allowing the vast majority of law-abiding travelers and commerce to move without unnecessary delay. Recent legislation and regulatory action, such as the Trade Act of 2002 (P.L. 107-210), the 24-hour rule, the Aviation and Transportation Security Act of 2001 (P.L. 107-71), the Enhanced Border Security and Visa Entry Reform Act of 2002 (P.L. 107-173), the IRTPA, and the SAFE Port Act, have made it mandatory to provide advance information about conveyances, travelers and goods arriving in the United States. CBP uses computer technology and rule-based software to analyze the data provided on conveyances, travelers, and shipments

arriving in the United States. CBP applies its targeting methods against the data to determine which conveyances, travelers or shipments need to be segregated for a closer look and possible intensive inspection.

The main platform used to perform this analysis is the Automated Targeting System (ATS). The Automated Commercial System (ACS), the Advance Passenger Information System (APIS), the Border Crossing Information System (BCIS), the Non-Immigrant Information System (NIIS), the Arrival and Departure Information System (ADIS) and associated databases provide CBP officers (including those stationed overseas at Preclearance stations, Container Security Initiative ports, and Immigration Advisory Program locations) with advance notice of conveyances, travelers and goods arriving at U.S. ports of entry, allowing them to cross-check the passenger, crew and cargo manifests against subject lookouts including those contained in the Terrorist Identities Datamart Environment (TIDE), TECS, and the National Crime Information Center (NCIC). CBP also uses ATS to analyze data in the Automated Export System (AES) on shipments leaving the United States, as well as information from the Advance Passenger Information System on travelers departing the United States. The ATS Passenger module also uses Passenger Name Record (PNR) data from commercial airlines on arriving and departing passengers to identify high-risk travelers and to facilitate persons posing little to no risk.

ATS enhances the APIS, BCIS, NIIS, ADIS, TECS, ACS, and AES data by running rules developed by CBP's subject matter experts to identify conveyances, travelers and shipments with high-risk travel patterns. ATS also allows CBP officers to conduct advanced queries of these and other government databases to reveal new threat patterns.

Currently, ATS consists of six modules that focus on exports, imports, passengers and crews (airline passengers and crew on international flights, passengers and crew on sea carriers), private vehicles crossing at land borders, and import trends over time. The six modules are: ATS-Inbound, which serves as the primary decision support tool for inbound targeting of cargo; ATS-Outbound, which is used for targeting outbound cargo and assists in identifying exports which pose a high risk of containing goods requiring specific export licenses, narcotics, or other contraband; ATS-Passenger (ATS-P), which is used at all U.S. airports and seaports receiving international flights and voyages to evaluate passengers and crewmembers prior to arrival or departure; ATS-Land (ATS-L) provides analysis and rules-based risk assessment of private passenger vehicles crossing the nation's borders; ATS-Trend Analysis and Analytical Selectivity improves CBP's ability to examine, locate, and target for action violators of United States laws, treaties, quotas, and policies regarding international trade; and ATS-International provides foreign custom authorities with automated cargo targeting capabilities and provides a systematic medium for exchanging best practices and developing and testing targeting concepts.

Future targeting system enhancements will focus on increasing data collection from internal and external sources and improving geographical unit interface display capabilities.

FY 2008 accomplishments include:

- Ability to complete vehicle inspection records in Land Secondary Inspection Records (IO04) via ATS-L;
- Incorporation of ATS-L Analysis Tools filtering relating to license plate reader errors/inaccurate license plate corrections;
- Automated a variety of reports in ATS-L for users to execute, including Effectiveness Reports, Vehicle Crossing Reports, Weekly Drug Reports, and Shift Generator Reports;
- Enhancements to ATS-L were developed to include a Vehicle Concealment Guide and additional job aids to help assist officers in the detection of male fide documents and non factory compartments in vehicles;
- Improved parsing in ATS-P for telephone numbers in Passenger Name Record (PNR) data;
- Enhanced query capabilities in ATS-P for non-immigrant visa information;
- Developed rules in ATS-P to counter specific threats posed by terrorist and human smuggling organizations;
- Implementation in ATS-N of new Air Threshold Weight Set – AIR3;
- Creation of in-bond weight set – IBND1;
- Development of new sea mode threshold security weight set – OCN6; and
- Creation of Advanced Automated Targeting Systems International (ATS-I) interface and joint targeting concepts for the European Union (EU).

FY 2009 goals include:

- Develop ATS-L rules targeting trusted traveler participants and vehicles;
- Develop new targeting methodologies and efforts in support of the Western Hemisphere Travel Initiative;
- Review and evaluate stand alone tools and programs for the purpose of automating and incorporating into ATS-L;
- Addition of new ATS-L Analysis Tool (the Associates Tool);
- Deploy ATS-L at the U.S. Border Patrol checkpoints;
- Deploy the ATS-L Personal Data Assistants (PDAs) (wireless technology) to an additional four (4) land ports of entry (for a total of 10 ports of entry);
- Research of new equipment for portable ATS-L document readers;
- Automate the Trusted Traveler applicant screening process to allow for immediate analysis and rule based assessment;
- Development of targeting rules in ATS-P to counter threats posed by drug trafficking organizations (DTOs) and currency smugglers;
- Research and incorporate additional link analysis and visualization tools for all ATS modules to depict and entities of interest and identify associations;
- Continue phased rollout in ATS-N of User Defined Roles (UDR) to remaining national and local users;
- Initiate pilot of weight set functionality in ATS-N to allow creation and update of national and local weight sets;
- Deploy Conveyance Details page and Arriving Person “hotlist” in ATS-N Truck mode on national basis;
- Implement Vessel Summary page and Stow Plan viewer in ATS-N Ocean mode and

- Continue upgrades and enhancements in the ATS cargo modules to support US Postal Service (USPS) targeting efforts.

FY 2010 goals include:

- Deploy User Defined Rules nationally;
- Continue to develop the USPS Inbound Targeting Program to include mapping of external postal data from outside data sources;
- Deploy Targeting Framework at all CBP targeting units in the field locations; Development of ATS-L targeting specific rules to interdict terrorist suspects, weapons of mass effect, contraband, human smuggling, agriculture, and currency violations;
- Deploy ATS-L to the U.S. Border Patrol checkpoints;
- Expanded deployment of ATS-L PDAs (wireless technology) that includes document reader Machine Readable Zone (MRZ) capabilities;
- Incorporation of other federal government agency data into the ATS Targeting Framework to ensure real time situational awareness;
- Expand the encounter management, analytical and reporting capabilities of the ATS Targeting Framework System;
- Continue to develop, improve, and implement ATS-P Threshold Targeting rules and protocols incorporating actionable intelligence to identify high-risk travelers prior to arrival or departure; and
- Continue to expand the number and quality of Threshold Targeting lookouts generated from joint targeting opportunities with other federal, state, local, and foreign agencies.

PPA: NATIONAL TARGETING CENTER (NTC)

	Perm. Pos.	FTE	Amount
2008 Actual	131	120	25,346
2009 Enacted	131	131	24,481
2010 Adjustment to Base	-	-	-974
2010 Current Services	131	131	23,507
2010 Program Change	22	11	2,848
2010 Request	153	142	26,355
Total Change 2009-2010	22	11	1,874

CBP requests \$26.4 million for the National Targeting Center. This is an increase of \$1.9 thousand over FY 2009 Enacted Budget. The request includes:

- increase of \$153,000 for pay annualization
- increase of \$235,000 for pay inflation
- increase of \$2,848,000 as a program increase to Analyze and Employ Information and Intelligence
- transfer out of \$1,362,000 to the new proposed Facilities Management Account

CURRENT SERVICES PROGRAM DESCRIPTION:

The priority mission of CBP's National Targeting Center (NTC) is to provide around-the-clock tactical targeting and analytical research support for CBP antiterrorism efforts. CBP officers, Border Patrol agents, and Field Analysis Specialists who are experts in passenger and cargo targeting for air, sea, and land operations in the inbound and outbound environments primarily staff the NTC. In addition to using existing databases and information to identify potential targets, the NTC also develops tactical targets from raw intelligence in support of CBP's mission to detect and prevent terrorists and terrorist weapons from entering the United States. In FY 2007, NTC Cargo (NTC-C) and NTC Passenger (NTC-P) operations were officially divided. The NTC-C staff moved to a new NTC-C facility in May of 2007.

In addition to using existing databases and information to identify potential targets, the NTC-P also develops tactical targets from raw intelligence in support of CBP's mission to detect and prevent terrorists and terrorist weapons from entering the United States. The NTC-P continues to utilize Terrorist Identities Datamart Environment (TIDE) in researching all possible TECS B10 lookouts encountered at ports of entry (POE's). Through the TIDE/Visa Revocation Unit (TVR), the NTC-P consults with both the Terrorist Screening Center (TSC) and the Terrorist Screening Operations Unit (TSOU) in determining identity and a course of action, thus providing guidance to the POE.

The NTC-C Cargo Unit (CU) provides cargo research and analysis on positive TIDE passengers, responds to research requests from CBP domestic and Container Security Initiative ports, and conducts cargo research for NTC-P and NTC-C liaisons. Additionally, the CU conducts national cargo sweeps in the Automated Targeting System, supports Intelligence Driven Special Operations (IDSOs), and conducts Weapons of Mass Destruction/Weapons of Mass Effect (WMD/WME), agro-terrorism, and bio-terrorism rules development. The NTC-C will continue to provide support to CBP's CSI and Secure Freight Initiative. The NTC-C has dedicated staff to support and coordinate the International Container Scanning (ICS) component of SFI. The program utilizes remote technology to facilitate real time scanning and monitoring of cargo/containers destined to the United States from select foreign ports. Targeting decisions are made based on container images, radiation alarm profiles, and cargo descriptions provided from overseas.

FY 2008 accomplishments include:

- Coordinated and delivered the document assessment tool (DAT) to the land border environment. The NTC-P supported the expansion of the DAT program with targeting and analysis related to DAT document alert responses developed at the ports of entry;
- Coordinated and supported ESTA vetting;
- Expanded the NTC-C to continue remote targeting and CSI support roles. The remote targeting expansion for FY 2008 will include Haifa and Ashdod, Israel; and
- Expanded the NTC's ability to identify watch-listed individuals who are connected to businesses and cargo shipments and to disseminate quality research products and lookouts.

FY 2009 goals include:

- Enhancing NTC-P’s automated systems in an effort to identify passengers with possible ties to terrorist activities;
- Expanding the NTC-C support and coordination of the ICS component of SFI by increasing the number of ports in which NTC-C utilizes remote location technology to facilitate real time scanning and monitoring of cargo/containers destined for the U. S. from selected foreign ports; and
- Enhancing research efficiency of positive TIDE matches to identify possible links between terrorist related passenger events.

FY 2010 goals include:

- Continuing to foster relationships with the intelligence community both internal and external to DHS to insure current trends and threats are addressed by NTC-P targeting; and
- NTC-P’s TVR Unit will continue to maintain a close working relationship with members of the TIDE community including the National Counter Terrorism Center (NCTC), the TSC, and the TSOU in an effort to prevent terrorist threats to our national security. In addition, the TIDE Unit in a joint effort with the TIDE community will review policies and procedures to streamline the WATCHLIST vetting process.

PPA: AT THE PORTS TRAINING

	Perm. Pos.	FTE	Amount
2008 Actual	26,980
2009 Enacted	24,778
2010 Adjustment to Base
2010 Current Services	24,778
2010 Program Change
2010 Request	24,778
Total Change 2009-2010

CBP requests \$24.8 million for At the Ports Training. There is no change from the FY 2009 Enacted Budget.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Office of Training and Development (OTD), through the National Training Plan (NTP), provides CBP with a comprehensive and accurate needs assessment of all standard, core, and recurring training. The NTP provides CBP’s headquarters and field managers an opportunity to advance the Secure Border Initiative by bringing the workforce together to train. The NTP also emphasizes CBP’s anti-terrorism mission as a strategic imperative, providing a robust menu of anti-terrorism related courses of every level of sophistication and covering a wide range of

specialization. The NTP will continue to modernize and streamline the training and development infrastructure and ensure support of pivotal training such as firearms and tactical training, leadership, and advanced training programs. CBP will continue to utilize the NTP to successfully plan and execute training resources to effectively meet the ever expanding and evolving mission.

CBP Field Operations Academy

The CBP Field Operations Academy is located at the Federal Law Enforcement Training Center in Glynco, Georgia. The Academy is responsible for the development and delivery of basic, mid, and advanced-level training programs for mission critical occupations (e.g., CBP officers, Agriculture Specialists, Import Specialists, and Entry Specialists). This training represents key components of the goal to combat terrorism, improve border security, improve inspection and control, and facilitate trade.

OTD/Use of Force Policy (UFPD)

The OTD/Use of Force Policy Division is responsible for the development, articulation and implementation of CBP use of force policy and related equipment. The OTD/UFPD seeks to research, evaluate, and procure the best possible equipment while providing comprehensive asset and resource management for tactical equipment and body armor. The OTD/UFPD has developed appropriate controls, standards, training, best practices, and policies in order to enhance the safety and performance of approximately 18,000 Customs and Border Protection (CBP) officers.

OTD/Leadership and Organization Development (OTD/LODD)

The OTD/Leadership and Organization Development Division designs, develops, delivers, and evaluates training and development activities for CBP supervisors, managers, and executives. The OTD/LODD provides core and advanced leadership/supervisory/management courses to meet organization, occupation, and individual needs.

OTD/Border Enforcement Training (OTD/BETD)

The OTD/Border Enforcement Training Division primarily engages in anticipating, identifying, initiating, and analyzing occupation specific training needs of CBP's approximately 36,000 uniformed workforce, and producing customer focused training portfolios that facilitate border enforcement readiness.

The fight against terrorism remains the top priority for CBP. In support of that primary mission, OTD will continue to oversee the anti-terrorism training program ensuring employee preparedness and skill development to confront the threat of terrorist incidents or infiltration along our borders.

OTD/Workforce Development (OTD/WFDD)

The OTD/Workforce Development Division partners with CBP offices to identify, articulate, and address the training needs of CBP's non-uniformed personnel. WFDD works to provide a comprehensive suite of training programs in support of CBP customer office priorities through the development and maintenance of detailed customer profiles including information on training projects and funding, active courses, and workforce demographics.

Focus areas of training include trade training (training for Import Specialists, Entry Specialists, Drawback Specialists, Regulatory Auditors, International Trade Specialists, other revenue positions, and attorneys), information technology, intelligence and operations coordination training, training for international assignments, cross-occupational training, project/program management certification, and CBP Tuition Assistance Program (TAP).

OTD/HQ Other Training

OTD/Headquarters sponsors other basic and specialized training programs for various occupations within CBP. These training programs, including Canine Office of Field Operations training, are funded through the NTP but are often coordinated with other NTP Training Leads, CBP organizations, and program managers for scheduling, facilities, instructors, etc.

PPA: BORDER SECURITY AND CONTROL BETWEEN THE POE’S

	Perm. Pos.	FTE	Amount
2008 Actual	20,144	16,891	3,031,697
2009 Enacted	22,787	21,466	3,426,455
2010 Adjustment to Base	(39)	1,282	70,529
2010 Current Services	22,748	22,748	3,496,984
2010 Program Change	52	26	8,024
2010 Request	22,800	22,774	3,505,008
Total Change 2009-2010	13	1,308	78,553

CBP requests \$3.5 billion for Border Security and Control between the POE’s. This is an increase of \$78.6 million over FY 2009 Enacted Budget. The request includes:

- increase of \$24.0 million for pay annualization, and \$36.9 million for pay and non-pay inflation
- decreases of \$56.5 million non-recurring costs for relocations, radios, and vehicles, and \$83.9 million transferred to the Facilities Management account
- increase of \$129.6 million for annualization of FY 2008 initiative for additional 3,000 BP agents and 366 operational support and mission support personnel
- increase of \$38.8 million for annualization of 2,200 BP agents and 424 operational support and mission support personnel and 17 facilities management support positions
- program increases of \$8.0 million for 44 BP agents and 8 operational support and mission support personnel for Combating Southbound Firearms and Currency Smuggling
- decrease of \$18.4 million (39 positions/FTE) to reflect the permanent realignment of funds from this PPA to the Air and Marine Salaries PPA

CURRENT SERVICES PROGRAM DESCRIPTION:

The National Border Patrol Strategy articulates one clear, strategic mission for the Border Patrol: To establish and maintain control of the border of the U.S. between the ports of entry. The strategic goal includes interdicting illegal aliens, smugglers, narcotics and other contraband

entering the U.S. Since the terrorist attacks of September 11, 2001, preventing terrorists and terrorist weapons from entering the U.S. was added to the Border Patrol's strategic goal.

The Border Patrol developed five objectives to support the national strategy. Each objective further identifies the intended mission outcome and focus of the Border Patrol's operational planning and execution. The objectives are: (1) Establish a substantial probability of apprehending terrorists and their weapons as they attempt to enter illegally between the ports of entry; (2) Deter illegal entries through improved enforcement; (3) Detect, apprehend, and deter smugglers of humans, drugs and other contraband; (4) Leverage Smart Border Technology to multiply the effect of enforcement personnel; and (5) Reduce crime in border communities and consequently improve the quality of life and economic vitality of targeted areas. The National Border Patrol Strategy ensures that the Border Patrol deploys the appropriate mix of resources and employs appropriate tactics with the end state objective of consistently being able to detect, identify and classify, respond and resolve all illegal entries.

The Secure Border Initiative (SBI) is a comprehensive approach to immigration enforcement and directly supports the National Border Patrol Strategy. The SBI focuses broadly on two major enforcement themes – border control and immigration enforcement within the U.S. Fully controlling the border requires preventing illegal immigration, as well as security breaches, while interior immigration enforcement focuses on locating and removing aliens who are present in the U.S. in violation of U.S. law. Both the border control and interior enforcement strategies are developed to ensure that all enforcement efforts are prioritized based on the two overarching priorities of SBI – national security and public safety.

Achieving full control of the border and effectively enforcing the law within U.S. borders requires *a transformation in the way these issues have been viewed*. Specifically, it requires integrating additional staff, new technology, and enhanced infrastructure investment, as well as a new regime of regulations and legislative proposals. In developing the SBI, DHS is taking an integrated systems approach to the problem. The entire immigration enforcement system requires review, beginning with the gathering of immigration-specific intelligence and the detection of illegal border crossings, followed by apprehension, processing, transportation, and detection of the alien, and ending with the alien's removal from the U.S. A systematic approach will deploy all of these tools in stages, allowing each stage to build on the success of the earlier stages.

The SBI unified border control strategy encompasses both the northern and southern land borders and the interdiction of cross-border violations between the ports of entry and at the official ports of entry. The three main goals are:

- Detect and respond to all cross-border crime
- End “Catch and Release” of Non-Mexican Illegal Aliens
- Deter cross-border crime

Through the strategy, CBP will funnel all traffic to the U.S. through ports of entry where there is a greater level of control. The border environment is extremely complex, encompassing rural, urban and remote areas, as well as extreme climate variations and terrain. Therefore, any

strategy must be flexible and capable of being implemented in a manner that best suits individual needs and requirements.

The Border Patrol's National Strategy is based on deploying the appropriate mix of resources – personnel, tactical infrastructure and technology – to gain control of the border. A significant Border Patrol initiative is to reach a staffing level of 20,019 Border Patrol agents by September 30, 2009. To support the increase in Border Patrol agents, CBP will hire an appropriate number of operational and mission support personnel and it will upgrade its facilities to ensure the new personnel are adequately supported. CBP also plans to significantly add to its inventory of permanent tactical infrastructure and technology deployments on the border. In FY 2009, CBP will continue to deploy resources developed through CBP's *SBI*net program. The new resources will include technology solutions, such as sensors and cameras, to increase the Border Patrol's ability to detect illegal entries and to provide greater situational awareness. In addition, *SBI*net will provide new tactical infrastructure, such as fences and vehicle barriers, to further enhance the Border Patrol's ability to secure the border.

The Border Patrol establishes and maintains effective partnerships, formal and informal, with other federal, state and local law enforcement agencies, as well as other federal agencies that have an interest in the border regions. Further, the Border Patrol maintains international partnerships to enhance border security primarily with agencies of the governments of Mexico and Canada. A number of these partnerships are described below.

Operation Arizona Denial

Operation Arizona Denial 2008-2009 is designed to provide a level of deterrence that will incrementally bring and maintain effective control to prioritized areas of the border within the Tucson Sector. The purpose of the operation is to augment the Tucson Sector in the continued expansion of increased levels of effective control and to support the mission of anti-terrorism. When achieved, each prioritized area will serve as a base from which to expand effective control. As priorities advance, resources, such as *SBI*net, tactical infrastructure enhancements, and station manpower enhancements, will be in place to ensure that achieved gains are sustained.

Arizona Denial General Enforcement Strategy represents a four-faceted approach

- 1) Break Smuggling Cycle
- 2) Operational Coordination
- 3) Intelligence Fusion
- 4) Focused Enhanced Enforcement Operations

Break Smuggling Cycle

Four programs will be utilized to separate illegal aliens who have been granted voluntary return from the smuggling organizations that are waiting for them upon that return. These programs include the Arizona Denial Prosecutions Initiative (ADPI), the Alien Transfer and Exit Program (ATEP), and the Interior Repatriation Program.

- 1) Nogales Processing Center
- 2) Prosecutions-Based Initiative (Operation Streamline)

Zero-Tolerance Prosecutions – 40-100 per day

- 3) Alien Transfer Exit Program
- 4) Coordinate with Yuma, Arizona, and San Diego, California to exchange 100 aliens per day. Priority: drivers, guides, and recidivists not amenable to prosecution.

Operational Coordination

Create partnerships with law enforcement agencies and other stakeholders to coordinate enforcement efforts in support of sector operations.

Intelligence Fusion

Bring CBP and partner agency intelligence personnel together in a single center where information can be fused, analyzed, and used to create tactical and operational intelligence driven operations.

Focus Enhanced Enforcement Operations

Rather than being spread throughout the sector, resource enhancements will be focused in support of operations in a priority area. Each individual enforcement assignment, operation, and initiative will be used to address one or more of six prioritized border areas of focus.

- Focus Operations:
 - Operation Corkscrew
 - Operation Arrowhead
 - Operation Lightning Strike
- Traffic checkpoint Operations
 - Operational on SR)-82, SR-85, SR-86, FR-15, Interstate19 and Arivaca Road.

Operation Arizona Denial provides the roadmap that establishes station and sector priorities for operational execution.

Operation Streamline

Operation Streamline is a zero-tolerance, prosecution-based deterrence initiative that attaches a penalty to the act of illegally entering the U.S. Operation Streamline was envisioned to address three components: arrest, prosecution, and removal. Under the concept of the Operation, the sector's Chief Patrol Agent designates a specific geographic area as a zero-tolerance zone and focuses his resources to ensure a high probability of apprehension and criminal prosecution.

With the cooperation of the U.S. Attorney's Office and the U.S. Marshals Service, virtually all undocumented aliens apprehended within the designated geographic location are criminally prosecuted for their illegal entry under 8 USC 1325. The deterrent effect of this program has had pronounced results on the number of aliens attempting illegal entry/re-entry. By reducing the volume of illegal entries, the Border Patrol has greater flexibility to focus resources on apprehending terrorists, terrorist weapons, and smugglers of humans, drugs, and other contraband illegally entering the U.S.

Operation Streamline has proven to be beneficial and is a key component to achieving significant ground and effective control of the border. Operation Streamline has been showcased to both federal and state Senators and Representatives, along with the public, as a best practice and effective utilization of existing resources.

Special Operations Group (SOG)

SOG is under the direction of the Border Patrol's Special Operations Division (SOD), and has three component units: Border Patrol Tactical Unit (BORTAC), Border Patrol Search, Trauma and Rescue (BORSTAR), and the National Special Response Team (NSRT) – each responsible for a different skill set, but often working in close coordination with each other to adequately address an all threats mission profile.

Recently, the Border Patrol established, and continues to build upon, the SOG Headquarters element with full deployment capability on Biggs Army Airfield (AAF), El Paso, Texas. Agents assigned to this office are routinely deployed throughout the U.S. in support of the Border Patrol National Strategy and are at the ready to address Emergency Support Functions (ESFs), as outlined in the National Response Framework.

BORTAC remains CBP's premier tactical response team. BORTAC is summoned for difficult and high-risk missions – both nationally and internationally. In FY 2008, BORTAC became part of SOG. BORTAC has updated and restructured its facilities at Biggs Army Airfield in El Paso, Texas, as it transitioned into the SOG national facility. BORTAC added a new classroom facility, as well as an office complex at Biggs AAF to accommodate the newly formed SOG. There was an addition of a new classroom and there is currently construction of a new rappel tower, obstacle course, and live fire multi-building training complex located at McGregor Range, New Mexico. BORTAC trained its active personnel on their Mission Essential Tasks List and hosted numerous advanced skills training sessions for both NSRT and BORTAC agents. BORTAC has preformed joint SOG missions and worked in conjunction with the multiple local, state and federal law enforcement agencies in both training and operational environments. In the future, BORTAC will continue to train its members to improve its readiness for response to threats of national security.

BORSTAR is comprised of Border Patrol agents with specialized skills and training. In addition to proficiently conducting the primary duties of a Border Patrol Agent, BORSTAR agents have advanced training in search and rescue, emergency medical treatment, rope rescue, water rescue, incident command management, communications, and tactical medical interventions.

BORSTAR provides rapid response to search and rescue (SAR) requests and medical calls involving Border Patrol agents, civilians, and illegal aliens throughout the operational areas of the Border Patrol.

Furthermore, BORSTAR provides a search, rescue, and medical response to acts of terrorism, potential terrorism, and natural disasters throughout the U.S. These duties are often in conjunction with local, county, state, federal, and international entities.

In the future, BORTAC will continue to train its members to improve its readiness for response to threats of national security. BORTAC will continue to improve its facilities to prepare for the influx of the full time operators and growth in the SOG national facility.

The possibility of widespread bio-terrorism and other pandemic perils remains a paramount concern for CBP and other federal, state, and municipal entities. Border Patrol is a major participant/facilitator in the CBP Continuity of Operations Plan (COOP) and will continue to build on established partnerships in an effort to rapidly respond and mitigate the impact of a catastrophic incident, be it an act of terrorism or a natural disaster.

Border Patrol, in coordination with the Office of Intelligence and Operations Coordination, has established Law Enforcement Technical Collection Centers (LETCS) to improve intelligence collection and dissemination capabilities among the 20 sectors that comprise the field headquarters element. The best practices established will streamline and standardize the methodologies used to collect, analyze, and disseminate actionable intelligence.

Interstate 19 (I-19) Checkpoint

The Border Patrol is tasked with securing the Nation's borders between the ports of entry using a multi-tiered enforcement strategy. A major component of this strategy includes the strategic placement of checkpoints in tactical locations that contributes significantly to gaining effective control of the Nation's borders.

Interstate 19 is the major route of egress from the Nogales Area of Operation, and this causes the majority of illegal traffic that enters outside downtown Nogales, Arizona to funnel into the I-19 corridor, which makes it a natural "choke point". The I-19 checkpoint (third tier) is currently equipped as a temporary checkpoint despite remaining at a fixed location and is slated to become a permanent checkpoint. However, despite the current lack of permanent infrastructure, the I-19 checkpoint effectively removes the highway as a route of egress from the border. This gives agents a credible opportunity to identify and apprehend illegal aliens and narcotics smugglers as they attempt to transit through, or circumvent the checkpoint.

Border Patrol International Liaison Unit (ILU)

The mission of the International Liaison Unit is to create and maintain positive working relationships and to foster alliances with foreign counterparts in order to increase border security. The alliances established will maintain open communications and mutual respect with and between foreign and domestic law enforcement counterparts. The ILU builds partnerships and enhances border security awareness in support of the National Border Patrol Strategy.

In March 2008, representatives from San Diego, El Centro, Yuma, Tucson, El Paso, Marfa, Del Rio, Laredo, Rio Grande Valley and Border Patrol met in Dallas, Texas, for an ILU Performance Measure Workshop. The workshop was convened to establish and review the policy and standard operating procedure, identify goals and objectives, and link them to strategic goals and objectives of the National Border Patrol Strategy. It was also established to standardize the Liaison Program. The workshop resulted in a written policy for the ILU.

The ILU strategic goals are:

1. Establish, develop and maintain effective relationships of trust and confidence with individuals representing their foreign government agencies;
2. Identify and develop common law enforcement objectives with foreign governments to combat border crime;
3. Cultivate and reinforce commitment with foreign and domestic law enforcement communities;
4. Develop and maintain information sharing with foreign and domestic law enforcement agencies.
5. Agents serving under the ILU focus and engage in activities that complement and support current operations and enforcement strategies.
6. The strategies of the ILU are in direct support of the Border Patrol Mission and National Strategy, with strategic links to the following objectives:
 - a. Establish essential probability of apprehending terrorist and their weapons as they attempt to illegally enter the U.S. between the ports of entry;
 - b. Deter illegal entries through improved enforcement;
 - c. Apprehend and deter smugglers of people, narcotics and other contraband;
 - d. Reduce crime in border communities and consequently improve the quality of life and economic vitality.

The ILU also paved the way to programs like the Operation Against Smugglers Initiative on Safety and Security (OASISS). In March 2005, the U.S. and Mexico agreed to establish a bilateral, standardized prosecution program. The product of that agreement was OASISS. The OASISS program was developed to address the increasing amount of alien smugglers across the southwest border. The program allows for alien smugglers apprehended in the U.S. to be prosecuted by the Government of Mexico. This program is very effective in areas along the southwest border that are affected by guidelines that make it difficult to prosecute certain alien smuggling cases. In FY 2007, 268 OASISS cases were generated, with 254 cases being accepted by the Government of Mexico. As of the middle of May, 794 cases were generated, and the Government of Mexico had accepted over 704 of those cases. OASISS has proven to be an invaluable tool to the Border Patrol. It also rewards the efforts of the agents by giving them another tool to be able to put criminals behind bars.

The liaison efforts with Mexican authorities that have occurred and continue to take place along the southwest border have essentially bridged the communication gap between the U.S. and Mexico. This is an extraordinary accomplishment when one considers the economic vitality of the region and the political sensitivities between the two countries. In light of the newly established policy and standard operating procedures guiding the ILU program, it is expected that the program will flourish as it strengthens relationships with foreign governments.

Forward Operating Bases (FOBs)

Use of Forward Operating Bases began to address remote crossing points that have historically been very difficult for agents to patrol due to the vast distances and the time involved to access these areas. FOBs have proven to be very beneficial to the detection and deterrence of illegal

entries in the areas in which they have been deployed and are now utilized in areas wherever the Border Patrol has a need to extend its reach.

The use of FOBs directly supports the Border Patrol's mission of gaining, maintaining and expanding effective control of the Nation's borders. As the Border Patrol continues to gain control of the border, illegal migration activities and smuggler tactics shift in an attempt to identify and exploit vulnerabilities in border security measures, particularly in the more remote areas of the border. Strategically placed FOBs afford a distinct advantage in that they provide a cost effective, secure staging facility that allows agents to be forward deployed in close proximity to the border – thereby improving Border Patrol's capability to rapidly respond to and counter these shifts in illicit cross-border traffic.

Surge Operations

The Border Patrol authorizes the implementation of surge operations to maintain or gain effective control of the border through improved enforcement. The Border Patrol's strategy for implementing surge operations across the southwest border is based on threats, risks, vulnerabilities, and the resources of partner agencies. These operations increase the probability of apprehending terrorists who are attempting to illegally enter the U.S. between the ports of entry, as well as their weapons. They also assist in the reduction of crime in border communities. Surge operations are implemented to proactively address intelligence, seasonal migration, and smuggling trends.

Border Patrol National Native American Program

The mission of the Border Patrol National Native American Program is to facilitate new partnerships, improve relationships, and increase trust throughout the Native American Indian tribes that have a nexus to the U.S. border. The program champions partnerships between tribal law enforcement, various Native American organizations, and the Border Patrol to support the national strategy. The Border Patrol National Native American Program is operational in twelve of the Border Patrol sectors. The program acts as a conduit between the Border Patrol and tribal, local, state and federal law enforcement agencies, as well as tribal councils located along both the Southwest and northern borders.

The program was designed to support ongoing enforcement operations within the respective agencies, while enhancing the liaison between them. As the relationship solidified, contact and responses to illicit activity along the borders has increased, allowing for joint law enforcement support for both Border Patrol and Tribal Law enforcement. Routine communication and liaison between some sectors and Tribal Council officials has led to enhancing the security and safety of the agents who are working in dangerous areas along the border. Through the Border Patrol National Native American Program, information-sharing efforts have allowed the Border Patrol sectors to conduct All-Terrain Vehicle training, search and rescue training, advanced four-wheel-drive training, and vehicle stops.

The Border Patrol National Native American Program is working to standardize policies and procedures and is proactively developing performance measures for the program to evaluate and measure the effectiveness of its initiatives.

Conclusion

In FY 2010, the Border Patrol will continue to further its mission by using a variety of programs and initiatives to support strategic objectives. The Border Patrol will continue to plan for an appropriate mix of additional resources to achieve its strategic goal. A major future objective of the Border Patrol is to ensure that its workforce is highly mobile so that it can rapidly adjust to changes in the border security environment. The Border Patrol will continue to reevaluate its existing programs and planned initiatives as the threats and vulnerabilities to border security change in response to newly deployed border enforcement resources.

Significant Accomplishments in FY 2008 include:

- Brought an additional 158 miles of border under effective control between October 1, 2007, and September 30, 2008, by deploying the right mix of new resources and enhancing enforcement operations through intelligence activities.
- Hired 2,576 new Border Patrol agents.
- Coordinated and implemented initiatives to gain and maintain control of the border:
 - Utilized existing traffic checkpoints and deployed tactical checkpoints as part of a defense-in-depth strategy
 - Maintained Border Intelligence Centers (BICS), which serve as a critical tactical intelligence resource center that has 24-hour availability to support the Border Patrol mission along the Nation's border
 - Maintained the Border Patrol International Liaison Unit (ILU) to create and maintain positive working relations and develop alliances with foreign counterparts
 - Maintained the Border Security Evaluation Team (BSET) with a purpose to serve as a mechanism for the northern Border Patrol sectors to evaluate the level of border security within the outlying border regions of their respective sectors
 - Maintained the Integrated Border Enforcement Team (IBET), which consists of five core agencies with law enforcement responsibilities within the border area that share information and intelligence, and work coordinated operations and share resources to maximize border enforcement efficiency and effectiveness
 - Continued with Operations "Red Bull" and "Uniforce", which have strategic goals to integrate the federal, state, and local law enforcement efforts that are focused on cross-country, over-the-road smuggling into a coordinated multi-agency, multi-jurisdictional law enforcement effort with a common objective.
- Sustained established "Best Practices"
 - Operation Against Smugglers Initiative on Safety and Security (OASISS), through bi-national cooperation with the Government of Mexico, prosecutes smugglers and guides who do not meet the prosecution thresholds in the U.S. Engaging the Government of Mexico in border efforts like OASISS assists CBP in more swiftly gaining control of the border.

- Operation Streamline is a progressive enforcement effort in the Del Rio, Laredo, and Yuma Sectors that combines intensive prosecution with expeditious removal. The effort is a collaboration between personnel and resources from CBP's Office of Border Patrol and Office of the Chief Counsel, as well as the U.S. Attorney's Office, ICE's Office of Detention and Removal (DRO), the U.S. Federal courts, the Executive Office for Immigration Review, and the U.S. Marshals Service.
- Operational Requirements Budget Based Planning (ORBBP) - the tool used by the Border Patrol to implement the National Border Patrol Strategy. It is a rigorous and comprehensive methodology that takes a risk-based approach in determining resource requirements, deployments, and operational tactics. ORBBP is a dynamic process that recognizes the ever-changing border security environment and examines all factors, current and future, internal and external, affecting border security. It ensures that the Border Patrol engages the appropriate resources and tactics against current and projected threats and vulnerabilities. Using this methodology, the Border Patrol met or exceeded all of its performance targets for FY 2008 through strategic placement of resources.

FY 2009 planned accomplishments include:

- Hired an additional 936 agents in the first quarter of FY 2009 for a total of 18,331 agents on board as of December 31, 2008, which met the Presidential mandate of having at least 18,319 agents on board by the end of the 2008 calendar year;
- Hiring an additional 1,688 agents in the second, third and fourth quarters to reach a total of 20,019 agents by the end of the fiscal year;
- Bringing an additional 58 miles of border under control, for a total of 815 miles of border under control;
- Relocating 482 Border Patrol Agents from the southwest border to the northern border based on operational requirements and threat assessments by utilizing a wide variety of staffing mechanisms such as interns, Resident Agent programs, reinstating of former employees, full-paid moves for hard-to-fill locations, and the new Voluntary Relocation Program (VRP). This program is a comprehensive approach to meeting the goal of providing the northern border sectors with the necessary manpower resources to quickly mitigate threats to the homeland along the northern border.

The Border Patrol anticipates FY 2009 to be a year of unprecedented growth and accomplishment. Several factors will contribute to the successes anticipated. In addition to the efforts already outlined, new strategies and methodologies will be adopted to ensure that continues to be a proactive, intelligence-driven law enforcement operation.

A new initiative to establish a Director for the Special Operations Division is being pursued. The rationale behind this initiative focuses on increasing the response, operational, and training capabilities of the Special Operations Divisions within the Office of Border Patrol. The goal is to provide a highly mobile, rapid response capability to react to specific terrorist threats or incidents of national significance, and to provide operational support to the sector Chiefs.

FY 2010 planned accomplishments include:

- Maintaining effective control of 815 miles of border;
- Hiring 2,000 new Border Patrol agents to backfill attrition;
- Adding 367 Border Patrol agents to the northern border in order to achieve the goal of 2,212 agents assigned to the northern border by the end of FY 2010;
- Continuing to provide the Ground Transportation Contract capability along the southwest border, which frees up Border Patrol Agents and ICE/DRO personnel to perform their enforcement duties as opposed to enforcement support roles;
- Hiring 44 additional Border Patrol agents in support of the southbound initiative to combat firearms and currency smuggling.

PPA: BETWEEN THE PORTS TRAINING

TRAINING	Perm. Pos.	FTE	Amount
2008 Actual	130	76	50,630
2009 Enacted	130	130	74,815
2010 Adjustment to Base	-	-	(23,064)
2010 Current Services	130	130	51,751
2010 Program Change	-	-	0
2010 Request	130	130	51,751
Total Change 2009-2010	-	-	(23,064)

CBP requests \$ 51.8 million for Between the Ports Training. This is a decrease of \$23 million from the FY 2009 Enacted Budget. The request includes:

- Non-recur of \$ 22,100,000 for Training for Border Patrol
- transfer out of \$ 964,000 to the new Facilities Management Account

CURRENT SERVICES PROGRAM DESCRIPTION:

The Office of Training and Development (OTD), through the National Training Plan (NTP), provides the CBP’s national leadership with a comprehensive and accurate needs assessment of all standard, core, and recurring training. The NTP provides CBP’s headquarters and field managers an opportunity to advance the Secure Border Initiative by bringing the workforce together to train. The NTP emphasizes CBP’s anti-terrorism mission as a strategic imperative, providing a robust menu of anti-terrorism related courses of every level of sophistication and covering a wide range of specialization. The NTP will continue to modernize and streamline the training and development infrastructure and ensure support of pivotal training, such as firearms and tactical training, leadership, and advanced training programs. CBP will continue to utilize the NTP to successfully plan and execute training resources to effectively meet the ever expanding and evolving mission.

Border Patrol Academy

The Border Patrol Academy identifies and provides core operational training for Border Patrol agents to accomplish their mission of protecting the boundaries of the U.S. The Border Patrol Academy is currently located in Artesia, New Mexico. Basic training for Border Patrol agents is provided at Artesia. Advanced-level training and instructor training is held at Charleston and is also conducted in field locations.

OTD/Use of Force Policy Division (UFPD)

OTD/UFPD is responsible for the development, articulation, and implementation of CBP use of force policy and the related equipment. OTD/UFPD seeks to research, evaluate and procure the best possible equipment while providing comprehensive asset and resource management for tactical equipment and body armor. OTD/UFPD has developed appropriate controls, standards, training, best practices, and policies in order to enhance the safety and performance of approximately 14,900 Border Patrol agents.

OTD/Leadership and Organization Development Division (OTD/LODD)

OTD/LODD designs, develops, delivers, and evaluates training and development activities for CBP supervisors, managers, and executives. OTD/LODD provides core and advanced leadership/supervisory/management courses to meet organization, occupation, and individual needs.

OTD/Border Enforcement Training Division (OTD/BETD)

OTD/BETD primarily engages in anticipating, identifying, initiating, and analyzing occupation specific training needs of CBP's approximately 33,500 uniformed workforce, and producing customer focused training portfolios that facilitate border enforcement readiness.

The fight against terrorism remains the top priority for CBP. In support of that primary mission, OTD will continue to oversee the anti-terrorism training program ensuring employee preparedness and skill development to confront the threat of terrorist incidents or infiltration along the Nation's borders.

Border Patrol Agent Training

Training courses focus on technical, intelligence, or specialized training for Border Patrol agents. Training courses include: Border Patrol Technical Course for Supervisors; Border Patrol Agent-In-Charge (PAIC) Intel Course; Emergency Medical Technician Certification; BORSTAR training; and Canine training.

Other Training

OTD/Headquarters sponsors other basic and specialized training programs for various occupations offered CBP-wide. These training programs are funded through the NTP but are often coordinated with other NTP Training Leads, CBP organizations, and program managers for scheduling, facilities, instructors, etc.

PPA: AIR AND MARINE OPERATIONS – SALARIES

	Perm. Pos.	FTE	Amount
2008 Actual	1,662	1,366	\$262,148
2009 Enacted	1,801	1,732	271,679
2010 Adjustment to Base	70	139	18,835
2010 Current Services	1,871	1,871	290,514
2010 Program Change	144	72	19,115
2010 Request	2,015	1,943	\$309,629
Total Change 2009-2010	214	211	37,950

CBP requests \$309.6 million for Air and Marine Operations. The request is \$38.0 million over FY 2009 Enacted Budget. The request includes:

- \$ 2.1 million increase for pay annualization
- \$ 3.1 million increase for pay inflation
- \$ 6.2 million increase for marine units annualization
- \$18.4 million increase for 39 FTE realigned from Border Patrol salaries
- \$ 6.3 million decrease for non-pay inflation
- \$ 4.7 million transferred out to the new Facilities Management account
- \$19.1 million increase program increase for Air and Marine staffing to support 144 positions

CURRENT SERVICES PROGRAM DESCRIPTION:

CBP Air and Marine (A&M) secures the borders against terrorists, acts of terrorism, drug smuggling, and other illegal activity by operating air and marine branches at strategic locations along the borders. Multi-mission aircraft with advanced sensors and communications equipment provide powerful interdiction and mobility capabilities directly in support of detecting, identifying and interdicting suspect conveyances, and apprehending suspect terrorists and smugglers. CBP A&M maximizes the capabilities of air and marine assets through a cohesive joint air operations model for centralized command and control and a responsive and integrated control system for decentralized execution.

CBP A&M partners with numerous stakeholders in performing its missions throughout the continental United States and the Western Hemisphere. This includes domestic operations at the borders, source, transit and arrival zone operations, interior law enforcement support, and support to other agencies. In fulfilling the priority mission of CBP to protect the borders, CBP Air and Marine’s geographical mission has a strong focus along the southern border, with a recent expansion of coverage on the northern border.

IV. Program Justification of Changes

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and Expense
Justification of Program Changes
(Dollars in Thousands)**

Program Increase 1: Data Center Migration

Strategic Goal(s) & Objective(s):

DHS Goal 3: Protect Critical Infrastructure

Objective 3.1: Protect and Strengthen the Resilience of the Nation’s Critical Infrastructure and Key Resources

Objective 3.3: Improve Cyber Security

CBP Strategic Goal 1: Secure our Nation’s borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel;

Objective 1.1: Establish and maintain effective control of air, land, and maritime borders through the use of the appropriate mix of infrastructure, technology, and personnel; and Goal 2: Ensure the efficient flow of legitimate trade and travel across U.S. borders; Objective 2.1: Through the use of accurate advance information and modernized systems for cargo processing, expedite the processing of people, products, and conveyances at land border ports, airports, and seaports.

PPA: Headquarters Management and Administration

Program Increase: Positions: 0 FTEs: 0 Dollars: \$38,650

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$0
Program Increase							0	0	\$38,650
Budget Request	0	0	\$0	0	0	\$0	0	0	\$38,650

Description of Item

CBP requests \$38.65 million for data center migration (development) funding that will be used for the continuation of system and application migration to the two (Stennis and EDS) DHS Enterprise Data Centers for central DHS management in FY 2010.

Resources for the Data Center Migration will establish and transition the following services to EDS:

Project	Implementation FY 2010
Email	\$11,000
Project Server	\$500
Sharepoint	\$1,300
Worklenz	\$25
EDS Storage Replication	\$5,000
Project Management	\$4,000
Oracle RAC & Grid with Active	
Data Guard	\$5,525
Stennis LAN Upgrade	\$7,000
SAP	\$4,300
Total	\$38,650

Justification

The Data Center consolidation efforts will standardize IT resource acquisitions across Components, and streamline maintenance and support contracts, allowing for less complex vendor support and expediting response times in the event of an emergency. Benefits derived from consolidation are enhanced DHS IT security posture, improved information sharing with stakeholders, and increased operational efficiencies over time.

The data center migration includes:

- Discovery, migration planning, and scheduling activities specifically related to systems/applications that will transition to the DHS Data Centers in FY 2010
- Purchase of new equipment for placement in the DHS Data Centers as part of migration/transition efforts
- Installation of equipment racks at the DHS Data Centers
- Migration-related build-out of DHS Data Center infrastructure
- Transition of disaster recovery/backup/COOP (Continuity of Operations) capability to DHS Data Centers
- Installation of infrastructure support as part of system migrations at the DHS Data Centers
- Migration of CBP hardware, systems/applications to occupy rack space at the DHS Data Centers.

Impact on Performance (Relationship of Increase to Strategic Goals)

If funding is not provided, CBP will not have the additional capability to operate critical systems in multiple geographic locations during times of peace and national crisis, replicate and perform maintenance without impacting the mission, reduce our dependency on legacy architectures, or make our data more readily available to DHS and our intelligence partners.

Migration of CBP production systems in FY10 to the DHS Stennis and EDS Data Centers will enable DHS to fulfill its mission, strategic goals and business objectives to create “One Network, One Infrastructure, and One DHS.” Lack of migration will inflict a negative impact on CBP’s ability to address DHS OIG findings related to CBP’s disaster recovery posture, as outlined in *Disaster Recovery Planning for DHS Information Systems Needs Improvement*, OIG-IT-04-003, dated February 2005.

In alignment with DHS departmental goals to consolidate all component Data Centers into the Stennis and EDS Data Centers, CBP plans to continue our transition leadership role to migrate all systems in FY10. This will help us to modernize and advance existing services, thus improving data and information sharing, as well as interoperability.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and Expense
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 2: Combating Southbound Firearms and Currency Smuggling

Strategic Goal(s) & Objective(s):

DHS Strategic Goal: Protecting our Nation from Dangerous People and Goods

CBP Strategic Goal 1: Secure our Nation’s borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel

Objective 1.1: Establish and maintain effective control of air, land, and maritime borders through the use of appropriate mix of infrastructure, technology, and personnel

Strategic Goal 2: Ensure the efficient flow of legitimate trade and travel across U.S. borders

Objective 2.1: Through the use of accurate advance information and modernized systems for cargo processing, expedite the processing of people, products, and conveyances at land border ports, airports, and seaports

PPA: Border Security Inspection and Trade Facilitation at Ports of Entry and Border Security and Control Between the Ports of Entry

Program Increase: Positions 125 FTE 63 Dollars \$26,132*

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							129	129	\$19,702
Program Increase							125	63	\$26,132
Total Request	129	129	\$21,835	129	129	\$19,398	254	192	\$45,834

*\$26,132 reflects the amount after the realignment of \$.868M in rent associated with new positions, which will be reflected in the new Facilities Management account, Rent PPA.

Description of Item

CBP requests \$10 million to expand CBP’s License Plate Reader (LPR) Program to 58 outbound lanes on the southern border at the ports of entry (POE). An additional \$16.1 million is requested to hire 65 CBP officers, 44 Border Patrol agents and 16 support staff for this initiative that will also be dedicated to the outbound program and be deployed at and between the ports of entry.

(Dollars in thousands)

Personnel Cost (CBP officers, Border Patrol agents, support personnel)	\$ 16,132
Deployment of LPR to remaining 58 outbound lanes	\$ 10,000
Total	\$ 26,132

Justification

The post 9/11 emphasis has been primarily on in-bound passengers and cargo. However, with the increased threat to the United States as a result of the recent outbreak of violence along the southern border, CBP has begun to revamp its outbound strategies and activities for both passengers/travelers and for cargo. The primary focus is on mitigating the illegal export of firearms and currency from the United States into Mexico that are contributing to the violence, and to mitigate drug smuggling.

CBP's strategy to mitigate the border violence is to dedicate staff to conduct outbound inspections at and between the ports of entry and to interdict the smuggled currency and firearms that are contributing to violence and strengthening the drug cartels that perpetrate the drug trade and the violence. The expansion of the LPR Program on the southern border will assist CBP officers and Border Patrol agents in identifying anomalies in the travel patterns of southbound vehicles that are often indicative of persons trying to avoid detection for illegal behavior.

For FY 2010, the Office of Border Patrol is requesting \$8.0 million for 52 (44 agents and 8 support staff) positions to be dedicated to "Combating Southbound Firearms and Currency Smuggling."

Potential deployments of these enhancements will be in the positions of Border Patrol agents, canine teams, lead Border Patrol agents, intelligence agents and intelligence analysts. All positions will be assigned in a manner designed to increase the efficiency and the focus of CBP's southbound operations, to include increasing the presence of Border Patrol Agents assigned to Immigration and Customs Enforcement's Border Enforcement Security Task Force (BEST). Additionally, increasing agents assigned to the Border Patrol LETC program will provide CBP the ability to execute intelligence driven law enforcement actions.

For FY 2010, the Office of Field Operations (OFO) is requesting \$ 8.1 million for 73 (65 Customs and Border Protection officers and 8 support staff) positions to be dedicated to "Combating Southbound Firearms and Currency Smuggling." These positions will be used to establish dedicated outbound enforcement teams along the southwest border, which will provide the OFO with the capability to conduct sustained and recurring outbound enforcement activities. Presently, OFO conducts short term operations as resources allow.

Seizure data over the past two years demonstrate an increasing threat for weapons and currency smuggling outbound to Mexico. In FY 2007, OFO initiated 353 southwest seizures totaling \$13.7 million in currency. This increased in FY 2008 to 450 outbound currency seizures, totaling \$12.5 million in currency. Similarly, OFO seized 316 weapons in FY 2007 and 257 weapons in FY 2008.

The LPR program will support CBP's focus on "Combating Sound Bound Firearms and Currency Smuggling." The LPR is a tool that consists of cameras and sensors that captures an image of a vehicle's license plate, converts the image to text showing the state/province of origin and the alphanumeric characters, formats the data, and sends a primary vehicle query to TECS. The LPR tool automatically locates, reads, and communicates personal vehicle license plate information to the TECS system. TECS then automatically queries its database for law enforcement information associated with that license plate and provides the CBP officer or the Border Patrol agent with the response information.

The deployment of LPRs will provide for rapid accurate querying of the license plates through TECS and enable the interception of suspect vehicles, including terrorist-related vehicles, for which lookout records have been established. Furthermore, LPRs will improve the selectivity of low and high risk vehicles and people, while expediting the clearance process there for expediting low-risk travelers while making it easier for officers/agents to select and target high-risk vehicles.

Currently, there are a total of 416 LPRs installed, 358 LPR inbound primary inspection lanes, 52 outbound traffic lanes, and 3 commercial lanes installed at northern and southern border POEs. In addition to the LPRs installed at the POEs, there are also 3 LPR lanes installed at the Federal Law Enforcement Training Center (FLETC) in Glynco, GA. As it relates to LPRs being installed at Border Patrol (BP) checkpoints, there is one BP pilot site currently in progress at the Laredo: C-29 Checkpoint.

Impact on Performance (Relationship of Increase to Strategic Goals)

CBP's outbound program align to DHS Strategic Goal: Protecting our Nation from Dangerous People and Goods; CBP Strategic Goal 1: Secure our Nation's borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel; Objective 1.1: Establish and maintain effective control of air, land, and maritime borders through the use of appropriate mix of infrastructure, technology and personnel; Strategic Goal 2: Ensure the efficient flow of legitimate trade and travel across U.S. borders; and Objective 2.1: Through the use of accurate advance information and modernized systems for cargo processing, expedite the processing of people, products, and conveyances at land border ports, airports, and seaports.

CBP and the United States have an interest in mitigating the border violence on the southern border. With the resources requested, CBP will be able to begin focusing on its outbound mission. By applying these resources with a targeted emphasis to the outbound program along the southern border, CBP will greatly enhance its ability to intercept firearms and currency being smuggled into Mexico. This will help mitigate some of the violence that has engulfed the U.S. – Mexican border region. Further, by focusing and unifying our efforts and by increasing our operational efficiency, CBP will be better positioned to continue facilitating tourism and trade while enforcing the laws which protect our Nation.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and Expense
Justification of Program Changes**

(Dollars in Thousands)

Program Increase 3: Law Enforcement Enhanced Retirement

Strategic Goal(s) & Objective(s):

DHS Strategic Goal: Strengthen and Unify DHS Operations and Management

CBP: Goal 2: Ensure the efficient flow of legitimate trade and travel across U.S. borders
Objective 1.1: Establish and maintain effective control of air, land, and maritime borders through the use of the appropriate mix of infrastructure, technology, and personnel.

PPA: Border Security Inspections, Trade and Travel Facilitation at Ports of Entry (POEs)

Program Increase: Positions 0 FTE 0 Dollars \$25,000

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$200,000
Program Increase							0	0	\$25,000
Total Request	0	0	\$50,000	0	0	\$200,000	0	0	\$225,000

Description of Item

CBP requests \$25.0 million to partially fund the enhanced retirement benefit for Customs and Border Protection officers (CBPOs), which were provided by section 535 of the Consolidated Appropriations Act, 2008. This provision extended to CBPOs similar retirement benefits as are provided for law enforcement officers (LEO) in other organizations. This enhanced retirement package for CBPOs became effective on July 6, 2008, covering 19,865 officers:

- Who hold a position within the GS-1895 job series, or any future reclassification of this position;
- Whose duties include activities relating to the arrival and departure of persons, conveyances, and merchandise at Ports of Entry and
- Those employees within DHS who transfer directly to secondary supervisory or administrative positions after performing the above CBPO duties for a period of at least 3 years.

Justification

The law enforcement nature of CBP's homeland security mission demands the highest caliber of law enforcement professionals. CBPOs routinely make arrests, seize contraband, interact with dangerous travelers wanted for criminal acts, and perform actions that are physically demanding and strenuous. Further, CBPOs are held accountable for ensuring the security of our Nation and are required to complete law enforcement training, including: Firearms, Arrest Techniques, Defensive Tactics, and Officer Safety and Survival. CBPOs face the same risks and challenges as law enforcement personnel in other organizations.

The decisions that CBPOs make may have serious implications and may have grave security ramifications. In FY 2008, CBPOs:

- Inspected over 396.7 million travelers and more than 121 million cars, trucks, buses, trains, vessels and aircraft at 327 ports of entry – each inspection potentially places officers in harm's way and exposes them to dangerous individuals and situations;
- Seized more than 938,000 pounds of narcotics and arrested 26,000 persons wanted by various law enforcement agencies – potentially placing CBPOs in direct contact with dangerous criminals wanted for crimes nationwide such as rape, assault, drug trafficking, and murder;
- Intercepted 6,867 smuggled aliens, 27,887 fraudulent documents, processed over 224,000 inadmissible aliens (includes: Visa Waiver Refusals, Expedited Removal, Stowaways, Crew Detentions, Refused/Withdrawals, Voluntary Return), and processed 913 national security/ terrorist intercepts.

Impact on Performance (Relationship of Increase to Strategic Goals)

LEO retirement benefits align to DHS Strategic Goal: Strengthen and Unify DHS Operations and Management; CBP Strategic Goal 2: Ensure the efficient flow of legitimate trade and travel across U.S. borders; and Objective 1.1: Establish and maintain effective control of air, land, and maritime borders through the use of the appropriate mix of infrastructure, technology and personnel.

Through the extension of similar LEO retirement benefits to CBPOs, CBP will be able to recruit top employees while building a more effective and vigorous workforce for the future. Further, it will help CBP retain the highest caliber of employees. It will reduce CBP's vulnerability to the loss of its workforce by providing generous benefits that are on par with other LEOs.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and Expense
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 4: Western Hemisphere Travel Initiative (WHTI)

Strategic Goal(s) & Objective(s):

DHS Strategic Goal: Protecting our Nation from Dangerous People

CBP: Goal 2: Ensure the efficient flow of legitimate trade and travel across U.S. borders
Objective 2.1: Through the use of accurate advance information and modernized systems for cargo processing, expedite the processing of people, products, and conveyances at land border ports, airports, and seaports

PPA: Border Security Inspections, Trade and Travel Facilitation at Ports of Entry (POEs)

Program Increase: Positions 0 FTE 0 Dollars \$20,900

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							294	294	124,036
Program Increase							0	0	20,900
Total Request	205	103	\$225,000	294	250	\$139,973	294	294	144,936

Description of Item

CBP requests \$20.9 million for the continued support of the Western Hemisphere Travel Initiative (WHTI). The funding breakout follows (dollars in thousands):

Program Management (Contract Support)	\$ 2,000
Communications, Education, and Outreach Communication	\$ 2,000
Audits for Enhanced Driver's License (EDL) States, Tribal Entities and Time & Motion Studies coupled with Process Improvement Analyses	\$ 3,000
Deployment of WHTI Technology to Dual Use Lanes/Different Booth Configurations	\$ 10,000
Technical Solutions/Process Improvements for Pedestrians and Travelers Using Other Modes of Transportation	\$ 3,900
Total	\$ 20,900

Justification

WHTI is mandated by Section 7209 of the Intelligence Reform and Terrorism Prevention Act of 2004 (IRTPA; P.L. 108-458, as amended) and requires all travelers to present acceptable travel documents that WHTI will verify at the time of crossing. WHTI benefits CBP by providing a tool to conduct the necessary verification of identity and citizenship at the time of crossing. It benefits the traveling public by accelerating the verification process mandated by law to the extent possible with Radio Frequency Identification (RFID) Technology and communications technology.

As of mid-March 2009, 21 of the top 39 POEs were completed, accounting for 75 percent of the lanes that will be completed at land border ports of entry and over 80 percent of the total land border traffic in the nation. On the northern border, 82 lanes of a total of 162 lanes have been deployed and on the southern border, 206 lanes of a total of 223 lanes have been deployed. Three lanes will be deployed at the Federal Law Enforcement Training Center.

21 Ports Of Entry (POEs)			
Blaine, WA	Buffalo, NY	Brownsville, TX	Calexico East, CA
Calexico West, CA	Columbus, NM	Detroit, MI	Douglas, AZ
Eagle Pass, TX	El Paso, TX	Fabens, TX	Hidalgo, TX
Laredo, TX	Nogales, AZ	Otay Mesa, CA	Progreso, TX
Point Roberts, WA	Rio Grande City, TX	San Luis, AZ	San Ysidro, CA
Tecate, CA			

The proposed investment for FY 2010 will support the following elements:

- Program Management (Contract Support): The expanded requirements that have been identified for the expansion to the top 46 sites, additional reporting requirements and oversight reviews throughout 2010, plus review of additional ports for installation of WHTI technology requires continued program management support.
- Communications, Education and Outreach Communication: The Winter Olympic Games and Winter Paralympics Games will be held in British Columbia in early 2010. These high-profile events will require targeted communications to ensure that travelers are fully aware of the new WHTI document requirements, especially RFID-enabled documents, which are designed to facilitate the movement of the Olympic event traveler with minimal wait times.
- Audits for Enhanced Driver's License (EDL) states, tribal entities, and time and motion studies coupled with Process Improvement Analyses: audits of states' and tribal entities' processes for the issuance of WHTI-compliant travel documents, EDLs and Enhanced Tribal Cards (ETCs) are essential to verify adherence to signed business plans and Memoranda of Agreement and ensure the integrity of the issuance process. The wait time studies are necessary to gauge the effectiveness of the WHTI program implementation. They will determine if the facilitative technology deployed by WHTI has improved the flow of border crossings at the land border ports of entry. In addition, they will also be used to identify additional areas for improvement in the border crossing process.

- **Deployment of WHTI Technology to Dual Use Lanes/Different Booth Configurations:** The deployment of WHTI technology revealed that various mitigation strategies can be employed to reduce wait times at the border. These strategies include the deployment of WHTI technology to dual use lanes – commercial lanes that are also used to process passenger traffic during off-peak commercial hours. The implementation of stacked booths (multiple booths serving a single lane) requires the deployment of additional technology to ensure the smooth movement of travelers.
- **Technical Solution/Process Improvements for Pedestrian and Travelers Using Other Modes of Transportation:** During FY2008 approximately 288.7 million individuals entered the U.S. through a land border port of entry. Of this total, approximately 68.8 million pedestrians entered the U.S. in other than a private vehicle. All of these individuals are subject to the WHTI document requirements. To date, the WHTI program has focused on the majority of travelers who enter the U.S. in private vehicles. The WHTI program needs to begin assessing current processes for verifying the individuals arriving at the land border via other modes of transportation and make process improvements where practical. The experience gained by deploying RFID technology to land border ports of entry will enable the WHTI program to look at other modes, such as pedestrian, and apply process reengineering and/or deployment of improved technology to ensure document compliance as well as facilitate the border crossing experience.

Impact on Performance (Relationship of Increase to Strategic Goals)

WHTI aligns to DHS Strategic Goal DHS Strategic Goal: Protecting our Nation from Dangerous People; CBP Strategic Goal 2: Ensure the efficient flow of legitimate trade and travel across U.S. borders; and Objective 2.1: Through the use of accurate advance information and modernized systems for cargo processing, expedite the processing of people, products, and conveyances at land border ports, airports, and seaports.

By providing the requested funding, Congress will ensure an adequate funding level to maintain and operate the WHTI program that supports Departmental efforts to facilitate the efficient movement of people at the land border POEs. Without this funding, the WHTI equipment, technology, and infrastructure installed in FY 2008 and FY 2009 will eventually fail and need to be serviced, replaced, or upgraded. Any delays in promptly attending to malfunctioning equipment will result in service disruptions and delays at the POE for busy travelers and commuters already using congested land border POEs.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and Expense
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 5: Air and Marine Personnel

Strategic Goal(s) & Objective(s):

DHS Strategic Goal: Protecting our Nation from Dangerous People

CBP: Goal 1: Secure our Nation's borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel.

Objective 1.1: Establish and maintain effective control of air, land, and maritime borders through the use of the appropriate mix of infrastructure, technology, and personnel.

PPA: Air and Marine Compensation and Benefits

Program Increase: Positions 144 FTE 72 Dollars \$19,115*

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							1,871	1,871	\$290,513
Program Increase							144	72	19,115
Total Request	1,662	1,366	262,148	1,801	1,732	271,679	2,015	1,943	\$309,628

*\$19,115 reflects the amount after the realignment of \$.885M in rent associated with new positions, which will be reflected in the new Facilities Management account, Rent PPA.

Description of Item

CBP Air and Marine (A&M) is requesting an additional 88 law enforcement and 56 support positions to support the headquarters, northern, coastal and the southeast/caribbean borders in Fiscal Year 2010. The CBP Strategic Plan, which supports the Secure Border Initiative (SBI) as well as traditional CBP mission sets, establishes a staffing objective that will effectively provide adequate staffing at headquarters and field locations as CBP expands support for border security operations.

Justification

These positions are necessary for A&M to achieve maximum compliance with strategic goals and objectives and to enhance A&M's efforts to expand and improve patrols and surveillance to detect, deter and prevent illegal entry into the United States. During FY 2010, A&M plans to continue the expansion of its capabilities across the northern and coastal borders and place heavy emphasis on the maritime requirements along the southeast/Caribbean borders.

Impact on Performance (Relationship of Increase to Strategic Goals)

The hiring of additional personnel supports DHS Strategic Goal: Protecting our Nation from Dangerous People; CBP Strategic Goal 1: Secure our Nation's borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel; and Objective 1.1: Establish and maintain effective control of air, land, and maritime borders through the use of the appropriate mix of infrastructure, technology, and personnel.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and Expense
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 6: Import Safety and Trade Enforcement

Strategic Goal(s) & Objective(s):

DHS Strategic Goal: Protecting our Nation from Dangerous Goods

CBP: Goal 2: Ensure the efficient flow of legitimate trade and travel across U.S. borders.

Strategic Objectives: 2.1. Through the use of accurate advanced information and modernized systems for cargo processing, expedite the processing of people, products, and conveyances at land border ports, airports, and seaports.

2.2. Fully employ the use of risk management and targeting to detect and deter trade non-compliance and apply consistent enforcement actions.

2.3. Conduct compliance reviews of trade activities to ensure collection of all lawfully owed revenue and to identify delinquencies in the most efficient manner possible, thereby facilitating the release of compliant cargo.

PPA: Inspection, Trade and Travel Facilitation

Program Increase: Positions 103 FTE 52 Dollars \$9,340

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$0
Program Increase							103	52	\$9,340
Budget Request	0	0	\$0	0	0	\$0	103	52	\$9,340

*\$9,340 reflects the amount after the realignment of \$.660M in rent associated with new positions, which will be reflected in the new Facilities Management account, Rent PPA.

Description of Item

CBP is requesting \$9.3 million to hire 12 scientists, 1 paralegal, 34 international trade specialists, 32 auditors, 10 attorneys, 3 import specialists and 11 support personnel to implement the Action Plan on Import Safety developed in response to Executive Order 13439. This executive order establishes an interagency working group for Import Safety to increase staffing levels needed to carry out commercial operations and adequately staff priority trade areas as proposed in the Office of International Trade (OT) Resource Allocation Model (RAM). The increase of personnel will offer an optimal mix of trade activities and resources that allow CBP to meet the

growing demand in trade volume, meet CBP's mission of enforcing trade laws and collecting revenue, achieve executive management goals and objectives for the trade mission, align activities with the appropriate skill levels, leverage efficient gains from technology process improvements, and combat risks inherent in priority trade areas.

Funding Breakout:

Salaries (103 positions)	\$8,102
Targeting & Analysis	\$844
Equipment	<u>\$394</u>
Total	\$9,340

Justification

The OT is responsible for the implementation of specific recommendations contained in the Import Safety Action Plan initiated by Executive Order 13439. Support for this budget initiative is essential for CBP to be able to identify and target critical points in the import life cycle where product risks are greatest and increase the number of auditors and scientists to protect consumers from health and safety risks.

Pursuant to Section 403 of the SAFE Port Act, OT has developed a proposed Resource Allocation Model which defines the optimal staffing levels needed to carry out commercial operations and to adequately staff priority trade areas. These personnel will participate in the development of best practices and trade partnerships, enforcement targeting, technology enhancements to include the acceleration of ACE/ITDS, scientific testing, intelligence gathering, and audit capabilities to better protect against unsafe foods, agriculture and consumer goods while facilitating legitimate trade.

The goal of CBP's trade mission is to facilitate legitimate trade while protecting the American economy from unfair trade practices and illicit commercial enterprises. The commercial trade process is highly complex and diverse. Arrays of skills are required to achieve efficient flow of international trade while enforcing hundreds of trade laws. OT's current priority trade areas include; intellectual property rights, import safety, revenue, dumping, agriculture, penalties, and textiles. In the priority trade areas there are a variety of activities performed on a daily basis to strategically plan, analyze and target, examine and interdict, collect revenue, assess penalties, and write regulations.

The international trade environment is highly complex, growing at record pace, and is ever changing and evolving. As the agency charged with enforcing international trade laws, collecting revenue, and facilitating lawful trade, CBP needs the flexibility to adequately confront these challenges. The growing workload, caused by factors such as the increasing volume of trade, a growing number of entities involved in trade, and an increasing number of trade agreements, affects the amount and nature of human resources required to effectively perform CBP's trade operations. The positions identified in this request are those required in order to meet these demands. FY 2008 was a year of record highs for some import measures, including import value, which reached an all time high of \$2.3 trillion in FY 2008.

In addition to the explosive growth of trade, CBP has experienced a tremendous growth in the number of entities involved in the importing process. However, analysis of current FY 2009 data points to imports dropping about 30%, to a low of \$1.6 trillion by year end due to the impact of the global downturn. Despite this decline, CBP still expects to process entries from over 750,000 importers this year. The volume challenges CBP's import specialists, customs auditors, account managers, and attorneys who identify importers' noncompliance with customs laws and regulations.

Impact on Performance (Relationship of Increase to Strategic Goals)

Approximately \$2.3 trillion of imported products entered the United States economy in FY 2008. As the sole border enforcement agency, CBP has the responsibility to keep unsafe products out of this country. Much attention has been given to import safety issues with the recent events of the adulterated melamine, toothpaste, and toys, to name a few. Executive Order 13439 required the executive branch to develop recommendations to improve import safety. Fourteen recommendations and 50 action steps were published in response to this Executive Order. CBP is accountable for implementation of more than half of these recommendations and action steps. CBP's workload is also impacted by increases in free trade agreements and other international agreements to which the United States is a party. Since January 2001, the United States has increased the number of free trade agreements and special trade programs from 3 to 17.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and Expense
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 7: Cyber Security

Strategic Goal(s) & Objective(s):

DHS Strategic Goal: Protect Critical Infrastructure

CBP: Goal 1: Secure our Nation’s borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel
Strategic Objective 1.1: Establish and maintain effective control of air, land, and maritime borders through the use of the appropriate mix of infrastructure, technology, and personnel

PPA: Headquarters Management and Administration

Program Increase: Positions: 0 FTEs: 0 Dollars: \$5,000

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$0
Program Increase							0	0	\$5,000
Budget Request	0	0	\$0	0	0	\$0	0	0	\$5,000

Description of Item

CBP requests \$5 million for Cyber Security to provide continuous Top Secret/Sensitive Compartmented Information (TS/SCI) and collateral classified processing capabilities to form a “Focused Operations” branch providing tactical cyber intelligence, Digital Media Analysis and Vulnerability Assessments of ongoing threats to the DHS and CBP environment. The operational initiatives and their estimated costs appear in the table below:

Security Operations - includes TS/SCI & CC	2,585
Security Engineering	815
OMB Mandates (HSPD-12 Support) - includes Digital Media	450
Trusted Internet Connection (TIC) Support	725
Logging Strategy	425
Total	5,000

Funding includes contract costs & acquisitions for each category

Justification

Cyber Security will build upon existing capabilities within the Security Operations Center to include expanding the classified processing capabilities allowing for continuous TS/SCI and collateral classified access via an onsite Sensitive Compartmented Information Facility (SCIF) with Joint Worldwide Intelligence Communications System (JWICS) and Homeland Secure Data Network (HSDN) terminals. Funding will also form a “Focused Operations” branch which will provide tactical cyber intelligence of ongoing threats to the DHS and CBP environment while also providing skilled forensics experts capable of staffing a DHS/CBP Digital Media Analysis lab to identify and attribute cyber attacks.

CBP Network and Security Operations (NSO) is required by the Federal Information Security Management Act (FISMA) and DHS policy to monitor, detect and respond to attacks and policy violations that threaten the mission critical data communications traversing the internal CBP network and DHS OneNet and Data Communication Network (DCN) Wide Area network (WAN). The DHS Chief Information Security Officer (CISO) has mandated that all Security Operations Centers (SOC) throughout DHS be able to process classified information. As the steward for DHS CBP, NSO must be capable of processing information at all three classification levels (UNCLASSIFIED/SECRET/TOP SECRET) within the confines of the Operation Center. Furthermore proposed congressional legislation requires for the ability to support the identification and attribution of malicious activity throughout the CBP and DHS network. In order to provide this functionality the NSO needs to establish a Cyber Intelligence Branch within NSO which requires a SCIF within the National Data Center (NDC) complex capable of processing this type of information.

Additionally, the NSO will establish a “Focused Operations” unit which will provide Cyber Security Intelligence capability to aid in the detection, monitoring and identification of malicious activity to the DHS and CBP networks. Within this Cyber Intelligence branch there will also be a “Digital Media Analysis” unit which will provide forensic services to aid in the information processing and investigation of cyber security incidents.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and Expense
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 8: Global Advanced Passenger Information (API)/Passenger Name Record (PNR)

Strategic Goal(s) & Objective(s):

DHS: Strategic Goal: Protecting our Nation from Dangerous Goods

CBP: Goal 1: Secure our Nation's borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel

Objective 1.2: Using a risk-based approach, deploy and employ the most effective inspection and scanning technology available at designated land border ports, airports, seaports, permanent Border Patrol traffic checkpoints, and international areas in which CBP operates to detect and prevent the entry of hazardous materials, goods, and instruments of terror into the United States

Program Increase: Positions: 0 FTEs: \$0 Dollars: \$3,000

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	0
Program Increase							0	0	3,000
Total Request	0	0	0	0	0	0	0	0	3,000

Description of Item

CBP requests an increase of \$3 million to continue API/PNR in two key security partner countries (including continuing the program for a country previously identified in FY 2008); and to implement the program in one additional key country resulting in the deployment of three countries by the end of FY 2010. The increase continues funding for the existing countries and provides funding for the newly implemented country. Funding costs include start up costs and acquisition of hardware and software, recurring information technology costs and training and travel. Below is a detailed cost breakout:

API/PNR Cost Breakdown FY 2010
(Dollars in Thousands)

Start-up Costs: Hardware & Software Equipment	\$1,235
Foreign Travel & Training	\$704
Recurring IT costs (Operations & Maintenance)	\$1,061
Total	\$ 3,000

CBP began implementation in one key security partner country FY 2008. In FY 2009, CBP has continued the program in one key country and continues to conduct informational discussions with other interested partner countries (specific countries are classified). CBP has been working on an aggressive schedule to expand our current country Advance Passenger Information/ Passenger Name Record (API/PNR) programs with interested foreign partners, but must continue to remain flexible to changing internal and external political circumstances relating to the governments of those foreign partners.

Justification

The requested funds will expand the API/PNR program to enhance national security and facilitate legitimate travel, in partnership with select foreign governments, and per directive HSPD-6. API and PNR data, including historical records, are essential in assisting DHS and CBP officers with their risk-based screening of travel indicators and identifying potential links between known and previously unidentified terrorist facilitators. Analyzing these records for these purposes allows CBP to continue to identify suspect travel patterns and irregularities effectively. Acquiring additional traveler information that would otherwise not be available to CBP is imperative in our efforts to stem terrorism and other transnational crimes.

CBP understands the benefits of analyzing and evaluating API/PNR as a means of preventing terrorism and crime and is recognized as a world leader in the collection and use of API and PNR data. Over the course of nearly two decades, CBP has constructed systems from the ground up to capture these data sets and also designed a rules-driven mechanism to exploit discrete elements contained within them. As a result, CBP has a seasoned cadre of technical staff capable of developing future similar systems. Unfortunately, this cohort is small and is already stretched to meet its role in the design and development necessary to keep CBP's targeting systems dynamic and at the forefront of global border security systems. The requirements of new systems will engage the attention of this small technical group and will have a severe detrimental impact on CBP's capabilities to counter terrorist travel and smuggling trends within its rules-based targeting systems. CBP's ability to create timely rules to counter terrorist travel would also be detrimentally affected.

Similar API operations, such as the Mexico APIS program and the Caribbean Community (CARICOM) APIS program, have proven to be an effective tool in identifying and countering terrorism. Similar success is envisioned with this initiative. It would allow CBP to identify definitive links between suspect travel patterns, provide missing data on travel history, identify co-travelers otherwise unknown to CBP, and provide travel movements of people under current investigation. All these data elements, which are not currently available to CBP, would assist in enhancing our border security. The data will be instrumental in identifying terrorist-related and other border security threats to the homeland or civil aviation and responding with appropriate actions to save lives.

Impact on Performance (Relationship of Increase to Strategic Goals)

With this funding, the Department of Homeland Security and CBP will collaborate with foreign governments to allow participating countries to identify and track down known and suspected terrorists, detect potential threats to national security, and uncover additional information about terrorist networks and activities. The initiation, development and expansion of this foreign initiative will require greater planning, acquisition and maintenance costs than the successful domestic APIS system.

Transforming CBP into an intelligence driven agency is a top priority. Funding of API/PNR will allow CBP to provide officers with additional tools necessary that meet.

DHS and CBP strategic goals and objectives.

Global API/PNR project supports DHS Goal 1 by enabling DHS/CBP to acquire new data sets collected by foreign governments and the ability to perform important analysis to help mitigate threats related to terrorism and possible terrorist travel. The project will support and provide the implementation for protocols between DHS and foreign governments to prevent the movement of high-risk travelers, especially suspected terrorists. In addition to its primary mission to mitigate terrorism, Global API/PNR will assist DHS/CBP in securing our borders against illicit contraband, such as illegal drugs, counterfeit goods, other harmful materials and organisms, and other illegal activities (DHS Goal 1). The project will allow receipt of foreign government data in near real-time, allowing for timely analysis of high-risk travelers (CBP Objective 1.3). Furthermore API/PNR will allow data to be collected in an automated system that will enable standardization for possible further dissemination to other government partners (CBP Objective 1.3).

Finally, Global API/PNR provides a means to identify and address potential risks in advance of their ability to cause harm in the U.S., which will simultaneously facilitate legitimate travelers while ensuring the safety of the traveling public.

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and Expense
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 9: Analyze and Employ Information and Intelligence

Strategic Goal(s) & Objective(s):

DHS Strategic Goal: Protecting our Nation from Dangerous People and Goods

CBP: Goal 1: Secure our Nation’s borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel.

Objective 1.1: Establish and maintain effective control of air, land, and maritime borders and through the use of the appropriate mix of infrastructure, technology and personnel.

PPA: National Targeting Center

Program Increase: Positions 22 FTE 11 Dollars \$2,848*

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							131	131	\$24,481
Program Increase							22	11	\$2,848
Total Request	131	131	\$23,950	131	131	\$24,481	153	142	\$27,329

*\$2,848 reflects the amount after the realignment of \$.152M in rent associated with new positions, which will be reflected in the new Facilities Management account, Rent PPA.

Description of Item

CBP requests an increase of \$2.8 million to hire 20 Customs and Border Protection officers (CBPOs) and two mission support positions. The 20 CBPOs would be evenly split between the passenger and cargo facilities of the National Targeting Center (NTC), providing additional operational and analytical support, which is needed in both environments.

Justification

The increased staffing levels will ensure that NTC continues to provide CBP personnel with immediate responses to targeting and research inquiries. This request for funding is crucial for NTC to conduct its expanded passenger and cargo targeting operations, while maintaining current operations and providing anti-terrorism support to field operations. NTC workload continues to increase as its anti-terrorism mission grows in scope.

In the passenger arena, CBP is implementing additional vetting programs to ensure that people who present a threat to U.S. national security or are inadmissible on immigration grounds do not enter the country. Based on recommendations by the 9/11 Commission and congressional legislation, CBP has implemented a number of these programs, to include:

- Global Advance Passenger Information (API)/Passenger Name Record (PNR)
- Electronic System for Travel Authorization (ESTA)
- Iraqi Refugee Processing Program
- Document Assessment Tool (DAT)
- Immigration Advisory Program (IAP)
- Iraqi Refugee Processing Program
- Interagency Border Inspection System (IBIS)

The introduction and expansion of these programs are driving the increased workload in CBP's passenger environment. The success of these programs hinges on NTC-Passenger (NTC-P) ability to provide timely and accurate information. NTC-P personnel vet approximately 500 queries per day from nine IAP overseas airports and from 45,000 ESTA applicants.

Since its inception in July 2007, we have continued to expand The Iraqi Refugee Processing Program. In FY 2008, NTC-P processed 1,463 refugee applicants in three different countries.

Additionally, NTC-P has committed to continue to work with U.S. Citizenship and Immigration Services (USCIS) and the Department of State (DOS) for FY 2009 and FY 2010 circuit rides. NTC-P currently utilizes the Document Assessment Tool program at selected ports to assist in the interception of fraudulent documents. Based on the success of the pilot, there are plans to expand the DAT Program to additional ports of entry.

The Interagency Border Inspection System, which became active at all airports of entry on June 1, 2008 and at all seaports on January 25, 2009, has been linked to the Interpol's Stolen and Lost Travel Document (SLTD) database since 2007. NTC-P continues its support for sharing SLTD information. In FY 2008, 39 stolen or lost travel documents were discovered.

NTC-P will continue to participate in information sharing initiatives with our global partners such as the United Kingdom and Canada. In addition, NTC expanded the degree to which it monitors public health issues and liaises with the Center for Disease Control and Department of Health and Human Services.

In the cargo arena, the NTC-Cargo (NTC-C) provides 24/7 support for the Container Security Initiative (CSI) by performing bill review and research. NTC-C's daily responsibility increased from six to ten CSI ports in FY 2008. Due to CSI staffing shortages overseas, NTC-C will take on additional CSI daily support in FY 2009.

NTC-C also supports the Secure Freight Initiative (SFI) remote inspections in Qasim, Pakistan. This operation developed from a limited pilot where 40 containers were examined weekly to a 24/7 operation examining 800-900 containers per week. The NTC-C staff analyze and evaluate

data transmitted from Qasim, Pakistan, and make informed, risk based decisions on whether to inspect U.S. destined commercial cargo.

NTC-C has undertaken a number of special cargo targeting initiatives such as research on subjects of interest, narcotics trafficking, and trade and agriculture violations. NTC-C targeting efforts for FY 2008 resulted in 353 seizures worth in excess of \$430 million consisting of illicit drugs, counterfeit merchandise, and licensable export commodities

Impact on Performance (Relationship of Increase to Strategic Goals)

Analyze and Employ Information and Intelligence align to DHS Strategic Goal: Protecting our Nation from Dangerous People and Goods; CBP Strategic Goal 1: Secure our Nation's borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel; and Objective 1.1: Establish and maintain effective control of air, land, and maritime borders through the use of the appropriate mix of infrastructure, technology and personnel.

This initiative will help CBP improve upon its capabilities to provide critical information regarding prospective passengers and cargo entering the U.S. CBP's challenge is to continue to provide timely and accurate information while its workload increases. CBP's screening capabilities – and U.S. security – depend on CBP's ability to gather, analyze, and disseminate useful and timely information. To improve its ability to identify and target terrorists, CBP needs additional data points. Without this information, it will become increasingly difficult to detect or deter dangerous people intending us harm from entering the country.

The NTC (both Passenger and Cargo) is a 24/7 operation providing research and support for CBP antiterrorism efforts at foreign and domestic ports of entry. NTC research and intelligence gathering provides real time tactical and strategic targets for CBPOs in the field. This request allows the NTC to increase the daily support for CBP's antiterrorism operations; inadequate staffing will limit NTC support for these activities, adversely affecting their effectiveness in the war against terror.

V. Exhibits and Other Supporting Material

A. Justification of Proposed Legislative Language

For necessary expenses for enforcement of laws relating to border security, immigration, customs, and agricultural inspections and regulatory activities related to plant and animal imports; purchase and lease of up to ~~4,500~~[6,300] (~~4,000~~ [3,300] for replacement only) police-type vehicles; and contracting with individuals for personal services abroad; [~~\$7,603,206,000~~]~~\$7,623,068,000~~, of which [~~\$3,154,000~~]~~\$3,226,000~~ shall be derived from the Harbor Maintenance Trust Fund for administrative expenses related to the collection of the Harbor Maintenance Fee pursuant to section 9505(c)(3) of the Internal Revenue Code of 1986 (26 U.S.C. 9505(c)(3)) and notwithstanding section 1511(e)(1) of the Homeland Security Act of 2002 (6 U.S.C. 551(e)(1)); of which not to exceed \$45,000 shall be for official reception and representation expenses; of which not less than [~~\$271,679,000~~]~~\$309,629,000~~ shall be for Air and Marine Operations; [of which \$4,500,000 shall be for the 2010 Olympics Coordination Center, of which not to exceed \$2,000,000 shall be available until September 30, 2010; of which \$2,000,000 shall be for Project SeaHawk;] of which such sums as become available in the Customs User Fee Account, except sums subject to section 13031(f)(3) of the Consolidated Omnibus Budget Reconciliation Act of 1985 (19 U.S.C. 58c(f)(3)), or any successor legislation, shall be derived from that account; [of which not to exceed \$150,000 shall be available for payment for rental space in connection with preclearance operations]; of which not to exceed \$1,000,000 shall be for awards of compensation to informants, to be accounted for solely under the certificate of the Secretary of Homeland Security: Provided, That for fiscal year [2009]~~2010~~, the overtime limitation prescribed in section 5(c)(1) of the Act of February 13, 1911 (19 U.S.C. 267(c)(1)) shall be \$35,000; and notwithstanding any other provision of law, none of the funds appropriated by this Act may be available to compensate any employee of U.S. Customs and Border Protection for overtime, from whatever source, in an amount that exceeds such limitation, except in individual cases determined by the Secretary of Homeland Security, or the designee of the Secretary, to be necessary for national security purposes, to prevent excessive costs, or in cases of immigration emergencies. [Provided further, That no funding available under this heading may be obligated for the operation of the Analytical Framework for Intelligence Officers until the Commissioner of U.S. Customs and Border Protection certifies that this Framework complies with all applicable laws, including section 552a of title 5, United States Code, and other laws protecting privacy, and such certification is reviewed by the Inspector General of the Department of Homeland Security: Provided further, That the Commissioner shall submit to the Committees on Appropriations of the Senate and the House of Representatives the results of operational field testing of cargo container security devices in high risk trade lanes no later than 120 days after the date of enactment of this Act.] (Department of Homeland Security Appropriations Act, 2009.)

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and Expenses
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actual.....	42,358	38,506	7,109,292
2009 Enacted.....	47,929	45,649	7,603,206
Adjustments-to-Base			
Increases			
Annualization of prior year funding	31	2,311	292,967
Annualization of 2009 pay raise.....	---	---	46,989
2010 pay increase.....	---	---	72,290
Total Increases.....	31	2,311	412,246
Decreases			
Termination FYF 2009 of one-time costs.....	---	---	(109,391)
Transfer to OSEM for S1 travel.....	---	---	(29)
Transfer to Facilities account.....	---	---	(432,950)
Total Decreases.....	---	---	(542,370)
Total Adjustments-to-Base.....	31	2,311	(130,123)
2010 Current Services.....	47,960	47,960	7,473,083
Program Changes			
Program Increases			
Data Center Migration	---	---	38,650
Combatting Southbound Firearms and Currency Smuggling	125	63	26,132
Law Enforcement Enhanced Retirement	---	---	25,000
Western Hemisphere Travel Initiative (WHTI)	---	---	20,900
Air and Marine Personnel	144	72	19,115
Import Safety and Trade Enforcement	103	52	9,340
Cyber Security	---	---	5,000
Global API/PNR	---	---	3,000
Analyze and Employ Information and Intelligence	22	11	2,848
Total Program Changes.....	394	198	149,985
 2010 Request	 48,354	 48,158	 7,623,068
 2009 to 2010 Total Change.....	 425	 2,509	 19,862

GSA funding for rent is being realigned to a new proposed facility appropriation.

The table above excludes ARRA funding of \$160 million provided in P.L. 111-5.

C. Summary of Requirements

Department of Homeland Security
U.S. Customs and Border Protection
Salaries and Expenses
Summary of Requirements
(Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
2008 Actual	42,358	38,506	7,109,292
2009 Enacted	47,929	45,649	7,603,206
Adjustments-to-Base			
Increases	31	2,311	412,246
Decreases	---	---	(542,370)
Total Adjustments-to-Base	31	2,311	(130,123)
2010 Current Services	47,960	47,960	7,473,083
Program Changes	394	198	149,985
2010 Total Request	48,354	48,158	7,623,068
2009 to 2010 Total Change	425	2,509	19,862

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1. Headquarters Management and Administration	3,822	3,781	\$1,269,158	---	41	(292,308)	---	---	\$43,650	3,822	3,822	\$1,020,500	---	41	(\$248,658)
At the Ports of Entry	2,169	2,146	646,608	---	26	(145,608)	---	---	21,825	2,169	2,172	522,825	---	26	(123,783)
Between the Ports of Entry	1,653	1,635	622,550	---	15	(146,700)	---	---	21,825	1,653	1,650	497,675	---	15	(124,875)
2. Border Security Inspections and Trade Facilitation at POE's	19,389	18,540	\$2,561,099	---	849	95,885	198	100	\$79,196	19,587	19,489	\$2,736,180	198	949	\$175,081
Inspections, Trade & Travel Facilitation at POE's	18,753	17,904	2,093,988	---	849	84,874	176	89	76,348	18,929	18,842	2,255,210	176	938	161,222
Harbor Maintenance Fee Collection	---	---	3,154	---	---	72	---	---	---	---	---	3,226	---	---	72
International Cargo Screening	189	189	149,450	---	---	15,971	---	---	---	189	189	165,421	---	---	15,971
Other International Programs	101	101	10,984	---	---	197	---	---	---	101	101	11,181	---	---	197
C-TPAT(formerly C-TPAT/FAST/NEXUS/SENTRI)	207	207	64,496	---	---	(1,884)	---	---	---	207	207	62,612	---	---	(1,884)
Trusted Traveler Program (TTP)	---	---	11,274	---	---	---	---	---	---	---	---	11,274	---	---	---
Inspection and Detection Technology	---	---	145,944	---	---	(2,381)	---	---	---	---	---	143,563	---	---	(2,381)
Systems for Targeting	8	8	32,550	---	---	10	---	---	---	8	8	32,560	---	---	10
National Targeting Center	131	131	24,481	---	---	(974)	22	11	2,848	153	142	26,355	22	11	1,874
Training at the Ports of Entry	---	---	24,778	---	---	---	---	---	---	---	---	24,778	---	---	---
3. Border Security and Control between POE's	22,917	21,596	\$3,501,270	(39)	1,282	47,465	52	26	\$8,024	22,930	22,904	\$3,556,759	13	1,308	\$55,489
Border Security and Control between POE's	22,787	21,466	3,426,455	(39)	1,282	70,529	52	26	8,024	22,800	22,774	3,505,008	13	1,308	78,553
Training Between the Ports of Entry	130	130	74,815	---	---	(23,064)	---	---	---	130	130	51,751	---	---	(23,064)
4. Air and Marine Operations--Salaries	1,801	1,732	\$271,679	70	139	18,835	144	72	\$19,115	2,015	1,943	\$309,629	214	211	\$37,950
Total	47,929	45,649	7,603,206	31	2,311	(130,123)	394	198	149,985	48,354	48,158	7,623,068	425	2,509	19,862

GSA funding for rent is being realigned to a new proposed facility appropriation.

	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Program Change	Adjustments-to-Base
American Recovery and Reinvestment Act (ARRA)								
Salaries and Expenses								
Headquarters Management and Administration			---	60,000				
Inspection and Detection Technology			---	100,000				
Total			0	\$160,000				

D. Summary of Reimbursable Resources

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and Expenses
Summary of Reimbursable Resources
(Dollars in Thousands)**

Collections by Source	FY 2008 Actual			2009 Enacted			2010 Request			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
ATF	---	---	1,499	---	---	1,499	---	---	1,499	---	---	-
BLS	---	---	39	---	---	39	---	---	39	---	---	-
CIS	---	---	66,874	---	---	66,874	---	---	66,874	---	---	-
Coast Guard, US Army Corps of Engineers	---	---	5,029	---	---	5,029	---	---	5,029	---	---	-
Defense Technical Security Admin.	---	---	1,197	---	---	1,197	---	---	1,197	---	---	-
DHS	---	---	121,554	---	---	121,554	---	---	121,554	---	---	-
DHS-FEMA	---	---	-	---	---	-	---	---	-	---	---	-
DHS-ICE	---	---	441,682	---	---	441,682	---	---	441,682	---	---	-
DHS, DOD, DOJ	---	---	313	---	---	313	---	---	313	---	---	-
DHS, HUD, HHS, SSA, FDA	---	---	2,248	---	---	2,248	---	---	2,248	---	---	-
DOD	---	---	10,042	---	---	10,042	---	---	10,042	---	---	-
DOJ	---	---	7,223	---	---	7,223	---	---	7,223	---	---	-
DOS	---	---	313,716	---	---	313,716	---	---	313,716	---	---	-
EOAF	---	---	264,281	---	---	264,281	---	---	264,281	---	---	-
EPA	---	---	-	---	---	-	---	---	-	---	---	-
FAA	---	---	1,255	---	---	1,255	---	---	1,255	---	---	-
FDA	---	---	-	---	---	-	---	---	-	---	---	-
ITC	---	---	27	---	---	27	---	---	27	---	---	-
JITFW	---	---	97	---	---	97	---	---	97	---	---	-
NOAA	---	---	-	---	---	-	---	---	-	---	---	-
Treasury	---	---	8,111	---	---	8,111	---	---	8,111	---	---	-
TSA	---	---	11,587	---	---	11,587	---	---	11,587	---	---	-
US VISIT	---	---	359,204	---	---	359,204	---	---	359,204	---	---	-
USAID	---	---	7,724	---	---	7,724	---	---	7,724	---	---	-
USDA	---	---	3,901	---	---	3,901	---	---	3,901	---	---	-
Dept. Of Veterans Affairs	---	---	-	---	---	-	---	---	-	---	---	-
Other	---	---	-	---	---	-	---	---	-	---	---	-
Total Budgetary Resources	---	---	1,627,603	---	---	1,627,603	---	---	1,627,603	---	---	-

Collections by Source	FY 2008 Actual			2009 Enacted			2010 Request			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
<i>Proposed Consolidated Inspection User Fee</i>							8,167	8,167	1,017,693	8,167	8,167	1,017,693
COBRA	1,440	1,440	407,317	1,538	1,538	410,666				(1,538)	(1,538)	(410,666)
Land Fees	294	294	30,446	287	287	26,880	287	287	27,256			376
Immigration User Fee	5,265	5,265	611,273	4,777	4,777	570,059				(4,777)	(4,777)	(570,059)
Enforcement Fees	22	22	2,289	23	23	3,331	23	23	3,484			153
APHIS	2,468	2,468	320,310	2,332	2,332	\$333,433	2,332	2,332	352,127			18,694
Subtotal, Mandatory Fees	9,489	9,489	1,371,635	8,957	8,957	1,344,369	10,809	10,809	1,400,560	1,852	1,852	56,191

*Small Airports and Puerto Rico do not reimburse the S&E Account

Obligations by Program/Project Activity	FY 2008 Actual			2009 Enacted			2010 Request			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Headquarters Management and Administration	---	---	1,193,032	---	---	1,193,032	---	---	1,193,032	-	-	-
Inspections, Trade & Travel Facilitation at POEs	---	---	434,571	---	---	434,571	---	---	434,571	-	-	-
Salaries and Expenses	---	---	-	---	---	-	---	---	-	-	-	-
Total Direct Obligations	---	---	1,627,603	---	---	1,627,603	---	---	1,627,603	-	-	-
<i>Proposed Consolidated Inspection User Fee</i>							8,167	8,167	1,017,693	8,167	8,167	1,017,693
COBRA	1,440	1,440	407,317	1,538	1,538	410,666				(1,538)	(1,538)	(410,666)
Land Fees	294	294	30,446	287	287	26,880	287	287	27,256	-	-	376
Immigration User Fee	5,265	5,265	611,273	4,777	4,777	570,059				(4,777)	(4,777)	(570,059)
Enforcement Fees	22	22	2,289	23	23	3,331	23	23	3,484	-	-	153
APHIS	2,468	2,468	320,310	2,332	2,332	\$333,433	2,332	2,332	352,127	-	-	18,694
Subtotal, Mandatory Fees	9,489	9,489	1,371,635	8,957	8,957	1,344,369	10,809	10,809	1,400,560	1,852	1,852	56,191

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Customs and Border Protection
Salaries and Expenses
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	2,554,960	2,884,224	3,292,323	\$408,099
11.3 Other than full-time permanent	12,481	29,428	30,157	729
11.5 Other Personnel Compensation	620,155	597,376	764,148	166,772
11.8 Special Service Pay	-	1,156	1,430	274
12.1 Benefits	1,235,716	1,309,148	1,520,045	210,897
13.0 Benefits - former	1,055	1,334	1,366	32
Total, Personnel Comp. & Benefits	\$4,424,367	\$4,822,666	\$5,609,469	\$786,803
Other Object Classes:				
21.0 Travel	175,948	217,810	190,932	(26,878)
22.0 Transportation of things	15,218	17,125	14,764	(2,361)
23.1 GSA rent	268,496	293,983	-	(293,983)
23.2 Other rent	17,069	35,473	-	(35,473)
23.3 Communications, utilities, & other misc. charges	102,406	117,482	121,984	4,502
24.0 Printing and reproduction	9,002	12,018	12,598	580
25.1 Advisory and assistance services	40,485	29,821	29,821	---
25.2 Other services	869,003	846,200	596,359	(249,841)
25.3 Purchases of goods & svcs. from Gov't accounts	123,657	138,672	203,812	65,140
25.4 Operation & maintenance of facilities	110,781	93,465	82,248	(11,217)
25.5 Research and development contracts	18	63,951	14,078	(49,873)
25.6 Medical care	4,821	---	-	---
25.7 Operation and maintenance of equipment	124,730	86,053	95,553	9,500
25.8 Subsistence and support of persons	2,740	34	34	---
26.0 Supplies and materials	182,334	145,417	140,242	(5,175)
31.0 Equipment	619,938	857,784	508,379	(349,405)
32.0 Land & structures	14,646	7,938	0	(7,938)
41.0 Grants/Subsidies/Contributions	---	---	-	---
42.0 Indemnity	3,508	2,649	2,649	---
91.0 Unvouchered	125	145	145	---
99.0 Other				---
Total, Other Object Classes	\$2,684,925	\$2,966,020	\$2,013,599	-\$952,421
Total, Direct Obligations	\$7,109,292	\$7,788,686	\$7,623,068	-\$165,618
Unobligated balance, start of year	(223,625)	(185,480)		
Unobligated balance, end of year	185,480	---		
Recoveries of prior year obligations	(64,579)			
Total requirements	\$7,006,568	\$7,603,206	\$7,623,068	\$19,862

The table above excludes ARRA funding of \$160 million provided in P.L. 111-5.

F: Permanent Positions by Grade

Department of Homeland Security
U.S. Customs and Border Protection
Salaries and Expenses
Permanent Positions by Grade

Grades and Salary Ranges	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
	Pos.	Pos.	Pos.	Total
Total, SES	101	101	101	---
Total, EX	1	1	1	---

GS-15	615	618	618	---
GS-14	2,197	2,373	2,386	13
GS-13	4,525	4,753	4,859	106
GS-12	6,994	7,418	7,467	49
GS-11	21,977	22,874	22,998	124
GS-10	354	354	354	---
GS-9	4,729	4,841	4,880	39
GS-8	64	64	64	---
GS-7	7,125	10,231	10,469	238
GS-6	207	207	207	---
GS-5	3,311	3,311	3,311	---
GS-4	161	161	161	---
GS-3	87	87	87	---
GS-2	54	54	54	---
Other Graded Positions	21	21	21	---
Fee Funded Positions	(10,165)	(9,540)	(9,684)	(144)
Total Permanent Positions	42,358	47,929	48,354	425
Unfilled Positions EOY	---	---	---	---
Total Perm. Employment EOY	42,358	47,929	48,354	425
FTE	38,506	45,649	48,158	2,509
Headquarters	3,216	3,401	3,407	6
U.S. Field	37,550	42,936	43,355	419
Foreign Field	1,592	1,592	1,592	---
Total Permanent Positions	42,358	47,929	48,354	425
Average ES Salary	\$ 158,974	\$ 165,174	\$ 168,477	\$ 3,303
Average GS Salary	\$ 68,544	\$ 70,600	\$ 73,354	\$ 2,753
Average GS Grade	10.30	10.30	10.30	---

G. Capital Investment and Construction Initiative Listing

Not applicable.

H. PPA Budget Justifications

Department of Homeland Security
U.S. Customs and Border Protection
Salaries and Expenses
 Summary of Requirements by Object Class
 (Dollars in Thousands)

PPA: Headquarters Management and Administration		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	311,540	251,190	261,331	\$10,141
11.3	Other than perm	4,237	4,433	4,543	110
11.5	Other per comp	19,760	1,777	2,350	573
11.8	Spec Srvc Pay	-	784	803	19
12.1	Benefits	109,233	142,161	146,238	4,077
13.0	Benefits-former	1,046	600	614	14
21.0	Travel	30,213	26,026	26,245	219
22.0	Transportation of things	1,883	4,185	3,713	(472)
23.1	GSA rent	192,793	213,115	---	(213,115)
23.2	Other rent	2,561	4,176	---	(4,176)
23.3	Communication, Utilities, and misc charges	29,865	44,004	34,655	(9,349)
24.0	Printing	7,196	6,188	6,188	---
25.1	Advisory & Assistance Services	20,782	29,821	29,821	---
25.2	Other Services	269,848	258,864	189,757	(69,107)
25.3	Purchase from Govt. Accts.	49,281	49,844	89,880	40,036
25.4	Operation & maintenance of facilities	79,974	49,715	49,715	---
25.5	Research & Development	8	541	353	(188)
25.6	Medical care	455	-	---	---
25.7	Operation & maintenance of equipment	27,639	38,529	34,529	(4,000)
25.8	Subsistence & Support of persons	12	22	22	---
26.0	Supplies & materials	39,046	30,258	30,243	(15)
31.0	Equipment	100,526	122,498	106,851	(15,647)
32.0	Land & Structures	5,187	202	0	(202)
42.0	Indemnity	1,906	2,649	2,649	---
Total, Headquarters Management and Administration		\$1,304,991	\$1,281,582	\$1,020,500	(\$261,082)
Full Time Equivalents		3,656	3,781	3,822	41

Footnote: Totals may not add due to rounding.

The table above excludes ARRA funding of \$60 million provided in P.L. 111-5.

Headquarters Management and Administration

Headquarters Management and Administrative provides critical policy and operational direction, mission support, including equipment, training, and technical expertise to CBP front-line personnel. This program is essential in carrying out CBP's dual mission of protecting our homeland while facilitating legitimate trade and travel.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$445,816	\$400,945	\$415,879	\$14,934

Salaries and Benefits includes costs for 3,822 FTEs. The FY 2010 request includes increases of \$3,910,000 for pay annualization, \$6,014,000 for pay inflation, \$1,780,000 for annualization for integrity oversight, \$1,462,000 for annualization of OIOC intelligence and \$1,768,000 for the annualization of Customs Revenue positions.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$30,213	\$26,026	\$26,245	\$219

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes increases of \$78,000 for the annualization for integrity oversight, \$72,000 for the annualization of OIOC intelligence, and \$69,000 for annualization of Congressional add-on for customs revenue positions.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$1,883	\$4,185	\$3,713	(\$472)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request includes decreases of (\$116,000) for the annualization for integrity oversight and (\$356,000) for facilities consolidation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$192,793	\$213,115	\$0	(\$213,115)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request includes increases of \$206,000 for annualization for integrity oversight, \$210,000 for annualization of OIOC intelligence, \$164,000 for the annualization of Customs Revenue positions, and \$19,177,000 for realignment, and decreases of (\$232,872,000) for facilities consolidation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Rent	\$2,561	\$4,176	\$0	(\$4,176)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request includes decreases of (\$252,000) for facilities consolidation, and (\$3,924,000) for realignment.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$29,865	\$44,004	\$34,655	(\$9,349)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes increases of \$22,000 for annualization for integrity oversight, \$37,000 for the annualization of Customs Revenue positions and transfer of (\$9,408,000) for facilities consolidation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$7,196	\$6,188	\$6,188	\$0

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

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$20,782	\$29,821	\$29,821	\$0

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

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$269,848	\$258,864	\$189,757	(\$69,107)

Other Contractual Services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request includes increases of \$162,000 for annualization for integrity oversight, decreases of (\$20,000) for the annualization of OIOC intelligence, (\$15,000) for the annualization of Customs Revenue positions, (\$29,000) for transfer for S1 travel, (\$55,678,000) for facilities consolidation, (\$15,051,000) for realignment, The FY 2010 request includes program increases of \$4,526,000 for cyber security. FY 2009 numbers reflect \$3,000,000 in carryover balances from FY 2008.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$49,281	\$49,844	\$89,880	\$40,036

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request includes increases of \$20,000 for annualization of Integrity Oversight positions, \$89,000 for the annualization of Customs and Revenue positions, and adjustment-to-base of \$1,278,000 for Working Capital Fund and \$38,650,000 for Data Center Migration.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$79,974	\$49,715	\$49,715	\$0

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 request includes no change

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$8	\$541	\$353	(\$188)

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 request non-recurs (\$62,000) for the integrity oversight positions, (\$20,000) for annualization of OIOC intelligence, and (\$106,000) for annualization of Congressional add-on for Customs revenue positions.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Medical Care	\$455	\$0	\$0	\$0

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$27,639	\$38,529	\$34,529	(\$4,000)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request includes carryover balances of (\$4,000,000) from FY 2009. FY 2009 numbers reflect \$4,000,000 in carryover balances from FY 2008.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Subsistence & Support of Persons	\$12	\$22	\$22	\$0

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$39,046	\$30,258	\$30,243	(\$15)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes increases of \$16,000 for annualization for integrity oversight, \$4,000 for annualization of OIOC intelligence, \$3,000 for the annualization of Customs and Revenue positions and transfer of (\$38,000) for facilities consolidation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$100,526	\$122,498	\$106,851	(\$15,647)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes decreases of (\$1,044,000) for annualization for integrity oversight, (\$314,000) for annualization of OIOC intelligence, (\$303,000) for the annualization of Customs and Revenue positions, (\$9,038,000) for facilities consolidation and carryover balances of (\$5,423,639) from FY 2009. Program increases include \$476,000 for cyber security.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Land & Structures	\$5,187	\$202	\$0	(\$202)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2010 request includes decreases of (\$202,000) for realignment.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Indemnity	\$1,906	\$2,649	\$2,649	\$0

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2010 request includes no change.

Department of Homeland Security
U.S. Customs and Border Protection
Salaries and Expenses
Summary of Requirements by Object Class
(Dollars in Thousands)

PPA: Inspections, Trade & Travel Facilitation at POEs		2008	2009	2010	2009 to 2010
Object Classes:		Actual	Enacted	Request	Change
11.1	Perm Positions	1,025,028	971,865	1,071,922	\$100,057
11.3	Other than perm	6,963	10,809	11,077	268
11.5	Other per comp	166,594	314,696	348,241	33,545
11.8	Spec Srvc Pay	-	354	609	255
12.1	Benefits	424,953	353,511	412,126	58,615
13.0	Benefits-former	-	652	668	16
21.0	Travel	27,005	17,535	18,897	1,362
22.0	Transportation of things	5,548	4,657	4,786	129
23.1	GSA rent	3,156	40,737	---	(40,737)
23.2	Other rent	1,091	2,070	---	(2,070)
23.3	Communication, Utilities, and misc charges	34,410	26,542	28,596	2,054
24.0	Printing	656	4,203	3,999	(205)
25.1	Advisory & Assistance Services	3,427	---	---	---
25.2	Other Services	103,117	96,705	113,459	16,754
25.3	Purchase from Govt. Accts.	9,314	56,446	56,972	526
25.4	Operation & maintenance of facilities	17,994	19,183	19,183	---
25.5	Research & Development	8	17,259	4,272	(12,987)
25.6	Medical care	2,875	---	---	---
25.7	Operation & maintenance of equipment	19,968	4,103	5,164	1,061
25.8	Subsistence & Support of persons	622	---	---	---
26.0	Supplies & materials	22,049	27,477	27,136	(341)
31.0	Equipment	178,383	233,397	128,102	(105,295)
91.0	Unvouchered	---	1	1	---
Total, Inspections, Trade & Travel Facilitation at POEs		\$2,053,161	\$2,202,202	\$2,255,210	\$53,008
Full Time Equivalents		15,933	17,904	18,842	938

Footnote: Totals may not add due to rounding.

Inspections, Trade & Travel at the POE's

The purpose of Inspections, Trade and Travel Facilitation at Ports of Entry (POEs) is to facilitate the flow of legitimate travel and trade across U.S. borders, while ensuring that threats to the United States are not allowed entry, using technology, intelligence and risk information, targeting, and international cooperation in the screening of entering international cargo and travelers and departing export cargo. This program reduces the potential of terrorists, instruments of terror, and contraband from entering our country, while facilitating the legal flow of people and trade by deploying CBP officers, Agricultural Specialists, and Imports Specialists to the ports of entry. The goal of this program is to improve compliance with trade regulations and other mandatory import/export guidance while increasing the security of the United States.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$1,623,538	\$1,651,887	\$1,844,643	\$192,756

Salaries and Benefits includes costs for 18,842 FTEs. The FY 2010 request includes an increase of \$16,073,000 for pay annualization and \$24,728,000 for pay inflation. Annualization increases of \$2,248,000 for Customs Revenue Positions, \$59,515,000 for CBPOs Land Ports of Entry, \$18,413,000 CBPOs Air Ports of Entry, \$7,047,000 for Agricultural Specialist, \$4,942,000 for WHTI, \$16,769,000 for RPM Staffing, \$12,280,000 for Passenger Screening and \$838,000 for Regulatory Program. Program increases of \$25,000,000 for Law Enforcement Retirement, \$5,110,000 for Import Safety and \$3,126,000 for Combating Southbound Firearms and Currency Smuggling. FY 2009 numbers reflect \$3,333,000 of FY 2008 carryover balance.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$27,005	\$17,535	\$18,897	\$1,362

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2010 include a non recur of \$500,000 for 2010 Olympics. Annualization increases of \$88,000 for Customs Revenue positions, \$1,093,000 for CBPOs Land Ports of Entry, \$337,000 for CBPOs Air Ports of Entry, \$4,000 for WHTI, \$163,000 for RPM staffing, \$68,000 for Passenger Screening, \$32,000 for Regulatory Attorneys, \$704,000 for API/PNR, \$256,000 for Import Safety, \$249,000 for Combating Southbound Firearms and Currency Smuggling and a decrease of \$410,000 for Agricultural Specialist. FY 2009 numbers reflect \$722,047 of FY 2008 carryover.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Transportation of Things	\$5,548	\$4,657	\$4,786	\$129

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request annualization increases of \$72,000 for CBPOs Land Ports of Entry, \$22,000 for CBPOs Air Ports of Entry, \$11,000 for Agricultural Specialist, \$7,000 for WHTI, \$15,000 for RPM staffing, \$16,000 for Passenger Screening, \$23,000 for Import Safety, \$30,000 for Combating Southbound Firearms and Currency Smuggling and a decrease of \$1,000 for Regulatory Attorneys. FY 2009 numbers reflect \$65,700 of FY 2008 carryover.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
GSA rent	\$3,156	\$40,737	\$0	(\$40,737)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request includes annualization increases of \$209,000 for Customs Revenue positions, \$7,539,000 for CBPOs Land Ports of Entry, \$2,332,000 for CBPOs Air Ports of Entry, \$1,120,000 for Agricultural Specialist, \$573,000 for WHTI, \$2,037,000 for RPM staffing, \$1,506,000 for Passenger Screening, \$77,000 for Regulatory Attorneys, \$634,000 for Import Safety and \$455,000 for Combating Southbound Firearms and Currency Smuggling. Request includes realignment of rent cost associated with Import Safety \$634,000 and \$455,000 for Combating Southbound Firearms and Currency Smuggling to the new Facilities Account. Transfer of \$30,508,000 to support the new Facilities Account and a realignment of \$25,622,000 to OC 25.2

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Rent	\$1,091	\$2,070	\$0	(\$2,070)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request includes a non recur of \$808,000 for the 2010 Olympics. Program increases of \$27,000 for Import Safety and \$56,000 for Combating Southbound Firearms and Currency Smuggling. Request includes realignment of rent associated with Import Safety \$27,000 and \$56,000 for Combating Southbound Firearms and Currency Smuggling to support the new Facilities Account. Realignment of \$1,262,000 to OC 25.2.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous charges	\$34,410	\$26,542	\$28,596	\$2,054

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request non recur of \$942,000 for FY 2010 Olympics. Annualization increases of \$49,000 for Customs Revenue positions, \$1,495,000 for CBPOs Land Ports of Entry, \$464,000 for CBPOs Air Ports of Entry, \$288,000 for Agricultural Specialist, \$90,000 for WHTI, \$364,000 for RPM staffing, \$245,000 for Passenger Screening, \$17,000 for Regulatory Attorneys, \$240,000 for Import Safety and \$149,000 for Combating Southbound Firearms and Currency Smuggling. Request includes realignment of \$10,000 to the new Facilities Account. FY 2009 numbers reflect \$395,000 of FY 2008 carryover.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Printing	\$656	\$4,203	\$3,999	(\$205)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 request includes annualization increases of \$100,000 for CBPOs Land Ports of Entry, \$31,000 for CBPOs Air Ports of Entry, \$8,000 for WHTI, \$23,000 for RPM staffing, \$20,000 for Passenger Screening, \$6,000 for Import Safety, \$5,000 for Combating Southbound Firearms and Currency Smuggling and a decrease of \$37,000 for Agricultural Specialist. FY 2009 numbers reflect \$360,000 of FY 2008 carryover.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$3,427	\$0	\$0	\$0

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

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$103,117	\$96,705	\$113,459	\$16,754

Other Contractual Services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request includes non recur of \$1,150,000 for FY 2010 Olympics. Annualization decreases of \$19,000 for Customs Revenue Positions, \$392,000 for CBPOs Land Ports of Entry, \$122,000 CBPOs Air Ports of Entry, \$48,000 for Agricultural Specialist, \$127,000 for WHTI, \$341,000 for RPM Staffing, \$231,000 for Passenger Screening and annualization increase of \$2,000 for Regulatory Program. Program increases of \$52,000 for Import Safety, \$20,900,000 for WHTI, and \$4,551,000 for Combating Southbound Firearms and Currency Smuggling. Realignment of \$2,000 to support the new Facilities Account and an OC realignment of \$26,884,000 fr OC 23.2 and 23.1 FY 2009 numbers reflect \$33,202,870 of FY 2008 carryover balance.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$9,314	\$56,446	\$56,972	\$526

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request includes annualization increases of \$113,000 for Customs Revenue Positions, \$528,000 for CBPOs Land Ports of Entry, \$158,000 CBPOs Air Ports of Entry, \$381,000 for Agricultural Specialist, decreases of \$221,000 for WHTI, \$385,000 for RPM Staffing, \$521,000 for Passenger Screening and increase of \$42,000 for Regulatory Program. Program increases of \$40,000 for Import Safety and \$391,000 for Combating Southbound Firearms and Currency Smuggling.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$17,994	\$19,183	\$19,183	\$0

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$8	\$17,259	\$4,272	(\$12,987)

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 request includes annualization decreases of \$135,000 for Customs Revenue Positions, \$4,276,000 for CBPOs Land Ports of Entry, \$1,334,000 CBPOs Air Ports of Entry, \$496,000 for Agricultural Specialist, \$1,333,000 for WHTI, \$3,804,000 for RPM Staffing, \$3,268,000 for Passenger Screening and \$50,000 for Regulatory Program. Program increases of \$392,000 for Import Safety and \$1,317,000 for Combating Southbound Firearms and Currency Smuggling.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Medical Care	\$2,875	\$0	\$0	\$0

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2010 request has no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$19,968	\$4,103	\$5,164	\$1,061

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request includes \$1,061,000 for API/PNR.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Subsistence & Support of Persons	\$622	\$0	\$0	\$0

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$22,049	\$27,477	\$27,136	(\$341)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 includes annualization increases of \$4,000 for Customs Revenue Positions, \$340,000 for CBPOs Land Ports of Entry, \$152,000 CBPOs Air Ports of Entry, decreases of \$138,000 for Agricultural Specialist, \$168,000 for WHTI, \$436,000 for RPM Staffing, \$397,000 for Passenger Screening and annualization increase of \$1,000 for Regulatory Program. Program increases of \$115,000 for Import Safety and \$265,000 for Combating Southbound Firearms and Currency Smuggling. Realignment of \$2,000 to support the new Facilities Account. FY 2009 numbers reflect \$76,703 of FY 2008 carryover balance.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$178,383	\$233,397	\$128,102	(\$105,295)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 includes a non recur of \$8,500,000 for Global Entry, \$1,100,000 FY 2010 Olympics and \$21,607,000 for WHTI. Annualization decreases of \$386,000 for Customs Revenue Positions, \$4,353,000 for CBPOs Land Ports of Entry, \$1,369,000 CBPOs Air Ports of Entry, \$1,431,000 for Agricultural Specialist, \$5,804,000 for RPM Staffing, \$4,804,000 for Passenger Screening, \$143,000 for Regulatory Program and an increase of \$1,895,000 for WHTI. Program increases of \$3,106,000 for Import Safety, \$1,235,000 for API/PNR, and \$8,025,000 for Combating Southbound Firearms and Currency Smuggling. FY 2009 numbers reflect \$70,058,583 of FY 2008 carryover balance.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Unvouchered	\$0	\$1	\$1	\$0

Unvouchered includes expenditures made lawfully for confidential purposes, including authorized payments made by law enforcement personnel to informants, which are not subject to detailed vouchering or reporting. The FY 2010 includes no change.

Department of Homeland Security
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Salaries and Expenses
Summary of Requirements by Object Class
(Dollars in Thousands)

PPA: Harbor Maintenance Fee Collection		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	-	2,295	2,351	\$56
11.3	Other than perm	-	31	32	1
12.1	Benefits	-	580	594	14
21.0	Travel	---	30	30	---
23.3	Communication, Utilities, and misc charges	---	5	5	---
25.2	Other Services	---	164	165	1
25.3	Purchase from Govt. Accts.	3,093	---	---	---
26.0	Supplies & materials	---	30	30	---
31.0	Equipment	---	19	19	---
Total, Harbor Maintenance Fee Collection		\$3,093	\$3,154	\$3,226	\$72
Full Time Equivalents		---	---	---	---

Footnote: Totals may not add due to rounding.

Harbor Maintenance Fee Collection

The Harbor Maintenance Fee is an Army Corps of Engineers (COE) fee, which is collected for the operation and maintenance, as well as improvements, of U.S. channels and harbors. CBP is reimbursed for a portion of the costs associated with the collection of the fee for the COE.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$0	\$2,906	\$2,977	\$71

Salaries and Benefits includes costs for 0 FTEs. The FY 2010 request includes a pay annualization increase of 28,000 and a increase of \$44,000 for pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$0	\$30	\$30	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes a no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$0	\$5	\$5	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$0	\$164	\$165	\$1

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request includes a no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$3,093	\$0	\$0	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$0	\$30	\$30	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes a no change

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$0	\$19	\$19	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes no change.

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Summary of Requirements by Object Class
(Dollars in Thousands)

PPA: International Cargo Screening		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	27,061	24,430	25,035	\$605
11.3	Other than perm	25	63	65	2
11.5	Other per comp	1,868	228	233	5
11.8	Spec Srvc Pay	-	13	13	---
12.1	Benefits	15,402	11,311	11,591	280
21.0	Travel	13,345	20,557	20,557	---
22.0	Transportation of things	1,233	1,319	1,319	---
23.1	GSA rent	103	205	---	(205)
23.2	Other rent	391	2	---	(2)
23.3	Communication, Utilities, and misc charges	14,676	8,066	8,066	---
24.0	Printing	1	1,124	1,124	---
25.1	Advisory & Assistance Services	364	---	---	---
25.2	Other Services	40,745	39,387	39,173	(214)
25.3	Purchase from Govt. Accts.	17,468	14,067	14,067	---
25.4	Operation & maintenance of facilities	11	---	---	---
25.5	Research & Development	---	30	30	---
25.6	Medical care	12	---	---	---
25.7	Operation & maintenance of equipment	5,034	1,014	16,514	15,500
26.0	Supplies & materials	1,136	2,030	2,030	---
31.0	Equipment	6,998	25,548	25,548	---
91.0	Unvouchered	11	56	56	---
Total, International Cargo Screening		\$145,884	\$149,450	165,421	\$15,971
Full Time Equivalents		173	189	189	---

Footnote: Totals may not add due to rounding.

International Cargo Screening

International Cargo Screening (ICS), which includes CBP's Container Security Initiative (CSI) and Secure Freight Initiative (SFI), enhance the security of maritime containerized shipping from exploitation by terrorists. ICS's goal is three-fold: (1) to expand operations to new critical international seaports; (2) to secure and improve operations at existing ports; and (3) to encourage global efforts to enhance maritime container security through capacity building. Working with foreign administrations, CSI is designed to achieve a more secure maritime trade environment while ensuring the need for efficiency in global commerce. The three core elements of the program are: (1) establishing security criteria and identify high-risk containers; (2) scanning those containers identified as high-risk prior to arrival at U.S. ports; (3) using technology to quickly scan high-risk containers.

The SFI builds on the operational pillars of the DHS Container Security Initiative (CSI) and the Department of Energy Mega ports initiative to maximize radiological and nuclear screening of U.S. bound maritime containers in foreign ports of departure. It merges data from a next generation risk assessment screening program and an overseas integrated detection network with existing and new information regarding maritime containers transiting through the supply chain in order to create detailed records for CBP's risk management process to target maritime containers that pose a threat.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$44,356	\$36,045	\$36,937	\$892

Salaries and Benefits includes costs for 189 FTEs. The FY 2010 request includes an increase of \$351,000 for pay annualization and \$541,000 for pay inflation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$13,345	\$20,557	\$20,557	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Transportation of Things	\$1,233	\$1,319	\$1,319	\$0

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request includes no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
GSA rent	\$103	\$205	\$0	(\$205)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request includes a transfer of \$421,000 to support the new Facilities Account. There is also an object class realignment of \$216,000 from object classes 23.2 and 25.2. All funds in this object class will be transferred out to the new proposed Facilities Account.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Rent	\$391	\$2	\$0	(\$2)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request includes a object class realignment of \$2,000 to 23.1 to support the new proposed Facility Account.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous charges	\$14,676	\$8,066	\$8,066	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Printing	\$1	\$1,124	\$1,124	\$0

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

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$364	\$0	\$0	\$0

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

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$40,745	\$39,387	\$39,173	(\$214)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY2010 request includes a object class realignment of \$214,000 to 23.1

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$17,468	\$14,067	\$14,067	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request includes a no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$11	\$0	\$0	\$0

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$0	\$30	\$30	\$0

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 request includes a no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Medical Care	\$12	\$0	\$0	\$0

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2010 request has no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$5,034	\$1,014	\$16,514	\$15,500

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request includes a base fund adjustment of \$15,500,000 for Secure Freight.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$1,136	\$2,030	\$2,030	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes a no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$6,998	\$25,548	\$25,548	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Unvouchered	\$11	\$56	\$56	\$0

Unvouchered includes expenditures made lawfully for confidential purposes, including authorized payments made by law enforcement personnel to informants, which are not subject to detailed vouchering or reporting. The FY 2010 request includes a no change.

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Salaries and Expenses
Summary of Requirements by Object Class
(Dollars in Thousands)

PPA: Other International Programs		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	6,847	5,934	6,081	\$147
11.3	Other than perm	31	32	32	---
11.5	Other per comp	196	10	10	---
12.1	Benefits	1,890	1,973	2,022	49
21.0	Travel	741	939	647	(292)
22.0	Transportation of things	29	70	70	---
23.3	Communication, Utilities, and misc charges	144	71	71	---
25.1	Advisory & Assistance Services	274	---	-	---
25.2	Other Services	2,512	1,699	1,700	1
25.3	Purchase from Govt. Accts.	1,914	---	-	---
25.7	Operation & maintenance of equipment	3	---	-	---
25.8	Subsistence & Support of persons	---	12	12	---
26.0	Supplies & materials	226	160	160	---
31.0	Equipment	485	376	376	---
Total, Other International Programs		\$15,292	\$11,276	\$11,181	(\$95)
Full Time Equivalents		101	101	101	---

Footnote: Totals may not add due to rounding.

Other International Programs

The goal of Other International Programs is to extend the U.S. zone of security beyond U.S. Borders by promoting international border security and global standards. In this arena, CBP implements programs and initiatives that support the U.S. Government's objectives in anti-terrorism, border security, non-proliferation, export controls, immigration and capacity building. This program's efforts foster and facilitate legitimate international trade, increase compliance, build alliances to combat trans-national crime, reduce corruption, strengthen border controls, promote the rule of law and enhance economic stability throughout the world. This is accomplished through the development and maintenance of collaborative relations with foreign governments, the development of international strategies, and representation of CBP positions in various international forums, international technical assistance and training, and the negotiation of international agreements.

In FY 2010, CBP will pursue international partnerships to share best practices, exchange information and promote the facilitation of secure travel and trade; actively support implementation of the World Customs Organization framework; and implement initiatives to support an international immigration strategy to identify and interdict high risk travelers.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$8,964	\$7,949	\$8,145	\$196

Salaries and Benefits includes costs for 101 FTEs. The FY 2010 request includes an increase of \$119,000 for pay inflation and \$77,000 for pay annualization.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$741	\$939	\$647	(\$292)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. FY 2009 numbers reflect \$292,450 of FY 2008 carryover balance.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$29	\$70	\$70	\$0

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request includes a no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$144	\$71	\$71	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes a no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$274	\$0	\$0	\$0

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

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$2,512	\$1,699	\$1,700	\$1

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$1,914	\$0	\$0	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$3	\$0	\$0	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Subsistence & Support of Persons	\$0	\$12	\$12	\$0

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$226	\$160	\$160	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$485	\$376	\$376	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes a no change.

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Summary of Requirements by Object Class
(Dollars in Thousands)

PPA: C-TPAT		2008	2009	2010	2009 to 2010
Object Classes:		Actual	Enacted	Request	Change
11.1	Perm Positions	17,429	29,411	30,139	\$728
11.3	Other than perm	-	19	19	---
11.5	Other per comp	3,455	40	41	1
12.1	Benefits	7,159	3,570	3,659	89
21.0	Travel	9,810	7,931	7,931	---
22.0	Transportation of things	318	323	323	---
23.1	GSA rent	3,017	3,988	-	(3,988)
23.3	Communication, Utilities, and misc charges	110	184	184	---
24.0	Printing	19	---	-	---
25.2	Other Services	10,971	9,567	10,853	1,286
25.3	Purchase from Govt. Accts.	238	12	12	---
25.4	Operation & maintenance of facilities	104	---	-	---
25.5	Research & Development	---	221	221	---
25.7	Operation & maintenance of equipment	634	---	-	---
26.0	Supplies & materials	391	1,170	1,170	---
31.0	Equipment	3,747	8,060	8,060	---
Total, C-TPAT		\$57,402	\$64,496	\$62,612	(\$1,884)
Full Time Equivalents		182	207	207	---

Footnote: Totals may not add due to rounding.

C-TPAT (formerly C-TPAT/FAST/NEXUS/SENTRI)

The Customs-Trade Partnership Against Terrorism (C-TPAT) is a partnership between the Federal government and private industry. It is an effort that CBP has undertaken with the business community to secure the supply chain. The goal of C-TPAT is to develop and maintain a secure supply chain, from factory floor to port of entry, which enables CBP to facilitate trade and ensure safe and secure borders. C-TPAT is designed to use and enhance the security processes and procedures currently employed by the trade community and ensure that international shipments are not compromised nor diverted by terrorists or their accomplices.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$28,043	\$33,040	\$33,858	\$818

Salaries and Benefits includes costs for 207 FTEs. The FY 2010 request includes an increase of \$496,000 for pay inflation and \$322,000 for pay annualization.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$9,810	\$7,931	\$7,931	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes a no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$318	\$323	\$323	\$0

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request includes a no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$3,017	\$3,988	\$0	(\$3,988)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request includes a Facilities Consolidation transfer of \$2,702,000 and a realignment of \$1,286,000 to OC 25.2.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$110	\$184	\$184	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$19	\$0	\$0	\$0

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

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$10,971	\$9,567	\$10,853	\$1,286

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY2010 request includes a object class realignment of \$1,286,000 from 23.1

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$238	\$12	\$12	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$104	\$0	\$0	\$0

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$0	\$221	\$221	\$0

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 request includes a no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$634	\$0	\$0	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$391	\$1,170	\$1,170	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$3,747	\$8,060	\$8,060	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes no change.

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Summary of Requirements by Object Class
(Dollars in Thousands)

PPA: Trusted Traveler Program		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
21.0	Travel	764	475	475	---
24.0	Printing	112	-	-	---
25.1	Advisory & Assistance Services	1,404	-	-	---
25.2	Other Services	7,298	8,707	8,707	---
25.4	Operation & maintenance of facilities	242	-	-	---
25.7	Operation & maintenance of equipment	82	-	-	---
26.0	Supplies & materials	1,076	-	-	---
31.0	Equipment	208	2,092	2,092	---
Total, Trusted Traveler Program		\$11,186	\$11,274	\$11,274	\$0
Full Time Equivalents		---	---	---	---

Footnote: Totals may not add due to rounding.

Trusted Traveler Program

CBP requests to change the FAST/NEXUS/SENTRI PPA title to the Trusted Traveler Program (TTP) to provide a better representation of the program. CBP's trusted traveler programs enhance the agency's ability to expedite the process and facilitate known, low risk "trusted travelers" arriving into the United States by allowing CBP Officers additional time to focus on higher risk, unknown travelers; develop and implement national policies related to trusted traveler programs; provide guidance to the field locations on the operation of trusted traveler programs; strategize the growth of current programs and the development and implementation of new programs; responds to congressional and industry inquiries of trusted traveler program related matters, and etc.

Currently, CBP TTP has four programs – NEXUS, Secure Electronic Network for Travelers Rapid Inspection (SENTRI), Free and Secure Trade (FAST), and Global Entry.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$764	\$475	\$475	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes an no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Printing	\$112	\$0	\$0	\$0

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

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$1,404	\$0	\$0	\$0

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

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$7,298	\$8,707	\$8,707	\$0

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY2010 request includes a no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$242	\$0	\$0	\$0

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$82	\$0	\$0	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$1,076	\$0	\$0	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$208	\$2,092	\$2,092	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes a no change.

Department of Homeland Security
U.S. Customs and Border Protection
Salaries and Expenses
Summary of Requirements by Object Class
(Dollars in Thousands)

		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
PPA: Inspection and Detection Technology					
Object Classes:					
21.0	Travel	384	1,115	1,115	---
23.1	GSA rent	334	(379)	---	379
23.2	Other rent	---	100	---	(100)
23.3	Communication, Utilities, and misc charges	178	789	789	---
24.0	Printing	5	11	11	---
25.1	Advisory & Assistance Services	108	---	---	---
25.2	Other Services	83,334	88,228	87,268	(960)
25.3	Purchase from Govt. Accts.	1,097	---	---	---
25.6	Medical care	24	---	---	---
25.7	Operation & maintenance of equipment	5,441	---	---	---
26.0	Supplies & materials	175	462	462	---
31.0	Equipment	3,571	55,618	53,918	(1,700)
PPA: Inspection and Detection Technology		\$94,651	\$145,944	\$143,563	(\$2,381)
Full Time Equivalents		---	---	---	---

Footnote: Totals may not add due to rounding.

The table above excludes ARRA funding of \$100 million provided in P.L. 111-5.

Inspection and Detection Technology

As trade increases, CBP's reliance on Non-Intrusive Inspection (NII) technology to secure the borders becomes increasingly critical. In conjunction with CBP's many other initiatives (C-TPAT, Automated Targeting System (ATS), National Targeting Center (NTC), Container Security Initiative (CSI), etc.), NII allows us to work smarter. An adversary can defeat any single sensor or device, and therefore, CBP does not rely on any single technology or inspection process. Instead, CBP uses various technologies in different combinations to substantially increase the likelihood that a nuclear or radiological weapon or weapons grade material will be detected. In addition, CBP uses NII technology to detect and interdict narcotics, currency, and other contraband secreted in large containers and commercial shipments.

NII technology has been the cornerstone of CBP's multi-layered strategy. Technologies deployed to our nation's land, sea, and airports of entry include large-scale X-ray and gamma-imaging systems, as well as a variety of portable and handheld technologies, to include our recent focus on radiation detection technology. NII technologies are viewed as force multipliers that enable us to screen or examine a larger portion of the stream of commercial traffic while facilitating the flow of legitimate trade, cargo and passengers.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$384	\$1,115	\$1,115	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$334	(\$379)	\$0	\$379

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request includes a transfer of \$379,000 to support the Facilities Account.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Rent	\$0	\$100	\$0	(\$100)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request includes a realignment of \$2,000 to OC 25.2 and a decrease of 102,000 transferred to the new proposed Facility Account.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$178	\$789	\$789	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$5	\$11	\$11	\$0

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 request includes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$108	\$0	\$0	\$0

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

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$83,334	\$88,228	\$87,268	(\$960)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request includes a transfer of \$381,000 from OC 23.1 & OC 23.2 and a decrease of \$579,000 to support the Facilities Account.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$1,097	\$0	\$0	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Medical Care	\$24	\$0	\$0	\$0

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$5,441	\$0	\$0	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$175	\$462	\$462	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (e) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$3,571	\$55,618	\$53,918	(\$1,700)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes a non recur of \$1,700,000 for Project Seahawk.

Department of Homeland Security
U.S. Customs and Border Protection
Salaries and Expenses
Summary of Requirements by Object Class
(Dollars in Thousands)

PPA: Systems for Targeting		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	1,000	352	361	\$9
11.3	Other than perm	3	-	-	---
11.5	Other per comp	5	-	-	---
12.1	Benefits	320	22	23	1
21.0	Travel	778	89	89	---
23.3	Communication, Utilities, and misc charges	58	17	17	---
25.2	Other Services	6,015	15,285	15,285	---
25.7	Operation & maintenance of equipment	16,336	10,102	10,102	---
26.0	Supplies & materials	63	63	63	---
31.0	Equipment	2,253	6,620	6,620	---
Total, Systems for Targeting		\$26,831	\$32,550	\$32,560	\$10
Full Time Equivalents		8	8	8	---

Footnote: Totals may not add due to rounding.

Systems for Targeting

At the core of CBP's ability to achieve its critical border security objectives and maintain the flow of lawful commerce is CBP's ability to identify high-risk travelers and goods for inspection while allowing the vast majority of law abiding travelers and commerce to continue to their destination without unnecessary delay. Legislation and regulatory action, such as the Trade Act of 2002 and the Safe Port Act, respectively, have made it mandatory to provide advance information about passengers and goods arriving in the U.S. CBP uses computer technology and rule-based applications to analyze the data provided on passengers and shipments arriving in the U.S. CBP applies its targeting methods against the data to determine which passengers or shipments need to be segregated for a closer look and possibly inspection.

The main platform CBP uses to analyze arriving passenger and shipment data is the Automated Targeting System (ATS). ATS is a web-based enforcement and decision support tool that is the cornerstone for all CBP's targeting efforts. ATS incorporates intelligence information and technologies to target suspect inbound and outbound shipments for examinations and passengers for inspection. In this way, ATS allows CBP officers to focus their efforts on cargo shipments and passengers that most warrant further attention. ATS standardizes names, addresses, ship names, and similar data so these data elements can be more easily associated with other business data to form a more complete picture of a passenger, import, or export in context with previous behavior of the parties involved. Every passenger and shipment processed through ATS is subjected to a real-time risk evaluation. Risk assessment strategies are multi-tiered in their approach and are founded on complex statistical studies, data analysis, and rules based on knowledge engineering.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$1,328	\$374	\$384	\$10

Salaries and Benefits includes costs for 8 FTEs. The FY 2010 request includes an increase of \$4,000 for pay annualization, \$6,000 for pay increase.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$778	\$89	\$89	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$58	\$17	\$17	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$6,015	\$15,285	\$15,285	\$0

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$16,336	\$10,102	\$10,102	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$63	\$63	\$63	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$2,253	\$6,620	\$6,620	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes a no change.

**Department of Homeland Security
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Salaries and Expenses**

Summary of Requirements by Object Class
(Dollars in Thousands)

PPA: National Targeting Center		2008	2009	2010	2009 to 2010
Object Classes:		Actual	Enacted	Request	Change
11.1	Perm Positions	11,383	11,424	12,520	\$1,096
11.3	Other than perm	36	-	-	---
11.5	Other per comp	1,888	574	644	70
12.1	Benefits	5,027	3,657	4,211	554
21.0	Travel	1,679	3,198	3,273	75
22.0	Transportation of things	237	13	22	9
23.1	GSA rent	1,362	1,395	---	(1,395)
23.3	Communication, Utilities, and misc charges	97	1,645	1,689	44
24.0	Printing	9	9	11	2
25.1	Advisory & Assistance Services	18	---	---	---
25.2	Other Services	815	209	411	202
25.3	Purchase from Govt. Accts.	708	---	125	125
25.4	Operation & maintenance of facilities	126	1,228	1,228	---
25.5	Research & Development	---	---	397	397
25.7	Operation & maintenance of equipment	1,462	---	---	---
26.0	Supplies & materials	183	202	282	80
31.0	Equipment	316	927	1,541	614
Total, National Targeting Center		\$25,346	\$24,481	\$26,354	\$1,873
Full Time Equivalents		120	131	142	11

Footnote: Totals may not add due to rounding.

National Targeting Center

The priority mission of the U.S. Customs and Border Protection's National Targeting Center (NTC) is to provide around-the-clock tactical targeting and analytical research support for CBP anti-terrorism efforts. NTC is primarily staffed by CBP officers and Field Analysis Specialists who are experts in passenger and cargo targeting for air, sea, and land operations in the inbound and outbound environments. The NTC staff develops tactical targets from raw intelligence in support of the CBP mission to detect and prevent terrorists and terrorist weapons from entering the United States. NTC supports all CBP field elements, including Container Security Initiative personnel stationed in countries throughout the world, with additional research assets for passenger and cargo examinations.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$18,334	\$15,655	\$17,375	\$1,720

Salaries and Benefits includes costs for 142 FTEs. The FY 2010 request includes increases of \$153,000 for pay annualization, \$235,000 for pay inflation and \$1,331,000 for Analyze and Employ Information and Intelligence (NTCP and NTCC) program increase.

	2008	2009	2010	2009 to 2010
	<u>Actual</u>	<u>Enacted</u>	<u>Request</u>	<u>Change</u>
Travel	\$1,679	\$3,198	\$3,273	\$75

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes a increase of \$75,000 for Analyze and Employ Information and Intelligence (NTCP and NTCC) program increase.

	2008	2009	2010	2009 to 2010
	<u>Actual</u>	<u>Enacted</u>	<u>Request</u>	<u>Change</u>
Transportation of Things	\$237	\$13	\$22	\$9

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request includes a increase of \$9,000.

	2008	2009	2010	2009 to 2010
	<u>Actual</u>	<u>Enacted</u>	<u>Request</u>	<u>Change</u>
GSA rent	\$1,362	\$1,395	\$0	(\$1,395)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request includes a increase of \$135,000 for Analyze and Employ Information and Intelligence (NTCP and NTCC) program increase, a decrease of \$135,000 for rent associated with the program increase realigned to new facilities account. A decrease of \$1,362,000 to support the new proposed Facility Account and an object class realignment of \$33,000 to OC 25.2.

	2008	2009	2010	2009 to 2010
	<u>Actual</u>	<u>Enacted</u>	<u>Request</u>	<u>Change</u>
Communication, Utilities, and miscellaneous charges	\$97	\$1,645	\$1,689	\$44

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes a increase of \$44,000 for Analyze and Employ Information and Intelligence (NTCP and NTCC) program change.

	2008	2009	2010	2009 to 2010
	<u>Actual</u>	<u>Enacted</u>	<u>Request</u>	<u>Change</u>
Printing	\$9	\$9	\$11	\$2

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 request includes a \$2,000 program increase for Analyze and Employ Information and Intelligence (NTCP & NTCC).

	2008	2009	2010	2009 to 2010
	<u>Actual</u>	<u>Enacted</u>	<u>Request</u>	<u>Change</u>
Advisory and Assistance Services	\$18	\$0	\$0	\$0

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

	2008	2009	2010	2009 to 2010
	<u>Actual</u>	<u>Enacted</u>	<u>Request</u>	<u>Change</u>
Other Services	\$815	\$209	\$411	\$202

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY2010 request includes a program increase of \$171,000 for Analyze and Employ Information and Intelligence (NTCP & NTCC) and a object class realignment of \$33,000 from OC 23.1.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$708	\$0	\$125	\$125

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request includes a increase of \$125,000 for Analyze and Employ Information and Intelligence (NTCP and NTCC) program increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$126	\$1,228	\$1,228	\$0

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 request includes a no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$0	\$0	\$397	\$397

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 request includes an increase of \$397,000 Analyze and Employ Information and Intelligence (NTCP and NTCC) program increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$1,462	\$0	\$0	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request includes no increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$183	\$202	\$282	\$80

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes a non pay increase of \$80,000 for Analyze and Employ Information and Intelligence (NTCP and NTCC).

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$316	\$927	\$1,541	\$614

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes a increase of \$614,000 for Analyze and Employ Information and Intelligence (NTCP and NTCC).

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Summary of Requirements by Object Class
(Dollars in Thousands)

PPA: Training at the Ports of Entry		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	162	-	-	\$0
11.5	Other per comp	12	-	-	---
12.1	Benefits	126	-	-	---
21.0	Travel	10,626	8,954	8,954	---
22.0	Transportation of things	47	---	---	---
23.2	Other rent	100	---	---	---
23.3	Communication, Utilities, and misc charges	180	148	148	---
25.1	Advisory & Assistance Services	8	---	---	---
25.2	Other Services	4,037	9,985	9,985	---
25.3	Purchase from Govt. Accts.	8,453	---	---	---
25.4	Operation & maintenance of facilities	247	---	---	---
25.7	Operation & maintenance of equipment	116	---	---	---
26.0	Supplies & materials	1,722	1,837	1,837	---
31.0	Equipment	1,144	3,854	3,854	---
Total, Training at the Ports of Entry		\$26,980	\$24,778	\$24,778	\$0
Full Time Equivalents		---	---	---	---

Footnote: Totals may not add due to rounding.

Training at the Ports of Entry

The Office of Training and Development exists to develop and deliver basic, mid, and advanced level training programs for all CBP employees, especially mission critical occupations (e.g., CBP Officers, Agricultural Specialists, Imports Specialists, and Entry Specialists) at the ports of entry. This training empowers CBP employees with the necessary skill sets to achieve the goal of combating terrorism, improving border security, improving inspection and control, and facilitating trade.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$300	\$0	\$0	\$0

Salaries and Benefits includes costs for 8,443 FTEs. The FY 2006 request includes an increase of \$12,346,000 for the proposed January 2006 2.6 percent increase in personnel compensation, \$6,480,000 in non-pay inflation, \$35,260,000 in (explain in detail), and \$7,664,000 in program increases.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$10,626	\$8,954	\$8,954	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$47	\$0	\$0	\$0

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request includes no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Rent	\$100	\$0	\$0	\$0

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request includes no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous charges	\$180	\$148	\$148	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$8	\$0	\$0	\$0

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

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$4,037	\$9,985	\$9,985	\$0

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request includes a no

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Purchase from Government Accounts	\$8,453	\$0	\$0	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request includes no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Operation & maintenance of facilities	\$247	\$0	\$0	\$0

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 request includes no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Operation & Maintenance of equipment	\$116	\$0	\$0	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request includes no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Supplies & materials	\$1,722	\$1,837	\$1,837	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request no change..

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Equipment	\$1,144	\$3,854	\$3,854	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes no change.

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Salaries and Expenses
Summary of Requirements by Object Class
(Dollars in Thousands)

PPA: Border Security and Control Between the POEs		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	1,032,601	1,449,675	1,721,836	\$272,161
11.3	Other than perm	1,127	13,980	14,326	346
11.5	Other per comp	394,326	262,497	392,514	130,017
11.8	Spec Srvc Pay	-	5	5	---
12.1	Benefits	607,319	733,768	870,407	136,639
13.0	Benefits-former	9	82	84	2
21.0	Travel	60,894	118,277	92,660	(25,617)
22.0	Transportation of things	4,054	2,897	1,847	(1,050)
23.1	GSA rent	64,324	33,627	-	(33,627)
23.2	Other rent	12,250	29,125	-	(29,125)
23.3	Communication, Utilities, and misc charges	22,334	32,282	43,445	11,163
24.0	Printing	985	465	1,236	771
25.1	Advisory & Assistance Services	11,728	-	-	---
25.2	Other Services	320,551	255,925	72,046	(183,879)
25.3	Purchase from Govt. Accts.	29,483	17,787	39,013	21,226
25.4	Operation & maintenance of facilities	12,176	23,339	12,122	(11,217)
25.5	Research & Development	2	44,189	6,766	(37,423)
25.6	Medical care	1,431	-	-	---
25.7	Operation & maintenance of equipment	44,714	30,305	30,305	---
25.8	Subsistence & Support of persons	2,106	-	-	---
26.0	Supplies & materials	105,023	73,372	68,063	(5,309)
31.0	Equipment	293,085	357,584	138,245	(219,339)
32.0	Land & Structures	9,459	7,736	-	(7,736)
42.0	Indemnity	1,602	-	-	---
91.0	Unvouchered	114	88	88	---
Total, Border Security and Control Between the POEs		3,031,697	\$3,487,005	\$3,505,008	\$18,003
Full Time Equivalents		16,891	21,466	22,774	1,308

Footnote: Totals may not add due to rounding.

Border Security and Control Between the POEs

The Office of Border Patrol (OBP) has been delegated with the authority and responsibility to deliver the Executive Branch Program for "Border Security and Control between the Ports of Entry." The primary purpose of this program is to prevent the entry of terrorists and their instruments of terror, illegal immigrants, and contraband, while facilitating the legitimate flow of people, goods, and services on which the economy depends. The program will be accomplished through the judicious use of resources including personnel, surveillance technology, communications, transportation, facilities, and mission support activities.

Border Patrol agents deter uncontrolled entry into the interior of the U.S. by: the rapid detection, interception, and apprehension of illegal entrants at or near the border; interdicting or deterring illegal aliens, drug smugglers, potential terrorists and criminals from attempting illegal entry between ports-of-entry; and causing persons seeking admission into the U.S. to present themselves at designated ports for inspection.

Strategic issues and challenges evolve around integrating unique and broader enforcement authorities working to uncover systemic vulnerabilities that pose a threat to the Nation and its economy and work to eliminate vulnerabilities as quickly as possible. Through an array of investigative processes in the areas of smuggling, finance and national security, Border Patrol's OI is challenged to identify the people, materials, & funding essential to sustaining terrorist threats and criminal enterprises, and to disrupt and dismantle their operations.

The requested amount will help address Border Patrol's strategic challenges of disrupting terrorist threats and preventing potential terrorists and immigration violators from entering the country. More effective immigration enforcement will contribute to enhanced national security as well as greater deterrence.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$2,035,382	\$2,460,007	\$2,999,172	\$539,165

Salaries and Benefits include costs for 22,774 FTEs. The FY10 request includes increases of \$23,985,000 for pay annualization, \$36,900,000 for pay inflation, \$337,982,000 for annualization of FY08 3000 agents, \$1,045,000 for annualization of FY08 259 mission support positions, decrease of \$23,900,000 for FY08 relocations, increases of \$176,540,000 for annualization of FY09 agents and support, \$923,000 for annualization of construction positions, \$2,832,000 for Combating Southbound Firearms and Currency Smuggling, and decrease of \$17,142,000 for FY 2010 PPA realignment for A&M salaries from BP.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$60,894	\$118,277	\$92,660	(\$25,617)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes a decrease of \$25,575,000 for non-recurring relocation costs, increase of \$874,000 for annualization of FY08 3000 agents, decrease of \$321,000 for annualization of FY08 259 mission support positions, decrease of \$592,000 for annualization of FY09 agents and support, increase of \$46,000 for annualization of construction positions, increase of \$323,000 for Combating Southbound Firearms and Currency Smuggling and decrease of \$372,000 for FY10 realignment for A&M salaries.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$4,054	\$2,897	\$1,847	(\$1,050)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request includes a decrease of \$535,000 for non-recurring relocation costs, \$77,000 for annualization of FY08 259 mission support, decrease of \$469,000 for annualization of FY09 agents and support, decrease of \$1,000 for annualization of construction positions and an increase of \$32,000 for Combating Southbound Firearms and Currency Smuggling.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$64,324	\$33,627	\$0	(\$33,627)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request includes an increase of \$7,061,000 for annualization of FY08 3000 agents, increase of \$1,289,000 for annualization of FY08 259 mission support, increase of \$7,238,000 for annualization of FY09 agents and support, increase of \$109,000 for annualization of construction positions, increase of \$320,000 for Combating Southbound Firearms and Currency Smuggling, decrease of \$320,000 for removal of rent for FY10 initiatives, decrease of \$81,044,000 for facilities consolidation and \$31,720,000 for realignment.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Rent	\$12,250	\$29,125	\$0	(\$29,125)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request includes an increase of \$37,000 for Combating Southbound Firearms and Currency Smuggling, decrease of \$37,000 for removal of rent for FY10 initiatives, and a decrease of \$29,125,000 for realignment.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$22,334	\$32,282	\$43,445	\$11,163

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes an increase of \$8,066,000 for annualization of FY08 3000 agents, increase of \$56,000 for annualization of FY08 259 mission support, increase of \$3,009,000 for annualization of FY09 agents and support, increase of \$26,000 for annualization of construction positions, increase of \$101,000 for Combating Southbound Firearms and Currency Smuggling, and a decrease of \$94,000 for facilities consolidation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$985	\$465	\$1,236	\$771

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 request includes an increase of \$558,000 for annualization of FY08 3000 agents, increase of \$209,000 for annualization of FY09 FY09 agents and support, and an increase of \$4,000 for Combating Southbound Firearms and Currency Smuggling.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$11,728	\$0	\$0	\$0

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2009 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$320,551	\$255,925	\$72,046	(\$183,879)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request includes a decrease of \$153,230,000 for annualization of FY08 3000 agents, decrease of \$5,681,000 for annualization of FY08 259 mission support, decrease of \$9,579,000 for annualization of FY09 FY09 agents and support, decrease of \$1,000 for annualization of construction positions, increase of \$328,000 for Combating Southbound Firearms and Currency Smuggling, decrease of \$300,000 for FY10 PPA realignment for A&M salaries from BP, decrease of \$2,757,000 for facilities consolidation and increase of \$1,141,000 for realignment. FY 2009 numbers reflect \$13,800,000 in carryover balances from FY 2008.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$29,483	\$17,787	\$39,013	\$21,226

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request includes an increase of \$17,473,000 for annualization of FY08 3000 agents, increase of \$951,000 for annualization of FY08 259 mission support, increase of \$2,535,000 for annualization of FY09 agents and support, increase of \$59,000 for annualization of construction positions, and an increase of \$208,000 for Combating Southbound Firearms and Currency Smuggling.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of Facilities	\$12,176	\$23,339	\$12,122	(\$11,217)

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 request includes a decrease of \$11,217,000 for annualization of BP Agents.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$2	\$44,189	\$6,766	(\$37,423)

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 request includes an increase of \$3,247,000 for annualization of FY08 3000 agents, increase of \$84,000 for annualization of FY08 259 mission support, decrease of \$41,697,000 for annualization of FY09 agents and support, decrease of \$71,000 for annualization of construction positions, increase of \$1,014,000 for Combating Southbound Firearms and Currency Smuggling.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Medical Care	\$1,431	\$0	\$0	\$0

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2010 request includes increases of \$45,000 for annualization of BP Agents, and \$2,000 for annualization of mission support. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of Equipment	\$44,714	\$30,305	\$30,305	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Subsistence & Support of Persons	\$2,106	\$0	\$0	\$0

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. The FY 2009 request includes no increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & Materials	\$105,023	\$73,372	\$68,063	(\$5,309)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes a decrease of \$1,335,000 for annualization of FY08 3000 agents, decrease of \$1,800,000 for annualization of FY08 259 mission support, decrease of \$2,193,000 for annualization of FY09 agents and support, increase of \$2,000 for annualization of construction positions, increase of \$268,000 for Combating Southbound Firearms and Currency Smuggling, decrease of \$235,000 FY10 PPA realignment for A&M salaries from BP, and a decrease of \$16,000 for facilities consolidation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$293,085	\$357,584	\$138,245	(\$219,339)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes a decrease of \$1,638,000 for non-recurring radios, decrease of \$5,354,000 for non-recurring vehicles, decrease of \$109,859,000 for annualization of FY08 3000 agents, decrease of \$7,847,000 for annualization of FY08 259 mission support, decrease of \$96,985,000 for annualization of FY09 agents and support, decrease of \$202,000 for annualization of construction positions, increase of \$2,914,000 for Combating Southbound Firearms and Currency Smuggling, and a decrease of \$368,000 for FY10 realignment for A&M salaries from BP.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Land & Structures	\$9,459	\$7,736	\$0	(\$7,736)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2010 request includes a decrease of \$4,000,000 for annualization for FY08 3000 agents and decrease of \$3,736,000 for realignment.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Indemnity	\$1,602	\$0	\$0	\$0

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2006 request includes an increase of \$1,000 in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Unvouchered	\$114	\$88	\$88	\$0

Unvouchered includes expenditures made lawfully for confidential purposes, including authorized payments made by law enforcement personnel to informants, which are not subject to detailed vouchering or reporting. The FY 2010 request includes no change.

Department of Homeland Security
U.S. Customs and Border Protection
Salaries and Expenses
Summary of Requirements by Object Class
(Dollars in Thousands)

PPA: Training between the Ports of Entry		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	8,581	12,896	12,896	\$0
11.3	Other than perm	12	-	-	---
11.5	Other per comp	1,757	2,641	2,641	---
12.1	Benefits	5,412	9,391	9,391	---
21.0	Travel	17,192	9,667	6,115	(3,552)
22.0	Transportation of things	468	2,018	1,249	(769)
23.1	GSA rent	472	31	---	(31)
23.3	Communication, Utilities, and misc charges	291	54	54	---
24.0	Printing	4	---	---	---
25.2	Other Services	9,563	27,422	12,677	(14,745)
25.3	Purchase from Govt. Accts.	52	---	---	---
25.7	Operation & maintenance of equipment	589	---	---	---
26.0	Supplies & materials	1,639	2,208	1,389	(819)
31.0	Equipment	4,598	8,487	5,339	(3,148)
Total, Training between the Ports of Entry		\$50,630	\$74,815	\$51,751	(\$23,064)
Full Time Equivalents		76	130	130	---

Footnote: Totals may not add due to rounding.

Training between the Ports of Entry

The Office of Training and Development exists to provide core operational training for Border Patrol Agents whose primary responsibility lies between the ports of entry. This training empowers CBP employees with the necessary skill sets to achieve the goal of safeguarding the borders of the United States. This training ensures that CBP is able to rapidly deploy a highly motivated, well-trained workforce, both on a temporary and permanent basis, who can quickly respond to potential terrorist threats, shifts in smuggling patterns and other national security threats.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	15,762	24,928	24,928	-

Salaries and Benefits includes costs for 130 FTEs.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$17,192	\$9,667	\$6,115	(\$3,552)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes non recur of \$3,552,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$468	\$2,018	\$1,249	(\$769)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request includes a non recur of \$769,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$472	\$31	\$0	(\$31)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request includes a non recur of \$31,000, a realignment of \$964,000 to support the Facilities realignment and a object class realignment of \$964,000 from OC 25.2.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$291	\$54	\$54	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes a no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$4	\$0	\$0	\$0

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

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$9,563	\$27,422	\$12,677	(\$14,745)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY2010 request includes a non recur of \$13,781,000 and a object class realignment of \$964,000 to OC 23.1.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$52	\$0	\$0	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$589	\$0	\$0	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$1,639	\$2,208	\$1,389	(\$819)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes a non recur of \$819,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$4,598	\$8,487	\$5,339	(\$3,148)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes a non rec of \$3,148,000.

Department of Homeland Security
U.S. Customs and Border Protection
Salaries and Expenses
Summary of Requirements by Object Class
(Dollars in Thousands)

PPA: Air and Marine Operations - Salaries		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	113,328	137,648	160,746	\$23,098
11.3	Other than perm	47	61	63	2
11.5	Other per comp	30,294	17,554	20,115	2,561
12.1	Benefits	58,875	58,595	69,174	10,579
21.0	Travel	2,517	3,017	4,648	1,631
22.0	Transportation of things	1,401	1,643	1,435	(208)
23.1	GSA rent	2,935	1,264	---	(1,264)
23.2	Other rent	676	---	---	---
23.3	Communication, Utilities, and misc charges	63	3,675	4,265	590
24.0	Printing	15	18	29	11
25.1	Advisory & Assistance Services	2,372	---	---	---
25.2	Other Services	10,197	9,125	6,946	(2,179)
25.3	Purchase from Govt. Accts.	2,556	516	3,743	3,227
25.4	Operation & maintenance of facilities	(93)	---	---	---
25.5	Research & Development	---	1,711	2,039	328
25.6	Medical care	24	---	---	---
25.7	Operation & maintenance of equipment	2,712	2,000	---	(2,000)
26.0	Supplies & materials	9,605	6,148	7,377	1,229
31.0	Equipment	24,624	32,704	29,049	(3,655)
Total, Air and Marine Operations - Salaries		\$262,148	\$275,679	\$309,629	\$33,950
Full Time Equivalents		1,366	1,732	1,943	211

Footnote: Totals may not add due to rounding.

Air and Marine Operations - Salaries

The purpose of Air and Marine Salaries is to apply the skills and expertise of CBP air and marine personnel to deter, interdict, and prevent acts of terrorism arising from unlawful movement of people and goods across the borders of the United States. Having aircraft and vessels along the borders reduces the quantity of drugs entering the U.S. and minimizes threat levels. The goal of this program is to deny the use of air, land and coastal waters for conducting acts of terrorism and other illegal activities against the United States.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$202,544	\$213,858	\$250,098	\$36,240

Salaries and Benefits includes costs for xxxxx FTEs. The FY 2010 request includes an increase of \$2,085,000 for pay annualization, increase of \$3,208,000 for pay inflation, increase of \$6,179,000 for A&M enforcement units annualization, decrease of \$205,000 for A&M staffing annualization, increase of \$7,832,000 for A&M strategic plan (144 positions), increase of \$17,142,000 for FY10 PPA realignment for A&M salaries.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$2,517	\$3,017	\$4,648	\$1,631

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes a decrease of \$362,000 for A&M enforcement units annualization, increase of \$1,621,00 for A&M strategic plan (144 positions), and an increase of \$372,000 for FY10 PPA realignment for A&M salaries.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$1,401	\$1,643	\$1,435	(\$208)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request includes a decrease of \$244,000 for A&M enforcement units annualization and increase of \$35,000 A&M strategic plan (144 positions).

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$2,935	\$1,264	\$0	(\$1,264)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request includes a transfer of \$2,496,000 for facilities consolidation, an increase of \$985,000 for non-pay annualization for marine enforcement units, and increase of \$885,000 to support a program increase of 144 new positions, a decrease of \$885,000 for facilities consolidation related to the 144 new positions, and a decrease of \$4,745,000 for facilities consolidation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Rent	\$676	\$0	\$0	\$0

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$63	\$3,675	\$4,265	\$590

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes an increase of \$254,000 for A&M enforcement units annualization and an increase of \$336,000 for A&M strategic plan (144 positions).

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$15	\$18	\$29	\$11

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 request includes an increase of \$11,000 for A&M strategic plan (144 positions).

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$2,372	\$0	\$0	\$0

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2006 request includes an increase of \$217,000 in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$10,197	\$9,125	\$6,946	(\$2,179)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request includes a non-pay increases of \$193,000 for A&M marine enforcement units annualization, increase of \$209,000 for A&M strategic plan (144 positions), increase of \$300,000 for FY1- PPA realignment for A&M salaries and a decrease of \$2,496,000 for realignment.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$2,556	\$516	\$3,743	\$3,227

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request includes an increase of \$192,000 for A&M enforcement units annualization and an increase of \$3,035,000 for A&M strategic plan (144 positions).

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of Facilities	(\$93)	\$0	\$0	\$0

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$0	\$1,711	\$2,039	\$328

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2006 request includes an

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Medical Care	\$24	\$0	\$0	\$0

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2006 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$2,712	\$2,000	\$0	(\$2,000)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$9,605	\$6,148	\$7,377	\$1,229

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes a decrease of \$152,000 for A&M enforcement units annualization, increase of \$1,146,000 A&M strategic plan (144 positions) and an increase of \$235,000 for FY10 PPA realignment for A&M salaries.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$24,624	\$32,704	\$29,049	(\$3,655)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes a decrease of \$5232,000 for non-pay annualization and increase of \$3,029,000 to support a program increase of 144 new positions, and \$368,000 increase for the 39 FTE reprogrammmmed from Office, Border Patrol.

I. Change in Full –Time Equivalents

Department of Homeland Security
U.S. Customs and Border Protection
Salaries and Expenses
CHANGES IN FULL-TIME EQUIVALENTS*

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request
BASE: Year-end Actual from Prior Year	33,473	38,506	45,649
INCREASES			
Annualization of prior year FTE	1,620	4,906	2,311
BP Staffing	1,844	1,321	
Air and Marine Support Staff	76		
Conduct Integrity Oversight	29	16	
Western Hemisphere Travel Initiative	103	45	
Secure Freight	10		
WMD Staffing	28		
Border Patrol Training	13		
RPM Staffing		137	
Passenger Screening		117	
Regulatory Audit		6	
ETA	12		
Air and Marine Staffing		12	72
Intel Staffing		14	
Ground Transportation	4	1	
CTPAT	25		
Hiring CBPO for SAFE Port	104		
Antidumping Duty Collection	4		
Marine Enforcement Units	41	58	
Model Ports of Entry Program	118		
FY 06/07 Supplemental	701		
FY 2007 Supplemental	301	480	
Customs Revenue Staffing		30	
Import Safety			52
Combatting Southbound Firearms			63
Analyze and Employ Information and Intelligence			11
Subtotal, Increases	5,033	7,143	2,509
DECREASES			
Subtotal, Decreases	0	0	0
Year-end Enacted/Estimated FTEs	38,506	45,649	48,158
Net change from prior year SOY base to budget year EOY estimate	5,033	7,143	2,509

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity

**Department of Homeland Security
U.S. Customs and Border Protection
Salaries and Expenses**

FY 2010 Schedule of Working Capital Fund by Program/Project Activity

(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	Increase / Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
1. Headquarters Management and Administration	\$41,748	\$51,819	\$92,968	\$41,149

Total Working Capital Fund	\$41,748	\$51,819	\$92,968	\$41,149

Department of Homeland Security

U.S. Customs and Border Protection
Automation Modernization



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. Customs and Border Protection Automation Modernization

I. Appropriation Overview

A. Mission Statement for Automation Modernization:

To further the U.S. Customs and Border Protection (CBP) mission of securing our nation's borders while facilitating legitimate trade, CBP is in the midst of modernizing its information systems. The foremost automation effort is the phased implementation of the Automated Commercial Environment (ACE), which is being developed and deployed in increments and will replace the current trade management system, the Automated Commercial System (ACS). ACE will provide tools and enhance the business processes that are essential to securing U.S. borders from terrorists by providing intelligence required to target illicit goods, while ensuring the efficient processing of legitimate goods. ACE capabilities have been designed to identify potential risks, analyze information prior to arrival of people and cargo, and provide intelligence in easy-to-use formats. As a web-based system, ACE will provide users from government and the trade community with new, more efficient ways of accessing, processing, and sharing trade-related information. Critical Operations Protection and Processing Support (COPPS) provides nearly all the CBP Information Technology (IT) infrastructure to operate and maintain mission-critical IT systems requisite to securing the borders while facilitating legitimate trade and travel. TECS provides critical border enforcement and Port of Entry (POE) processing capabilities. TECS Modernization is a multi-year project that will enhance CBP's mission capabilities by developing and deploying a modernized TECS. The Terrorism Prevention Systems Enhancements (TPSE) initiative focuses on enhancing our system infrastructure and the supporting enterprise services that enhance our continuity of operations.

B. Budget Activities:

Automated Commercial Environment/ International Trade Data System (ITDS)

CBP is modernizing its business processes, information technology systems, and infrastructure to provide the functionality needed to support its mission and sustain its global leadership position in the years to come. ACE is CBP's response to the explosive growth in trade volume and will supplement and/or replace the Automated Export System (AES) and ACS. Within DHS, ACE is a tool to combat illegal activities and terrorist threats to the United States. In addition, ACE satisfies numerous legislative mandates that could not otherwise be achieved. The International Trade Data System is intended to be a secure, integrated, government-wide vehicle for the electronic collection, use, and dissemination of trade and transportation data. To become a single window to the trade, ITDS will require the participation of approximately 79 federal entities.

Critical Operations Protection & Processing Support

COPPS provides the majority of support for the CBP IT infrastructure. The information technology systems supported by CBP's IT infrastructure allow for implementation of the unified border policy by providing efficient and effective sharing of information amongst the trade community and law enforcement agencies. COPPS supports the operations of CBP officers and Border Patrol agents at and between the POEs, and provides for coordinated targeting, command, control, and communications capabilities across CBP. IT systems are vital tools used by CBP and other Federal agencies to defend our borders. They assist CBP officers and Border Patrol agents in identifying potential catastrophic threats, including terrorists, weapons of mass destruction, and biological agents, as they attempt to enter the country, while simultaneously facilitating legitimate trade and travel.

COPPS serves as the backbone for mission critical trade and law enforcement systems. The major mission critical systems, applications, and programs supported include: ACE/ITDS; ACS; TECS; AES; Advanced Passenger Information System (APIS) and e-APIS; Free and Secure Trade (FAST); Seized Asset and Case Tracking System (SEACATS); CBP's Financial and Human Resources Management Systems; Fingerprinting and Identification System (IDENT); the Integrated Automated Identification System (IAFIS); the Arrival Departure Information System (ADIS); the Port Radiation Identification Detection and Evaluation (PRIDE) system; the Enterprise Data Warehouse system; the Border Patrol Enforcement Tracking System (BPETS); the Automated Targeting System (ATS); Container Security Initiative (CSI); and the Secure Freight Initiative (SFI). These systems directly support CBP's mission. One of the other systems supported by the IT infrastructure provided by COPPS outside of CBP is US-VISIT.

Funded within the COPPS PPA is TECS, a key border enforcement system for CBP and DHS that plays an essential role in the screening of travelers entering the U.S. and in supporting the screening requirements of other federal agencies. The current TECS system is over 20 years old and uses technology that will be increasingly difficult to support in the future. Maintaining TECS functionality is critical to CBP's border enforcement mission. The modernization program will replace the mainframe components of TECS with a sustainable technical architecture including modern databases and graphical user interfaces.

Also funded within the COPPS PPA is TPSE. In FY 2008, CBP embarked on an initiative to enhance critical infrastructure, monitoring capabilities, networking and computing capabilities to support our worldwide passenger responsibilities such as facilitating electronic travel authorization, pre-clearance of all passengers coming into all POEs and analyzing passenger data for terrorist and threat analysis. CBP's current infrastructure contains many single points of failure and outdated components that have caused repeat problems at POEs. This initiative is intended to ensure 24/7 systems availability, network redundancy, and monitoring in the Passenger and Targeting areas. The TPSE infrastructure enhancements will be implemented at the CBP National Data Center, the DHS Stennis Data Center and targeted POEs. TPSE will enable 24x7x365 systems operational availability to meet the future processing and storage/backup requirements for passenger screening while enhancing the existing systems.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity

**Department of Homeland Security
U.S. Customs and Border Protection
Automation Modernization**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
ACE/ITDS	62	388,445	62	316,851	62	267,960	---	(48,891)	---	---	---	(48,891)
COPPS	1	135,545	1	194,483	1	194,485	---	2	---	---	---	2
Net, Enacted Appropriations and Budget Estimates	63	\$523,990	63	\$511,334	63	\$462,445	---	(\$48,889)	---	\$0	---	(48,889)

III. Current Services Program Description by PPA

Department of Homeland Security
U.S. Customs and Border Protection
Automation Modernization
Program Performance Justification
(Dollars in thousands)

PPA: ACE/ITDS

	Perm. Pos.	FTE	Amount
2008 Actual	62	62	388,445
2009 Enacted	62	62	316,851
2010 Adjustment to Base	---	---	(48,891)
2010 Current Services	62	62	267,960
2010 Program Change	---	---	0
2010 Request	62	62	267,960
Total Change 2009-2010	---	---	(48,891)

CBP requests \$268.0 million for ACE/ITDS. This is a decrease of \$48.9 million from FY 2009. The request includes:

- increase of \$0.09 million for pay annualization and \$0.12 million for pay inflation
- decrease of \$49.10 million for ACE/ITDS non-recurs

CURRENT SERVICES PROGRAM DESCRIPTION:

ACE is the U.S. trade processing system designed to consolidate and automate import processing. Automating time-consuming and labor-intensive transactions will allow goods through ports and onto markets faster and at lower cost thus simplifying dealings between CBP, the trade community, and other government agencies. CBP personnel will have automated tools and better information to decide - before a shipment reaches U.S. borders - what cargo should be targeted because it poses a potential risk, and what cargo can be expedited because it complies with U.S. laws.

ACE benefits include:

- Enhancing border security
- Expediting trade flow
- Increasing access to on-line data
- Simplifying and expediting cargo release
- Replacing transaction and paper-based processing with a national account-based processing
- Providing periodic monthly payment ability and account statements

A description of each release and associated performance data is provided below.

ACE Foundation (Release 1): COMPLETE

The ACE Foundation (Release 1) provided the first infrastructure investment for the deployment platform for ACE and established security measures that are consistent across ACE.

Account Creation (Release 2): COMPLETE

The ACE Account Creation (Release 2) provided CBP Account Managers and selected importers controlled access to information (such as the account's trade activity), and facilitated collaboration and communication among the various groups. This release laid the initial foundation for an account management structure that will eventually encompass all segments of the trade community and become a principal tool for CBP officers to assess national compliance and supply chain data. This tool continues to roll out to additional users, and has altered the methodology CBP employs to research and analyze supply chain information and achieve improvements in trade compliance. As of FY 2008, a total of 8,862 CBP personnel and 14,868 ACE accounts have access to the ACE Secure Data Portal.

Periodic Payment (Release 3): COMPLETE

The ACE Periodic Payment (Release 3) expanded the account management framework to a larger trade audience such as brokers, carriers, and CBP officers overseeing those areas. Monthly payment and statement capabilities are available within the account-based system. Duties and fees no longer have to be paid on a transaction-per-transaction basis, and companies can more easily track their activities through customized account views and reports. ACE periodic payment users have the ability to wait until the 15th working day of the next month to pay for shipments released during the previous calendar month. This provides a potentially significant cash flow benefit. During the month of February 2009, more than 52 percent of duties and fees were collected using the ACE periodic monthly statement process. Since its inception in 2004, the ACE periodic monthly statement process has collected more than \$32 billion in duties and fees via the ACE monthly statement process.

Screening Foundation (Release S1): COMPLETE

The ACE Screening Foundation (Drop S1) established the long-term foundation for modernizing screening and targeting. It uses a business rules engine to enhance the screening capabilities for all manifest and entry transactions. The business rules engine provides two significant benefits. First, it allows end users to define and maintain rules and data sources instantaneously without the assistance of a technical expert. Second, end-users are able to develop rules, perform impact assessments, and request approval for rule deployment. New rules can be added without software changes.

Additionally this release established a centralized standard data store for all screening and targeting criteria and results, and facilitated the ability to determine the reasons for an exam. It enhanced existing capability by enabling management of screening and targeting criteria by the business end-user using any combination of data related to manifest and entry processing that can be derived from existing data.

Targeting Foundation (Release S2): COMPLETE

Targeting Foundation (Drop S2) established the targeting platform and foundation for CBP. Just as Screening Foundation (S1) established the foundation for screening, the targeting platform established the merged, service-oriented architectural basis upon which analytical capabilities are deployed.

Targeting Foundation (S2) modernized the core workflow of the National Targeting Center (NTC). Through the targeting platform, the NTC has the ability to initiate activities, foster collaboration among analysts, and access past activity logs for additional intelligence. A core set of analytical capabilities within the targeting platform enables CBP analysts to develop actionable intelligence. Analysts have the ability to conduct searches of disparate data, both structured and unstructured. They also have the ability to research and collaborate on a real-time basis with other analysts. Sophisticated text analytics aid the analysts in finding relevant facts and discovering new relationships in the data. Analysts may annotate, store, and classify their findings for reference by others.

e-Manifest: Trucks (Release 4): COMPLETE

The ACE e-Manifest: Trucks (Release 4) provides an electronic truck manifest, a primary CBP officer interface, and expedited importation processing. The CBP officer interface consolidates more than seven separate cargo release systems to provide CBP officers with a comprehensive view of enforcement and transaction history data to enhance enforcement capabilities and simultaneously expedite the movement of trade. The electronic manifest provides one method to fulfill the mandate from the Trade Act of 2002 to provide advance cargo data for truck shipments.

e-Manifest: Trucks provides for the automated manifest processes to determine the admissibility of cargo, conveyance, and equipment arriving in the United States. The release interfaces with the Automated Targeting System (ATS) to provide screening data to CBP primary officers to target high-risk transactions. This release includes the provisions for the Federal Motor Carrier Safety Administration (the first participating government agency) to manage truck safety issues at U.S. land borders.

Trucks (Release 4) functionality: All 99 U.S. land border ports of entry are now equipped to accept and process e-Manifests. E-Manifests represent 99 percent of all manifests filed and can be processed 37 percent faster than the traditional paper manifest.

Advanced Targeting Capabilities (Release S3): COMPLETE

Advanced Targeting Capabilities (Release S3) extend the targeting platform by adding new tools and models that allow more robust analysis of data to support extended targeting. This release provides opportunities for viewing the data in new ways and enhancing the ability to target outlying data. It also implements metrics and compliance measures that provide insight into and feedback on the operational and technical targeting effectiveness.

Entry Summary, Accounts, and Revenue (ESAR) (Release 5)

ESAR provides enhanced accounts management functions, a single source for master data, and integrated account-based, financial and entry summary processing. This release builds upon ACE Account Creation (Release 2) through e-Manifest: Trucks (Release 4) by adding functionality to existing accounts management, periodic payment, ledger, and screening processing. The functionality for Release 5 is divided into two drops: ESAR Master Data & Enhanced Accounts and ESAR Entry Summary and Revenue.

- **ESAR: Master Data and Enhanced Accounts (Drop A1): COMPLETE**

Master Data and Enhanced Accounts (Drop A1) functionality includes enhanced account creation and maintenance using SAP Customer Relationship Management (CRM) and a portal for data management and edit checking. This release expands on prior ACE releases by adding most account types and corresponding system master data. Release 5 expands the current importer, broker, and carrier accounts management activities to treat any entity doing business with CBP as an account.

A key aspect of Master Data and Enhanced Accounts (Drop A1) is the establishment of ACE as the lead system for all specified master data elements required for CBP systems processing. This means that the creation and maintenance of master data elements and related reference files will originate in ACE and be distributed to other CBP systems.

- **ESAR: Entry Summary and Revenue (Drop A2): FY 2012**

Entry Summary and Revenue (Drop A2) will use integrated components to deliver the entry summary business process through liquidation: specifically electronic refund processing, debt management, centralized bond processing (including bond sufficiency checks) full accounts receivable sub-ledger processing, and Web-based collection processing via data exchange with pay.gov. Entry Summary and Revenue (Drop A2) will also provide integration between the ACE subsidiary ledger and the CBP general ledger to include financial information for all ACE accounts.

Entry Summary and Revenue (Drop A2) will expand ACE to encompass entry summary; liquidation/closeout processing; reconciliation processing; calculation of duties, taxes and fees; PGA interfaces; prior disclosure; post summary corrections; bond application/storage; bond sufficiency; team review; protest; CBP-issued licenses/permits/certificates and other documentation; accounts receivable; collections and receipts; and refunds.

E-Manifest: All Modes and Cargo Release (Release 6 – dates are provided in the following drop levels)

E-Manifest: All Modes and Cargo Release (Release 6) establishes the common repository for a multi-modal manifest (MMM) application and automates cargo release processing. This release will bring existing applications into the shared MMM environment and support CBP agreements such as the Container Security Initiative and the Security and Prosperity Partnership with Canada and Mexico.

The MMM environment will bring all modes of transportation (sea, rail, air, truck, and pipeline) into a common processing environment and extend Web portal access on import and export transactions for CBP external trade partners and PGA users. The MMM environment will also enfranchise the custodial community of port authorities, ocean terminal operators, warehouse proprietors, foreign trade zone (FTZ) operators, and others associated with the cargo control, materials handling and 3rd party logistics of international transportation and commerce.

In addition to the cargo control transportation manifest, the Automated Broker Interface (ABI) that governs the cargo release process will be modernized to operate in the new MMM environment. The ABI is an integral part of ACS that permits qualified participants to file import data electronically with Customs and expedites the release of merchandise for the trade community. Stand-alone applications

such as the Vessel Management System (VMS) and the Mail Entry Writing System (MEWS) will be modernized and enfolded into the wider MMM environment creating a coherent cargo control and release application environment.

E-Manifest: Rail and Sea Manifest (Drop M1): FY 2009

E-Manifest: Rail and Sea (Drop M1) will provide a common repository user interface, shared cargo control software, and an account-based trade interface with web portal access for the rail and sea modes of transportation within the new MMM environment.

Ocean and rail manifest will be modernized for the trade community and for the CBP officer. The entry filer will continue to submit data through the ABI gateway into the cargo release system in ACS. After acceptance, the entry data will be processed through ATS for risk assessment. After screening, the results of processing will be sent into the ACE cargo control component of MMM from which status notifications will be sent to the rail and sea carriers.

E-Manifest: Rail and Sea (Drop M1) will also deliver to the CBP officer the capability to view a rail, sea, or truck shipment at the bill of lading level along with the entry data and associated screening and targeting results via the ACE Secure Data Portal. The ACE Secure Data Portal will provide a consolidated view of manifest, entry and reference file information that will expedite pre-arrival processing and provide to the CBP Officer the capability to place holds, remove holds and electronically complete the cargo processing in advance of actual conveyance arrival.

E-Manifest: Air Manifest & Cargo Release (Drop M2): FY 2011

E-Manifest: Air Manifest & Cargo Release (Drop M2) will modernize Air Manifest and Cargo Release. For the air mode of transportation, this drop of ACE functionality will bring all of the functionality brought to the rail and sea modes as noted above plus enhanced split shipment bill of lading handling and other enhancements. E-Manifest: Air Manifest & Cargo Release (Drop M2) will result in the truck, rail, ocean, and air modes of transportation sharing a common repository. To the external trade partner, the Web portal will provide access to their carrier accounts and a true MMM environment for the four main categories of transportation providers that interchange cargo as it moves through the international supply chain network en route to, within, or as it is being exported from the United States.

E-Manifest: Air Manifest & Cargo Release (Drop M2) will also deliver to the CBP officer the capability to view a rail, sea, truck and air shipment at the bill of lading level along with the related entry data and the associated results of the screening and targeting via the ACE Secure Data Portal. The portal will provide a consolidated view of the manifest, entry and reference file information that will expedite pre-arrival processing. This will provide to the CBP officer the capability to place holds, remove holds and electronically complete the cargo processing for these shipments in advance of actual conveyance arrival.

E-Manifest: Exports and Mail Entry Writing System (MEWS) (Drop M3): FY 2012

E-Manifest: MEWS (Drop M3) will bring export cargo processing into the MMM environment, providing export manifest reporting capabilities for truck, sea, rail, and air. One significant difference from the previous drops is that there is no 'entry' or Cargo Release processing on export shipments since export goods are leaving the United States (no duty or tax is being collected).

E-Manifest: MEWS (Drop M3) will also include the modernization of MEWS. The MEWS data will be made available to screening and targeting for risk assessment and criteria screening to enhance the CBP ability to target, select, and intercept injurious shipments entering the country via international mail.

Exports and Cargo Control (Release 7 - dates are provided in the following drop levels)

Exports and Cargo Control (Release 7) completes the Account Management, Revenue, Manifest and Release, and Export Processes. This release will include ESAR: Drawback, Enhanced Protest, and Import Activity Summary Statement (IASS, Drop A3) and e-Manifest: Custodial Entities, Pipelines, and Batch Processes (Drop M4).

ESAR: Drawback, Protest and Import Activity Summary Statement (Drop A3): FY 2012

This drop of ACE functionality will include Drawback, IASS, and Enhanced Protest. The implementation of the IASS will constitute a major change to the current commercial process for CBP, PGAs, and the trade community. There will be an impact to the existing CBP and PGA users who will utilize the expanded capabilities. However, most users will already be using ACE, so familiarity with the form and feel of the system will allow rapid assimilation of new functionality with only limited training.

E-Manifest: Custodial Entities and Pipelines (Drop M4): FY 2013

E-Manifest: Custodial Entities and Pipelines (Drop M4) will bring the custodial cargo control partners (terminal operators, ocean/air port authorities, container stations, warehouses) of the international transportation providers and entry filers into the consolidated MMM environment, along with the final mode of transportation, the international pipeline operators.

The custodial partners are the trusted trade partners that have physical custody of imported merchandise prior to delivery authorization of the imported goods, or have physical possession of goods subject to export control regulations prior to the actual departure of those goods from the United States. These constitute the custodial community within the MMM operational environment.

In addition, this drop of ACE functionality will automate the declaration and cargo control procedures governing import and export cargo movements via pipelines. Data related to pipeline importations will be provided to screening and targeting for risk assessment and the CBP field officer will have the ability to view screening and targeting results for pipeline importations along with rail, sea, truck, air shipments and cargo release (entry) data.

International Trade Data System (ITDS) is intended to be a secure, integrated, government-wide vehicle for the electronic collection, use, and dissemination of trade and transportation data. To become a single window to the trade, ITDS will require the participation of approximately 79 Federal entities. ITDS interagency coordination efforts have remained focused on deepening existing relationships with the 46 ITDS Participating Government Agencies (PGAs), identifying the business requirements of these PGAs, and integrating these requirements through the ACE development process. As a result of ongoing training efforts, there are now more than 500 ACE Secure Data Portal end users from 27 PGAs. The Office of Management and Budget (OMB) has designated CBP as the managing partner for the ITDS E-Government initiative. The managing partner is responsible for assessing the status of the milestones defined in each PGA's ITDS integration plan as defined in the

September 28, 2007, memorandum from DHS, to CIOs and Senior Executives designated to support agency use of ITDS. CBP will track the 10 milestones for each agency and report results to the OMB Portfolio Manager.

PPA: COPPS

	Perm. Pos.	FTE	Amount
2008 Actual	1	1	135,545
2009 Enacted	1	1	194,483
2010 Adjustment to Base	---	---	2
2010 Current Services	1	1	194,485
2010 Program Change	---	---	0
2010 Request	1	1	194,485
Total Change 2009-2010	---	---	2

CBP requests \$194.485 million for COPPS. This is an increase of \$0.002 million from FY 2009. The request includes:

- increase of \$0.001 million for pay annualization and \$0.001 million for pay inflation

CURRENT SERVICES PROGRAM DESCRIPTION:

Critical Operations Protection and Processing Support (COPPS) supports the CBP IT infrastructure. The systems supported by CBP's IT infrastructure allow for a unified border presence and provides for more efficient and effective sharing of information and images amongst trade and law enforcement agencies. The IT systems are vital tools that CBP and other federal agencies use to defend our borders and support our Ports of Entry. The IT systems assist CBP in identifying potential catastrophic threats, including terrorists, weapons of mass destruction, and biological agents, as they attempt to enter the country. These IT systems provide the means for enforcing the U.S. criminal and trade laws and for collecting in excess of \$30 billion in revenue associated with international trade and commerce.

CBP facilitates trade growth, economic development, and the efficient processing of international travelers through the use of comprehensive, integrated surveillance, detection, scientific, forensic, and information systems technology. COPPS is the backbone supporting all of these capabilities. The technology utilized within CBP's infrastructure enables CBP to continually improve the selectivity of low-risk and high-volume cargo, vehicles, and people, while expediting clearance processes. The infrastructure provides the basis for maintaining a sound trade management system that maximizes compliance with the law, and moves legitimate cargo efficiently; targets high risk shipments, secures our borders, facilitates movement of international travel, protects the public from contraband, and maintains a strong support structure to achieve desired business results for both CBP and stakeholders.

COPPS provides networks, voice communications, data center, Technical Support Center (help desk), and e-mail. COPPS serves as the backbone for mission critical trade and law enforcement systems. The major mission critical systems, applications, and programs supported include ACE/ITDS; ACS; TECS; AES; Advanced Passenger Information System (APIS) and e-APIS; Free and Secure Trade (FAST); Seized Asset and Case Tracking System (SEACATS); CBP's Financial and Human Resources Management Systems; Fingerprinting and Identification System (IDENT); the Integrated Automated Identification System (IAFIS); the Arrival Departure Information System (ADIS); the Port

Radiation Identification Detection and Evaluation (PRIDE) system; the Enterprise Data Warehouse system; the Border Patrol Enforcement Tracking System (BPETS); the Automated Targeting System (ATS); Container Security Initiative (CSI); and the Secure Freight Initiative (SFI). These systems directly support CBP's mission. Many of these IT systems are funded by and described under other accounts but could not function without the basic IT infrastructure provided by COPPS. One of the other systems supported by the IT infrastructure provided by COPPS outside of CBP is US-VISIT.

Network and communications provided by COPPS include Blackberry servers, voice telephone (landline and cellular), audio/video conferencing, Internet, extranet and help desk and Value Added Network (VAN) connections. Communications also includes network bandwidth and fiber optic capabilities.

Hardware includes back up generators, scanners, hand held computers, a network operations center, LANs, WANs, routers, encryptors, gateways, firewalls, mainframe computers, workstations, file/email/database/application servers, modems, and VAN connections. Software includes application development tools, Operating Systems, Program and Configuration Management tools, Office Automation tools, Section 508 tools, testing tools, LAN/WAN administration tools, and other management tools.

The CBP National Data Center (NDC) houses the centralized infrastructure equipment supporting mission critical systems. Extensive connectivity and support facilities exist at the NDC, ranging from a large computer room and control center to back up power, storage, and generators. The primary technical environments for major applications are mainframe and UNIX environments. The mainframe systems run z/OS, CICS, DATACOM/DB, WebSphere, MQ Series, supporting applications written in Assembler, COBOL, and Java. The UNIX systems run Solaris OS, Oracle, MQ Series, and applications developed in C, C++, Linux, Windows and Java. The magnitude of the workload supported by the NDC is illustrated by the fact that the mainframes support over 100,000 users across government. The IT infrastructure currently supports over 61,000 users, full-time and other than full-time CBP staff. Additionally, CBP supports connectivity for more than 100 federal, state, local, international government agencies, and more than 3,000 commercial organizations. The infrastructure supports over 50,000 desktop workstations/PCs, 25,000 laptops, 11,500 network printers, 5,750 host printers, 700 domain controllers, more than 225 application servers (Microsoft/Intel based), 850 Novell Servers, four mainframes, 3,500 switches, and over 1,300 routers.

By keeping the IT infrastructure stable, available, and reliable, CBP greatly enhances the ability of CBP officers to make timely decisions and to take appropriate action in protecting our Nation's borders. CBP's infrastructure requirements continue to grow, both in response to greater DHS requirements and in response to the natural and beneficial growth of international trade and immigration. CBP's trade systems receive data from over 12,500 brokers, freight forwarders, and others representing the trade community. It is imperative that the infrastructure is augmented each year to accommodate this growth. Without the updated technology, CBP will not be able to keep up with demand and maintain acceptable response times. Software and hardware maintenance costs increase at an average rate of 15% per year. Critical system licenses include VERITAS, IBM, Tivoli, Mainframe support, Oracle, DB2, Fujitsu, and WebSphere MQ. Mainframe and UNIX DASD (direct access storage device) growth continues at an average rate of 15% per year.

FY 2008 accomplishments included support of approximately 61,000 CBP users (including CBP and contract staff), converting any additional CBP staff to Active Directory and Exchange, and the completion of the CBP migration to Windows XP. FISMA security control testing for 90% of CBP systems was completed. Satellites antennas were installed on buildings at each of the top 100 CBP Ports of Entry to provide network redundancy. The percentage of processor capacity used remained at the desirable rate of less than 80%. TECS was available to end users 99.8% of time and the network was available 99.9% of the time.

FY 2009 planned accomplishments include the continued support of 61,000 CBP users (including CBP and contract staff). CBP plans to complete enterprise-wide CBP Data Reference, Conceptual, Logical, and Physical data models. A baseline image of the latest Microsoft desktop operating system (Vista) is scheduled to be approved. Renewal of certification and accreditation (C&A) for systems with expiring C&A is also planned. The percentage of processor capacity used should remain at the desirable rate of less than 80%. TECS should be available to end users 98.7% of time and the network should be available 99.4% of the time. In addition, CBP plans to start updating the email system from MS Exchange 2003 to MS exchange 2007. Finally, CBP plans to deploy a journaling and archiving solution for email and single instance storage.

FY 2010 planned accomplishments include supporting additional CBP users including the increase in Border Patrol agents. CBP plans to complete enterprise-wide CBP Data Reference, Conceptual, Logical, and Physical data models. CBP will deploy the baseline image of the latest Microsoft desktop operating system (Vista) and continue the application of the Federal Desktop Core Computing (FDCC) to those new baseline imaged workstations and the existing legacy (Windows XP) workstations. Renewal of certification and accreditation (C&A) for systems with expiring C&A is also planned. The percentage of processor capacity used should remain at the desirable rate of less than 80%. TECS should be available to end users 98.7% of time and the network should be available 99.4% of the time. Finally, CBP plans to complete the email system update from MS exchange 2003 to MS exchange 2007.

TECS Modernization

TECS is a key system for border enforcement and sharing of information about people who are inadmissible or may pose a threat to the security of the United States. CBP is collaborating with Immigration and Customs Enforcement (ICE) in the development of TECS Modernization.

TECS plays an essential role in the screening of travelers entering the US and in supporting the screening requirements of other federal agencies. TECS is the primary lookout record database for all of DHS. TECS currently:

- Provides subject record “watch list” processing for DHS and other agencies. This includes maintenance of lookout records and vetting services against these records.
- Supports primary and secondary inspections at the POEs.
- Receives and processes passenger manifests from carriers.
- Supports over 70,000 users from over 20 federal agencies responsible for traveler processing, investigations, case management and intelligence.
- Provides entry/exit data to other systems/agencies.

- Provides a real time interface with Federal Bureau of Investigation's National Criminal Information Center (NCIC) and Integrated Automated Fingerprint Information System (IAFIS) for on line-queries of wants/warrants and criminal history records.
- Provides a real time interface to National Law Enforcement Telecommunications System (NLETS) for on-line queries of driver's licenses, vehicle registration and state wants/warrants from all 50 states and Canada.
- Processes over 2,000,000 transactions daily.
- Supports the case management solution for ICE investigations including functions such as Investigative Case Management, Money Laundering Tracking and Reporting, Telephone Analysis and other functionalities unique to the ICE Mission. Included within ICE's budget is funding to modify the portion of TECS that is unique to their mission.

Terrorism Prevention System Enhancements (TPSE)

In order to increase the continuity of Passenger systems to meet current operational mission requirements, OIT must make strategic investments to ensure the critical infrastructure services that enable continuity are improved to meet the mission demand. These services include extending our monitoring capabilities, improving our current data center infrastructure, services platforms to our continuity site. CBP OIT will implement and maintain a multi-tiered approach including:

- Establish the Passenger Continuity Team to advance the programs technology and human contingency planning.
- Migrate legacy systems to an advance replicated storage environment
- Establish a new Passenger Lightweight Directory Access Protocol (LDAP) services cluster to replace the legacy system
- Expand the current Web Services capabilities and establish redundancy in Stennis
- Create a mirrored virtual environment for legacy systems to allow continuous uninterrupted service between Stennis and NDC
- Establish continuity technologies to all remote management and automatic failover of systems
- Increase the network bandwidth redundancy account for new technology implemented and ensure mission success between Stennis and NDC
- Upgrade the current NDC LAN to allow additional traffic capacity for systems we migrate from their legacy hardware environments
- Establish advanced monitoring and fault detection systems in Stennis
- Improve remote management systems in Stennis and NDC to improve response time to system deficiencies
- Enable the mainframe environment at Stennis to an active/active state
- Eliminate legacy backup technology to improve the current recovery time for non-replicated systems
- Install the switch network in Stennis to allow these technologies to connect
- Determine continuity requirements for all Passenger offices
- Modernize the collection and maintenance of all Passenger lifecycle IT support documentation

IV. Program Justification of Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Department of Homeland Security
U.S. Customs and Border Protection
Justification of Proposed Changes in Appropriation Name
Appropriation Language

For expenses for U.S. Customs and Border Protection automated systems, [\$511,334,000,] \$462,445,000, to remain available until expended, of which not less than [\$316,851,000] \$267,960,000 shall be for the development of the Automated Commercial Environment: *Provided*, That of the total amount made available under this heading, [\$216,851,000] \$167,960,000 may not be obligated for the Automated Commercial Environment program until 30 days after the Committees on Appropriations of the Senate and the House of Representatives receive a report on the results to date and plans for the program from the Department of Homeland Security. (Department of Homeland Security Appropriations Act, 2009)

Explanation of Changes

B. FY 2009 to FY 2010 Budget

**Department of Homeland Security
U.S. Customs and Border Protection
Automation Modernization
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>		<u>Amount</u>
2008 Actual	63	63	\$	523,990
2009 Enacted	63	63	\$	511,334
Adjustments-to-Base				
Increases				
Annualization of 2009 pay raise.....	---	---	\$	86
2010 Pay Increase	---	---	\$	123
Total Increases	---	---	\$	209
Decreases				
Non-recur	---	---	\$	(49,098)
Total Decreases	---	---	\$	(49,098)
Total Adjustments-to-Base	---	---	\$	(48,889)
2010 Total Current Services	63	63	\$	462,445
Program Changes	---	---	\$	-
Total Program Changes	---	---	\$	-
2010 Request	63	63	\$	462,445
2009 to 2010 Total Change	---	---	\$	(48,889)

C. Summary of Requirements

Department of Homeland Security
U.S. Customs and Border Protection
Automation Modernization
 Summary of Requirements
 (Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
2008 Actual	63	63	\$523,990
2009 Enacted	63	63	511,334
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Increases	---	---	209
Decreases	---	---	(49,098)
Total Adjustments-to-Base	---	---	(48,889)
2010 Current Services	63	63	462,445
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)			
	---	---	---
2010 Total Request	63	63	462,445
2009 to 2010 Total Change	---	---	(48,889)

Estimates by Program/Project Activity	FY 2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 ACE/ITDS	62	62	\$316,851	---	---	(\$48,891)	---	---	---	62	62	\$267,960	---	---	(\$48,891)
2 COPPS	1	1	194,483	---	---	2	---	---	---	1	1	194,485	---	---	2
Total	63	63	\$ 511,334	---	---	\$ (48,889)	---	---	\$ -	63	63	\$462,445	---	---	\$ (48,889)

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Customs and Border Protection
Automation Modernization
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
11.1 Total FTE personnel compensation	\$4,864	\$6,569	\$6,738	\$169
11.3 Other than full-time permanent	-	59	60	1
12.1 Benefits	1,235	1,596	1,635	39
Total, Personnel Comp. & Benefits	\$6,099	\$8,224	\$8,433	\$209
Other Object Classes:				
21.0 Travel	1,170	976	735	(241)
23.1 GSA rent	12	---	---	---
23.2 Other rent	8	---	---	---
23.3 Communications, utilities, & other misc. charges	4,579	37,195	36,651	(544)
25.1 Advisory and assistance services	(9)	16,346	16,346	---
25.2 Other services	296,535	351,109	275,001	(76,108)
25.3 Purchases of goods & svcs. from Gov't accounts	7	---	---	---
25.4 Operation & maintenance of facilities	30	---	---	---
25.7 Operation and maintenance of equipment	87,531	36,655	30,202	(6,453)
25.8 Subsistence and support of persons	2	---	---	---
26.0 Supplies and materials	2,222	1,883	158	(1,725)
31.0 Equipment	125,804	112,685	94,919	(17,766)
Total, Other Object Classes	\$517,891	\$556,849	\$454,012	(\$102,837)
Total, Direct Obligations	\$523,990	\$565,073	\$462,445	(\$102,628)
Unobligated balance, start of year	(69,689)	(53,739)	---	53,739
Unobligated balance, end of year	53,739	---	---	---
Recoveries of prior year obligations	(44,681)	---	---	---
Transfers to other accounts	13,000	---	---	---
Total requirements	\$476,359	\$511,334	\$462,445	(\$48,889)

F. Permanent Positions by Grade

**Department of Homeland Security
U.S. Customs and Border Protection
Automation Modernization
Permanent Positions by Grade**

Grades and Salary Ranges	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
	Pos.	Pos.	Pos.	Total
Total, SES	1	1	1	---
GS-15	11	11	10	(1)
GS-14	27	27	22	(5)
GS-13	20	20	29	9
GS-12	1	1	1	---
GS-11	2	2	0	(2)
GS-9	1	1	0	(1)
Total Permanent Positions	63	63	63	---
Unfilled Positions EOY	---	---	---	---
Total Perm. Employment	63	63	63	---
FTE	63	63	63	---
Headquarters	63	63	63	---
Total Permanent Positions	63	63	63	---
Average ES Salary	\$ 136,711	\$ 139,992	\$ 165,991	\$ 25,999
Average GS Salary	\$ 96,090	\$ 101,446	\$ 117,044	\$ 15,598
Average GS Grade	13.65	13.65	13.66	0.01

G. Capital Investment and Construction Initiative

Not Applicable

H. PPA Budget Justification

**Department of Homeland Security
U.S. Customs and Border Protection
Automation Modernization
ACE/ITDS
Funding Schedule
(Dollars in Thousands)**

PPA: ACE/ITDS		FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$4,815	\$6,519	\$6,687	\$168
11.3	Other than perm	---	59	60	1
12.1	Benefits	1,185	1,545	1,583	38
21.0	Travel	1,093	384	384	---
23.1	GSA rent	3	---	---	---
23.3	Communication, Utilities, and misc charges	1,080	15,466	15,466	---
25.1	Advisory & Assistance Services	---	16,041	16,041	---
25.2	Other Services	215,141	228,079	178,981	(49,098)
25.3	Purchase from Govt. Accts.	2	---	---	---
25.7	Operation & maintenance of equipment	65,279	25,799	25,799	---
26.0	Supplies & materials	226	62	62	---
31.0	Equipment	99,621	22,897	22,897	---
Total, ACE/ITDS		\$388,445	\$316,851	\$267,960	(\$48,891)
Full Time Equivalents		62	62	62	---

ACE Mission Statement

ACE will provide tools and enhance the business processes that are essential to securing U.S. borders from terrorists by providing intelligence required to target illicit goods, while ensuring the efficient processing of legitimate goods. ACE capabilities have been designed to identify potential risks, analyze information prior to arrival of people and cargo, and provide intelligence in easy-to-use formats. As a web-based system, ACE will provide users from government and the trade community with new, more efficient ways of accessing, processing, and sharing trade-related information.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$6,000	\$8,123	\$8,330	\$207

Salaries and Benefits includes costs for 62 FTEs. The FY 2010 request includes an increase of \$122,000 for pay inflation, and a increase of \$85,000 for pay annualization.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$1,093	\$384	\$384	\$0

Provides for travel to and from the many localities where ACE is being deployed to provide support to the IT infrastructure, ACE application and for training of personnel. The FY 2010 request includes no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
GSA rent	\$3	\$0	\$0	\$0

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request includes no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous charges	\$1,080	\$15,466	\$15,466	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$0	\$16,041	\$16,041	\$0

Provides for ACE support contracts and ACE system integrator support for requirements definition and design activities. The FY 2010 request includes no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$215,141	\$228,079	\$178,981	(\$49,098)

Other Contractual Services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request includes a program decrease of \$49,098,000 for non-recurs.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Purchase from Government Accounts	\$2	\$0	\$0	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request includes no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Operation & Maintenance of equipment	\$65,279	\$25,799	\$25,799	\$0

Provides for all software and hardware maintenance costs associated with ACE. The FY 2010 request includes no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Supplies & materials	\$226	\$62	\$62	\$0

The FY 2010 request includes no change for ACE-related general office supplies. The FY 2010 request includes no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Equipment	\$99,621	\$22,897	\$22,897	\$0

Provides for all capitalized and/or accountable software and hardware purchased to support ACE, as well as all system integrator labor to develop the ACE software. The FY 2010 request includes no change.

**Department of Homeland Security
U.S. Customs and Border Protection
Automation Modernization
COPPS
Funding Schedule
(Dollars in Thousands)**

PPA: COPPS		FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	49	50	51	1
12.1	Benefits	50	51	52	1
21.0	Travel	77	351	351	-
23.1	GSA rent	9	-	-	-
23.2	Other rent	8	-	-	-
23.3	Communication, Utilities, and misc charges	3,499	21,185	21,185	-
25.1	Advisory & Assistance Services	(9)	305	305	-
25.2	Other Services	81,394	96,020	96,020	-
25.3	Purchase from Govt. Accts.	5	-	-	-
25.4	Operation & maintenance of facilities	30	-	-	-
25.7	Operation & maintenance of equipment	22,252	4,403	4,403	-
25.8	Subsistence & Support of persons	2	-	-	-
26.0	Supplies & materials	1,996	96	96	-
31.0	Equipment	26,183	72,022	72,022	-
Total, COPPS		135,545	194,483	194,485	2
Full Time Equivalents		1	1	1	-

COPPS Mission Statement

The Critical Operations Protection & Processing Support (COPPS) mission is to consolidate all U.S. Customs and Border Protection (CBP) Information Technology (IT) infrastructure requirements together.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$99	\$101	\$103	\$2

Salaries and Benefits includes increase of \$1,000 for pay inflation, and \$1,000 for pay annualization.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$77	\$351	\$351	\$0

Provides for travel to and from the many localities (over 1,000) where CBP maintains Information Technology (IT) systems, such as Ports of Entry, to provide support to the IT infrastructure, and for training of personnel. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA Rent	\$9	\$0	\$0	\$0

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Rent	\$8	\$0	\$0	\$0

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$3,499	\$21,185	\$21,185	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	(\$9)	\$305	\$305	\$0

Acquisition of commercial services to support the CBP Information Technology (IT) infrastructure, including systems and LAN engineering, and enterprise-wide IT system security. The FY 2010 request includes no change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$81,394	\$96,020	\$96,020	\$0

Acquisition of services to provide support related to the use of proprietary systems (e.g. for configuration management and e-mail) and network systems. The FY 2010 request includes no change.

	2,008	2,009	2,010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$5	\$0	\$0	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request includes no change.

	2,008	2,009	2,010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$30	\$0	\$0	\$0

Operation & maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 request include no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Operation & Maintenance of equipment	\$22,252	\$4,403	\$4,403	\$0

Contractors install, operate and maintain the CBP National Data Center's equipment (including mainframes, servers, printers, extensive communications equipment, and environmental controls) as well as that of the CBP IT networks, including voice communicate. The FY 2010 request includes no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Subsistence & Support of Persons	\$2	\$0	\$0	\$0

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. The FY 2010 request includes no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Supplies & materials	\$1,996	\$96	\$96	\$0

Enterprise licenses for large-scale database management systems, magnetic tapes for backing up data at the CBP National Data Centers, and general supplies such as printer toner and paper. The FY 2010 request includes no change.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Equipment	\$26,183	\$72,022	\$72,022	\$0

Acquisition of software licenses and IT hardware. Licenses include those for mainframe computer systems (including MIPs, Million Instructions per Second) WAN and LAN operating systems, desktop systems (such as Windows and Microsoft Office). The FY 2010 request includes no change.

I. Changes in FTE

**Department of Homeland Security
U.S. Customs and Border Protection
Changes in Full-Time Equivalents**

	FY 2008	FY 2009	FY 2010
BASE: Year-end Actual from Prior Year	62	63	63
INCREASES			
Adjustments-to-base	0	0	0
TECS Modernization	1	0	0
Subtotal, Increases	<u>1</u>	<u>0</u>	<u>0</u>
Year-end Enacted / Estimated FTEs	<u>63</u>	<u>63</u>	<u>63</u>
Net Change from prior year SOY base to budget year EOY estimate:	1	0	0

J. FY 2010 Schedule of Working Capital Fund by PPA

Not Applicable

Department of Homeland Security

U. S. Customs and Border Protection
Border Security Fencing, Infrastructure, and Technology



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. Customs and Border Protection Border Security, Fencing, Infrastructure, and Technology

I. Appropriation Overview

A. Mission Statement:

The DHS border security mission is to prevent dangerous and illegal people and things from entering the United States, including terrorists and instruments of terror. DHS created the Secure Border Initiative (SBI) to bring clarity of mission, effective coordination of DHS assets, and greater accountability to the work of DHS in securing the Nation's borders. SBI is the most far-reaching effort in United States history to gain control of its nearly 6,000 miles of international land border. Customs and Border Protection (CBP) is the lead agency within DHS for the development and deployment of SBI technology (called *SBI_{net}*) and tactical infrastructure to secure America's borders.

This appropriation provides continued funding for the SBI Program Offices tasked with developing and installing technology and tactical infrastructure solutions enabling a more effective and efficient method for controlling border security. Whereas the initial focus of SBI has been on serious vulnerabilities along the southwest border and between the official ports of entry (POE), increased attention is being given to the northern border to address needs and vulnerabilities there. More specifically, this request will be used to respond to the changing threat and operational needs by delivering enhanced border control capabilities and services to the operational user in the following major areas:

- **SBI_{net} Block 1 Deployments to Arizona.** Through *SBI_{net}*, CBP will continue to implement its initial technology solution, called Block 1, in Arizona. The solution consists of surveillance, detection, identification, classification, tracking, communications, and command and control capabilities that allow Border Patrol agents to efficiently detect, identify, classify, track, and resolve illegal incursions. The first two *SBI_{net}* operational deployments to Tucson Station and Ajo Station are currently underway. Following System Acceptance Test and Operational Test and Evaluation in early 2010, a production decision will be requested to acquire and complete the remaining Arizona Border Patrol Stations. FY 2010 funds will be used for Nogales, Sonoita, Naco, Douglas, and Willcox deployments and the laydown designs for the remaining Arizona deployments - Ajo-2, Casa Grande, and Yuma Sector, whose deployments are planned for FY 2011. Scheduled for completion in 2011, these deployments, when combined with personnel and tactical infrastructure, will contribute significantly towards the effective operational control across the entire Arizona border.
- **Other Technology Deployments.** Through *SBI_{net}*, CBP will continue to address operational gaps through proven technology capabilities, such as Mobile Surveillance System (MSS) units. These are mobile surveillance systems for detecting, identifying, classifying, and tracking

illegal incursions, thus providing the Border Patrol with the flexibility to rapidly fill gaps or augment the coverage of fixed surveillance assets.

- **P-25 Tactical Communications Deployments.** CBP has a critical need to modernize its tactical communications and move from a mixed analog/digital, leased circuit based architecture to an integrated internet protocol / quality of service-based digital network. FY 2010 funds will be used to procure and deploy additional P-25 systems to the southwest border, which will enable improved operations and agent safety.
- **Northern Border Demonstration Project.** As an area of increased concentration, through *SBI*net, CBP is in the process of demonstrating technology for addressing the needs and vulnerabilities of the northern border maritime (river / lake), cold weather environment, as well as deploying proven, stand-alone technology that provides immediate operational benefit. FY 2010 funds will be used to continue these demonstrations and deployments with an emphasis on learning how best to integrate various sensors, organizations involved in border security, and mission operations to optimize border security in this challenging environment. Lessons learned will inform the operational and system requirements for a technology solution tailored for follow-on deployments to the northern border.
- **Tactical Infrastructure (TI).** Through TI, CBP is in the process of successfully completing the construction of approximately 670 miles of pedestrian and vehicle fence along the southwest border – a significant accomplishment -- and shift attention to other priorities that contribute to effective border control. These efforts include fence gates, bridges, access roads, lighting, low water crossings, and brush clearing. FY 2010 funds will be used for similar projects based on operational priorities, as well as construct additional miles of pedestrian and vehicle fence required to meet mission needs.

Effective Control

The primary goal of the Department's strategy to secure our Nation's borders is Effective Control as described in the National Border Patrol Strategy. Effective Control is achieved when the Office of Border Patrol (OBP) determines that agents deployed in any given area are able to:

- *Detect* an illegal entry into the United States;
- *Identify and classify* the threat level associated with that illegal entry;
- *Respond* to the area of the illegal entry; and
- Bring the situation to a law enforcement *resolution* (e.g. arrest).

SBI Capabilities Enabling Effective Control of the Border

Effective Control is established through the proper mix of technology, personnel, and tactical infrastructure (fencing and roads) that will allow CBP to confront and appropriately resolve illegal cross border activity. The mix of these three components will vary depending on the challenges of the focus area.

- Technology is the baseline requirement for any area of operations. It allows us to detect the entries and to identify and classify the threat;
- Personnel provide the response to confront illegal cross border activity; and
- Tactical Infrastructure supports the response by providing access, and also extends response time by detering or slowing the ability to easily cross the border and escape.

The Department's strategy is to Gain, Maintain, and Expand Effective Control.

- Gain: Deploy resources based on known threats, vulnerability, and risk;
- Maintain: Sustain effective control once gained and seek efficiencies to allow us to hold the area with fewer resources; and
- Expand: As we gain control of any given area, activity will be displaced to other areas of operations. We will adjust deployment of resources to expand effective control to areas where there is new or increased activity.

While additional resources, tactical infrastructure, and technology will continue contributing to enhancing effective control of the Nation's borders, it is important to emphasize that effective control of a specific segment is not necessarily gained through the deployment of just one tool or resource. In most cases, fencing will be complemented with a technology component and enforcement personnel. In some cases, such as pedestrian fencing in urban areas, sensors and cameras will be installed to alert agents to any attempted breaches of the fencing. In more rural areas where vehicle fencing is installed, any range of technologies may be required to detect, monitor and facilitate a response to intrusions by foot.

Additionally, once established, border security levels remain dynamic. While the goal is always to increase the level of border security, security in a given sector may decline as a result of many factors. These factors include the effect of enforcement efforts in adjacent sectors, changes in the level or nature of activity, or unanticipated declines in resource availability. Therefore, in order to maintain and expand upon our established border security levels, it is critical to continue the balanced deployment of personnel, technology, and tactical infrastructure.

Each Border Patrol Sector has developed operational plans to achieve effective control of the border in their Area of Responsibility (AOR). These plans are updated annually, and provide a baseline assessment of the current level of control throughout their AOR and the resources (e.g., agents, air support, infrastructure, technology) needed to ultimately gain effective control of their AOR.

Based on an analysis of the terrain and operational dynamic, the Office of Border Patrol (OBP) determines the right mix of technology, tactical infrastructure, personnel, and other assets needed to detect, identify and classify, respond, and resolve illegal incursions in that area. OBP "rates" the different components' capabilities. Some of the key components employed today are rated against the following capabilities:

<u>Component(s)</u>	<u>Capabilities</u>
Radars, Aircraft, Sensors	Detection and Tracking
Cameras, Agents	Identification and Classification
Fence	Persistent Impedance/Delay
Agents, Aircraft, Vehicles, Facilities, Roads, Transportation	Response & Resolution

These capability components form the basis of specific system acquisition programs. The acquisition program plans and budgets are developed and approved. Then after appropriate testing, the systems are deployed, operated, and maintained.

B. Budget Activities

SBI programs must be responsive to the needs and requirements of the mission elements that share responsibility for the security of the Nation’s borders. Within CBP, those mission elements include Office of Border Patrol (OBP), Office of Field Operations (OFO), Air and Marine (A&M), and the Office of Intelligence and Operations Coordination (OIOC). In addition, SBI is charged with integrating and responding to requirements of mission elements outside of CBP—including but not limited to the U.S. Coast Guard (USCG), Immigration and Customs Enforcement (ICE), and the DHS Office of Intelligence and Analysis.

In meeting its responsibilities, SBI performs four broad types of functions: Operational Integration, Technology Demonstration, Commodity Procurement, and System Development. SBI has 3 major investment concentrations, which support the above functions:

Program Management

Program Management funds provide for the necessary government and support personnel, tools, planning, processes, procedures, and resource matrices in an integrated and effective manner to enable all other program objectives to be successfully implemented, while ensuring alignment across the program.

Development and Deployment

Development and Deployment provides for surveillance and detection which consist of sensor systems, such as Unattended Ground Sensors (UGS), radars, and day/night cameras to improve CBP operational forces’ ability to detect, identify, classify, and track illegal entries and items of interest (IOIs) across all border environments. These sensor systems are deployed on fixed and relocatable towers, mobile platforms (wheeled vehicles and aircraft), and on the ground. Development and Deployment also provides for Command, Control, Communications, and Intelligence (C3I) which includes sensor control and data processing, tracking, identification and classification, friendly (blue) force tracking, enhanced intelligence collection and analysis/dissemination tools, and shared situational awareness (i.e., Common Operating Picture (COP)). This integrated network relies on upgraded and interoperable digital field communications, improved Command and Control (C2) facilities, an enhanced wireless communications network, and network and security operations.

Finally, Development and Deployment funds TI, which consist of fixed, relocatable, and mobile infrastructure assets built to deter or delay illegal entries into the United States. TI includes pedestrian

and vehicle fencing, roads, and lighting installed in relevant areas to support border enforcement activities.

Operations and Maintenance (O&M/ Operations and Support (O&S).

Operations and Maintenance funds provide logistics support – supply, maintenance, and training services – to operate and maintain all SBInet deployments and legacy detection and communication systems. A combination of government and contractor logistics activities will provide maintenance management, system support analysis, call center operations, asset management, critical property, spare parts storage, management and inventory records, field services, and training. In addition, (O&M) provides maintenance and repair (M&R) services for all types of TI, both legacy and newly constructed, to include fence and gate M&R, road and bridge M&R, drainage structure and grate M&R, lighting and electrical system M&R, vegetation management and control, and debris removal. In addition to providing M&R services, a comprehensive maintenance tracking database will be implemented to capture pertinent metrics for planning future TI construction projects, evaluating possible changes to border operations, and formulating out-year TI O&M budgets.

C. Budget Request Summary:

CBP requests 200 (FTE) full time positions and \$779,452,000 for FY 2010. The total adjustments-to-base is a negative \$15.5 million. The total program increase is \$20,000,000. The additional funding will assist CBP in gaining situational awareness along part of the northern border.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U. S. Customs and Border Protection
Border Security, Fencing, Infrastructure, and Technology**
Summary of FY 2010 Estimates by Appropriation and Program
(Dollars in thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
SBI Development and Deployment	-	\$1,809,000	-	\$505,000		\$494,000	-	(\$11,000)	-	\$20,000	-	(\$31,000)
Operations and Maintenance	-	31,000	-	150,000		200,000	-	50,000	-	-	-	50,000
Program Management	89	64,000	185	120,000	200	85,452	15	(34,548)	-	-	15	(34,548)
Net, President's Budget, and Budget Estimates	89	\$1,904,000	185	\$775,000	200	\$779,452	15	\$4,452	-	\$20,000	15	(\$15,548)

	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
BSFIT												
SBI Development and Deployment				100,000								
Total				100,000								

note: FY 2008 includes reprogramming funds to allow SBI to address their fence funding needs

FY 2009 does not include \$100 million from American Recovery and Reinvestment Act

FY 2009 CBP has submitted a reprogramming request to move \$20 million from Program Management to SBI Development and Deployment

FY 2009 CBP has submitted a reprogramming request to move \$30 million to NPPD for the Border Interability Demonstration Project

III. Current Services Program Description by PPA

**Department of Homeland Security
U.S. Customs and Border Protection
Border Security Fencing, Infrastructure, and Technology
Program Performance Justification
(Dollars in thousands)**

PPA: SBI DEVELOPMENT AND DEPLOYMENT

	Perm. Pos.	FTE	Amount
2008 Actual	1,809,085
2009 Enacted	505,000
2010 Adjustment to Base	(31,000)
2010 Current Services	474,000
2010 Program Change	20,000
2010 Request	494,000
Total Change 2009-2010	(11,000)

The table above excludes ARRA funding of \$100 million provided in P.L. 111-5. CBP requests \$494.0 million for Development and Deployment. This is a decrease of \$11.0 million below FY 2009 due to:

- \$31.0 million decrease for non-recurring FY 2009 enhancements.
- \$20 million program increase to continue efforts to secure the northern border.

CURRENT SERVICES PROGRAM DESCRIPTION:

Development and Deployment

SBI*net* and TI are the components of CBP SBI charged with developing and installing solutions that will help provide CBP the means to achieve effective control of the U.S. borders, in conjunction with additional CBP agents and officers. When fully implemented, SBI*net* and SBI TI will improve Border Patrol agents' abilities to rapidly and effectively respond to illegal activities and help DHS and CBP manage, control, and secure the border. SBI also serves as a force multiplier by augmenting interconnectivity with other agencies responsible for public safety and counter-terrorism, as well as integrating traditional security infrastructure (pedestrian and vehicle fencing) and multiple state-of-the-art technological systems into one comprehensive border security system for DHS and CBP.

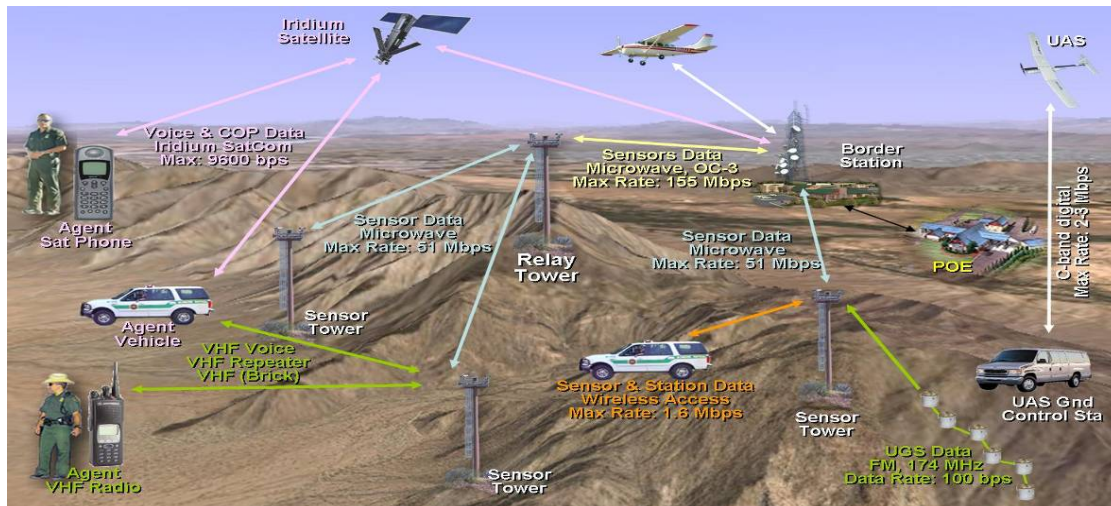
Due to the interdependency of SBI components, each component is vital to the system's overall success. A system with the technology to detect, identify, and classify illegal entries and criminal activity, but without the human capability for a rapid response or interdiction, cannot complete the law enforcement mission. Conversely, law enforcement personnel with inadequate intelligence, physical infrastructure, and technology required for situational awareness, or equipment necessary to conduct enforcement activities are much less likely to be effective in today's dynamic border enforcement environment.

SBI^{net} Block 1

FY 2008 and FY 2009 efforts have been focused on the design, development, integration, and test of the first increment of SBI^{net} functionality, called “Block 1”, and deployment laydown, design, and associated environmental and land acquisition activities. Block 1 is applicable to the southwest border desert environment between the ports of entry. The Block 1 system configuration consists of the following initial components:

- Fixed Tower segments (both sensor and communication towers)
- Advanced Radar Surveillance System (ARSS) radar
- Electro Optical Infrared camera
- Unattended Ground Sensors (UGS)
- Laser Range Finder
- Mobile Data Terminals (Enhancement)
- Standalone Mobile Surveillance System (MSS)
- High-Speed Wireless Broadband Communications (Enhancement)
- Microwave Backhaul Communications
- Command, Control, Communications, and Intelligence (C3I) COP Software Release 0.5

See the figure below, which depicts how the components of SBI^{net} are used to provide an end-to-end system solution for border security:



Conceptual View of SBI^{net}

Based on approval of the DHS Acquisition Review Board (ARB) in January 2009, these technologies are being deployed initially to two areas within the Tucson Sector of Arizona, referred to as TUS-1 and AJO-1. Following System Acceptance Test and Operational Test and Evaluation in early 2010, a production decision will be requested to acquire and complete the remaining Arizona Border Patrol Stations. FY 2010 funds will be used for Nogales, Sonoita, Naco, Douglas, and Willcox deployments, and the laydown designs for the remaining Arizona deployments -- Ajo-2, Casa Grande, and Yuma Sector, whose deployments are planned for FY 2011. Scheduled for completion in 2011, these

deployments, when combined with personnel and tactical infrastructure, will contribute significantly towards the effective operational control across the entire Arizona border.

P-25 Tactical Communications

CBP has a critical need to modernize its tactical communication assets and move from a mixed analog/digital, leased circuit based architecture to an integrated internet protocol/quality of service-based digital network environment. The P-25 Tactical Communication Project upgrades CBP Land Mobile Radios to P-25 systems and enables the *SBI*net COP to leverage P-25's inherent Global Positioning System (GPS) feature to track "friendly" forces. The P-25 tactical communications modernization provides:

- Initiation and assessment planning for each sector
- Requirements gathering and radio frequency (RF) site survey analysis
- System design – system includes subscriber units, civil infrastructure, communications infrastructure (repeaters, controllers) and dispatch equipment. P-25 modernization is dependent on *SBI*net to provide microwave backhaul in a given project area.
- Spectrum planning and site leasing
- Equipment and infrastructure construction and installation
- Acceptance testing, training, and close out

Prior year funds were used to support P-25 construction and deployment activities for Yuma, El Paso and Rio Grande Valley Sectors. Subject to operational priorities, FY 2010 funds will be used to continue Rio Grande Valley construction and deployment activities.

Northern Border Demonstration Project

The northern border is an area of increased concentration and emphasis, and *SBI*net represents only one piece of a larger CBP investment to the North. *SBI*net is in the process of demonstrating technology for addressing the needs and vulnerabilities of the northern border maritime (river/lake), cold weather environment, as well as deploying proven, stand-alone technology. Prior year BSFIT and Border Patrol funds are being used to deploy existing sensor systems to Detroit, Buffalo, and Swanton Sectors to provide immediate operational capability and also allow evaluation of these systems for their suitability to the northern border environment.

Specifically, Mobile Surveillance Systems (MSSs), consisting of truck-mounted sensor suites of day camera, night camera, and radar, are being deployed to Swanton and Buffalo in mid 2009. Remote Video Surveillance Systems (RVSSs) -- day and night cameras with remote control (pointing) from a Border Patrol station (command center) – are being deployed to Buffalo and Detroit. The first deployments will occur in mid 2009 for Buffalo along the Niagara River, where five new RVSSs will augment four existing RVSSs in Buffalo to expand coverage. Deployments to Detroit will begin in mid 2009 with eleven RVSSs along the St Clair River. RVSSs will be deployed and operated incrementally as construction is completed.

Congress also directed \$40 million in FY 2009 for northern border. CBP's analysis of northern border options is nearly complete. The likely focus will be on the centralized collection and processing of

data from multiple sources -- Border Patrol, Office of Field Operations, Air and Marine, Coast Guard, and others as available. Funds may also include additional deployment of existing sensors, such as RVSSs and MSSs. The goal is to enable more effective teaming and consolidation of resources.

FY 2010 funds will be used to continue these demonstrations and deployments with an emphasis on learning how best to integrate various sensors, organizations involved in border security, and mission operations to optimize border security in this challenging environment. Lessons learned will inform the operational and system requirements for technology solution tailored for follow-on deployments to the northern border.

Tactical Infrastructure

TI, while only one layer of the systematic law enforcement approach, has been recognized by the CBP as a necessary contributor to gain effective control of identified border areas. Pedestrian and vehicle fences provide persistent impedence so that agents and officers can gain a tactical advantage. The added physical barrier affords agents additional cover making physical assaults more difficult to carry out.



Bollard Pedestrian Fence with Steel Sheath Extension



Bollard Pedestrian Fence with Fence Caps



Post-on-Rail Vehicle Fence



Normandy Vehicle Fence

In FY 2008, CBP's focus was on TI awarding contracts for and completing construction of approximately 670 miles of pedestrian or vehicle fence.

For FY 2009, the funding priorities for CBP will be for TI to complete construction of approximately 670 miles of pedestrian and vehicle fence; construct approximately 75 fence gates in Rio Grande Valley Sector; construct 7 "crossovers" or bridges in El Paso Sector, construct an additional 3 miles of vehicle fence in the Tucson Sector, and construct approximately 7 additional miles of primary pedestrian fence in the Marfa, Rio Grand Valley, and El Paso Sectors.

As of April 4, 2009, through TI, CBP has constructed fencing totaling 618.6 miles along the southwest border (316.6 miles of pedestrian and 302 miles of vehicle fence) and contracts for all fencing projects needed to complete the approximately 670 miles of pedestrian or vehicle fence have been awarded.

For FY 2010, the current OBP operational requirements for the nine southwest border sectors also call for additional primary, secondary and tertiary/safety pedestrian fence, additional miles of access and all weather roads; additional lighting; bridges; low water crossings; and numerous acres of brush clearing, as well as associated environmental and real estate planning for all of these requirements. Completion of these requirements will contribute to the ability of OBP to obtain effective control of the southwest border. Note that as tactical infrastructure is constructed, shifts in illegal cross-border traffic may necessitate re-evaluating and adjusting operational requirements and priorities to address new vulnerabilities and/or officer safety.

PPA: SBI OPERATIONS AND MAINTENANCE

	Perm. Pos.	FTE	Amount
2008 Actual	31,023
2009 Enacted	150,000
2010 Adjustment to Base	50,000
2010 Current Services	200,000
2010 Program Change	0
2010 Request	200,000
Total Change 2009-2010	50,000

CBP requests \$200 million for Operations and Maintenance. This is an increase of \$50.0 million above FY 2009 due to an:

- Increase of \$50.0 million to the FY 2009 enacted budget for O&M costs of prior year development and deployment initiatives.

CURRENT SERVICES PROGRAM DESCRIPTION:

Through CBP, SBI operations and maintenance funds are required to support sensors, cameras, and tactical infrastructure purchased in the prior year(s), wireless communications, operations and maintenance of new SBI technology, and maintenance of TI (vehicle and pedestrian fences, port of entry barriers, lights, and roads), while *SBI_{net}* includes power and data infrastructure, equipment supporting checkpoints, and necessary COP-related structures, a Network Operations Center and Security Operations Center, internal customer support for the systems, and IT systems support.

Recurring funding is required for operations and maintenance of the prime mission products acquired with previous acquisition funding and legacy equipment incorporated into the SBI program:

- Operations and maintenance for surveillance and detection systems for improved identification capabilities across all border environments including, new cameras, sensors, and agent surveillance tools.
- Operation and maintenance of physical infrastructure that has been built, to include maintenance of tactical infrastructure access roads. The towers for technology and surveillance also require regular maintenance intervals, including the maintenance of tower access roads.
- Operations and maintenance for command, control, and communications systems which will include all work associated with providing the COP, case processing, intelligence systems and applications, wireless communications, and information technology.
- Operation and maintenance of deployed P-25 tactical communications.
- Operations and maintenance of system support analysis, call center operations, asset management, critical property, spare parts storage, management and inventory records, field services, maintenance, overhaul, and training.

PPA: PROGRAM MANAGEMENT

	Perm. Pos.	FTE	Amount
2008 Actual	170	89	63,583
2009 Enacted	200	185	120,000
2010 Adjustment to Base	...	15	(34,548)
2010 Current Services	200	200	85,452
2010 Program Change	0
2010 Request	200	200	85,452
Total Change 2009-2010	...	15	(34,548)

CBP requests \$85.5 million for Program Management. This is a decrease of \$34.5 million below FY 2009 due to:

- FY 2009 Annualization of Program Management Office - \$2 million
- FY 2010 Pay raise - \$0.3 million
- FY 2009 Annualization Pay Raise - \$0.2 million
- Decrease of \$0.4 million for consolidation within the Facilities Management program
- Decrease of \$36.8 million for non-recurring initiatives from FY 2009

CURRENT SERVICES PROGRAM DESCRIPTION:

The SBI Programs are led and managed by the SBI Executive Director who is ultimately responsible for their success. The Executive Director is assisted by the SBI*net* Executive Director and the SBI TI Program Manager who are responsible for the day-to-day operations of their assigned programs.

Program Management funds provide for the necessary government and support personnel, tools, planning, processes, procedures, and resource matrices in an integrated and effective manner to enable all other program objectives to be successfully implemented, while ensuring alignment across the program.

For FY 2010, the SBI Program Office require staffing with 200 government and contract employees. With the emphasis remaining on progress along the southwest border and northern border deployments and demonstrations, teams of people will be working on the various mix of technology and tactical infrastructure to best secure the border.

IV. Program Justification of Changes

**Department of Homeland Security
U.S. Customs and Border Protection
Border Security Fencing, Infrastructure, and Technology
Program Performance Justification
(Dollars in thousands)**

Program Increase 1: BSFIT –Northern Border Technology

Strategic Goal(s) & Objective(s): 2.1 – Secure our borders against terrorists, means of terrorism, illegal drugs and violations of trade and immigration laws.

PPA: Development and Deployment

Program Increase: Positions 0 FTE 0 Dollars \$20,000

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$20,000
Program Increase							0	0	\$20,000
Total Request	0	0	\$0	0	0	\$40,000	0	0	\$40,000

Description of Item

Additional funding in the amount of \$20 million is requested to assist CBP in securing the northern border. This will increase the total FY 2010 funding for the Northern Border Development and Deployment to \$40 million. Through *SBInet*, CBP is in the process of demonstrating technology for addressing the needs and vulnerabilities of the northern border maritime (river/lake), cold weather environment, as well as deploying proven, stand-alone technology that provides immediate operational benefit. FY 2010 funds will be used to continue these demonstrations and deployments with an emphasis on learning how best to integrate various sensors, organizations involved in border security, and mission operations to optimize border security in this challenging environment. Lessons learned will inform the operational and system requirements for a technology solution tailored for follow-on deployments to the northern border. The additional funds requested will enable more robust demonstrations and deployments to support CBP’s increased emphasis on securing the northern border.

Justification

In addition to securing the southwest border, CBP is focusing increased attention on capabilities for enhancing security along the northern border. *SBInet* will play a critical role in enabling OBP to gain and maintain effective control of nearly 4,000 miles of border along the U.S. border with Canada. Prioritized development and deployment of the appropriate mix of technology and infrastructure (i.e.,

roads, fencing, lights, sensors, and mobile and fixed towers, etc.), ensures resources are used optimally to secure this area.

Through *SBI*net, CBP is equipping operational forces with surveillance capabilities that enhance detection, situational awareness, and apprehension of illegal entrants. These new capabilities, in addition to providing near-term operational benefits, also inform the design and development of longer term northern border solutions.

Incremental increases in technology between FY 2010 and FY 2014 will be an important force multiplier for enabling OBP to minimize the number of agents otherwise required. Increases in northern border technology will increase the likelihood that illegal entrants, to include potential terrorists, are detected at the immediate border and monitored as they progress to the interior of the U.S. This capability is critical because the Border Patrol currently employs minimal levels of agents and liaison with other Canadian, federal, state, and local agencies to form a very manpower-oriented system.

Impact on Performance (Relationship of Increase to Strategic Goals)

*SBI*net gives CBP and other DHS enforcement agencies unprecedented capabilities for planning, directing, and conducting northern border enforcement operations. The means for objectively evaluating the performance and effectiveness of security and enforcement actions is also addressed.

In conjunction with the DHS infrastructure, communications systems disseminate operational orders in real-time. Managers have the ability to redeploy resources rapidly as DHS priorities or national crises evolve. At the command and control (C2) level, *SBI*net works with other systems to provide managers with continuous situational awareness, integrating new levels of collaboration and cooperation with other professionals and enforcement agencies. As agents report on activities, submit enforcement intelligence, and collaborate electronically from field locations, the C2 level receives a comprehensive view of the northern border enforcement environment.

Investment in northern border technology contributes to objective 1.1 of the CBP Strategic Plan: establish and maintain effective control of air, land, and maritime borders through the use of appropriate mix of infrastructure, technology, and personnel. This is accomplished in the northern border maritime (river/lake), cold weather environment by equipping CBP with the ability to consistently:

- Detect – Detect entries when they occur;
- Identify/Classify – Identify what the entry is and classify its level of threat (who they are, what they are doing, how many, etc);
- Respond – Effectively and efficiently respond to the entry; and
- Resolve – Bring the situation to the appropriate law enforcement resolution

In addition, northern border technology contributes to the core enabler: develop the capability to conduct seamlessly coordinated CBP operations and information/intelligence sharing, collocating command and intelligence structures wherever practical and operationally appropriate.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Department of Homeland Security U.S. Customs and Border Protection

Justification of Proposed Changes in Border Security Fencing, Infrastructure, and Technology Appropriation Language

For expenses for [customs and border protection] border security fencing, infrastructure, and technology, [\$775,000,000] \$779,452,000, to remain available until expended[: Provided, That of the amount provided under this heading, \$400,000,000 shall not be obligated until the Committees on Appropriations of the Senate and the House of Representatives receive and approve a plan for expenditure, prepared by the Secretary of Homeland Security and submitted not later than 90 days after the date of the enactment of this Act, for a program to establish and maintain a security barrier along the borders of the United States of fencing and vehicle barriers, where practicable, and other forms of tactical infrastructure and technology, that includes the following_]

[(1) a detailed accounting of the program's implementation to date for all investments, including technology and tactical infrastructure, for funding already expended relative to system capabilities or services, system performance levels, mission benefits and outcomes, milestones, cost targets, program management capabilities, identification of the maximum investment, including life cycle costs, related to the Secure Border Initiative program or any successor program, and description of the methodology used to obtain these cost figures;]

[(2) a description of how specific projects will further the objectives of the Secure Border Initiative, as defined in the Department of Homeland Security Secure Border Plan, and how the expenditure plan allocates funding to the highest priority border security needs;]

[(3) an explicit plan of action defining how all funds are to be obligated to meet future program commitments, with the planned expenditure of funds linked to the milestone-based delivery of specific capabilities, services, performance levels, mission benefits and outcomes, and program management capabilities;]

[(4) an identification of staffing, including full-time equivalents, contractors, and detailees, by program office;]

[(5) a description of how the plan addresses security needs at the Northern border and ports of entry, including infrastructure, technology, design and operations requirements, specific locations where funding would be used, and priorities for Northern border activities;]

[(6) a report on budget, obligations and expenditures, the activities completed, and the progress made by the program in terms of obtaining operational control of the entire border of the United States;]

[(7) a listing of all open Government Accountability Office and the Office of Inspector General recommendations related to the program and the status of Department of Homeland Security actions to address the recommendations, including milestones to fully address such recommendations;]

[(8) a certification by the Chief Procurement Officer of the Department that the program: (a) has been reviewed and approved in accordance with the investment management process of the Department, and that the process fulfills all capital planning and investment control requirements and reviews established by the Office of Management and Budget, including as provided in Circular A-11, part 7; (b) that the plans for the program comply with the Federal acquisition rules, requirements, guidelines, and practices, and a description of the actions being taken to address areas of non-compliance, the risks

associated with such actions, together with any plans for addressing these risks, and the status of the implementation of such actions; (c) that procedures to prevent conflicts of interest between the prime integrator and major subcontractors are established and that the Secure Border Initiative Program Office has adequate staff and resources to effectively manage the Secure Border Initiative program, all contracts, including the exercise of technical oversight; and (d) the certifications required under this paragraph should be accompanied by all documents or memoranda, as well as documentation and a description of the investment review processes used to obtain such certifications;]

[(9) a certification by the Chief Information Officer of the Department that: (a) the system architecture of the program is sufficiently aligned with the information systems enterprise architecture of the Department to minimize future rework, including a description of all aspects of the architectures that were or were not assessed in making the alignment determination, the date of the alignment determination, and any known areas of misalignment together with the associated risks and corrective actions to address any such areas; (b) the program has a risk management process that regularly and proactively identifies, evaluates, mitigates, and monitors risks throughout the system life cycle and communicates high-risk conditions to U.S. Customs and Border Protection and Department of Homeland Security investment decision-makers, as well as a listing of all the program's high risks and the status of efforts to address such risks; (c) an independent verification and validation agent is currently under contract for the projects funded under this heading; and (d) the certification required under this paragraph should be accompanied by all documents or memoranda, as well as documentation and a description of the investment review processes used to obtain such certification;]

[(10) a certification by the Chief Human Capital Officer of the Department that the human capital needs of the Secure Border Initiative program are being addressed so as to ensure adequate staff and resources to effectively manage the Secure Border Initiative, together with a description of SBI staffing priorities;]

[(11) an analysis by the Secretary for each segment, defined as not more than 15 miles, of fencing or tactical infrastructure, of the selected approach compared to other, alternative means of achieving operational control, and such analysis should include cost, level of operational control, possible unintended effects on communities, and other factors critical to the decision making process; and]

[(12) is reviewed by the Government Accountability Office:]

[Provided further, That the Secretary shall report to the Committees on Appropriations of the Senate and the House of Representatives on program progress, and obligations and expenditures for all outstanding task orders as well as specific objectives to be achieved through the award of current and remaining task orders planned for the balance of available appropriations at least 15 days before the award of any task order requiring an obligation of funds in an amount greater than \$25,000,000 and before the award of a task order that would cause cumulative obligations of funds to exceed 50 percent of the total amount appropriated: Provided further, That none of the funds provided under this heading may be obligated unless the Department has complied with section 102(b)(1)(C)(i) of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (8 U.S.C. 1103 note), and the Secretary certifies such to the Committees on Appropriations of the Senate and the House of Representatives: Provided further, That none of the funds under this heading may be obligated for any project or activity for which the Secretary has exercised waiver authority pursuant to section 102(c) of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (8 U.S.C. 1103 note) until 15 days have elapsed from the date of the publication of the decision in the Federal Register: Provided further, That notwithstanding the previous provisos, \$100,000,000 of the amount provided under this heading shall be made available for obligation upon enactment of this Act without restriction]

Explanation of Changes:

No substantive changes.

B. FY 2009 to FY 2010 Budget

**Department of Homeland Security
U.S. Customs and Border Protection
Border Security, Fencing, Infrastructure, and Technology
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual	170	89	\$1,903,691
2009 Enacted	200	185	\$775,000
Adjustments-to-Base			
Increases			
Annualization of FY 2009 Pay Raise			250
FY 2010 Pay Increase.....			360
Annualization of O&M.....			50,000
Annualization of FTE and other.....		15	2,000
Total Increase	-	15	\$52,610
Decreases.....			
Realignment of funding for the Facilities program.....			(370)
Non-recurring costs associated with FY 2009 Initiatives.....			(67,788)
Total Decrease	-	-	(68,158)
Total Adjustments-to-Base	-	15	(\$15,548)
2010 Current Services	200	200	\$759,452
Program Changes			
BSFIT Northern Border Technology			20,000
Total Program Changes	-	-	\$20,000
2010 Request	200	200	\$779,452
2009 to 2010 Total Change	-	15	\$4,452

* The table above excludes ARRA funding of \$100 million provided in P.L. 111-5.

C. Summary of Requirements

**Department of Homeland Security
U.S. Customs and Border Protection
Border Security, Fencing, Infrastructure and Technology
Summary of Requirements
(Dollars in Thousands)**

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	170	89	\$1,903,691
FY 2009 Enacted	200	185	\$775,000
Adjustment-to-Base			
Decreases	-		(68,158)
Increases	-	15	\$52,610
Total Adjustments-to-Base	-	15	(15,548)
2010 Current Services*	200	200	\$759,452
Program Changes	-	-	20,000
2010 Request	200	200	\$779,452
2009 to 2010 Total Change	-	15	\$4,452

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-To-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
SBI Development and Deployment	-	-	\$505,000	-	-	-31,000	-	-	\$20,000	-	-	\$494,000	-	-	-\$11,000
Operations and Maintenance	-	-	150,000	-	-	50,000	-	-	0	-	-	200,000	-	-	50,000
Program Management	200	185	120,000	-	15	-34,548	-	-	0	200	200	85,452	-	15	-34,548
Total	200	185	\$775,000	-	15	-\$15,548	-	-	\$20,000	200	200	\$779,452	-	15	\$4,452

D. Summary of Reimbursable Resources

Not applicable.

E. Summary of Requirements by Object Class

**Department of Homeland Security
U. S. Customs and Border Protection
Border Security, Fencing, Infrastructure and Technology
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	9,829	19,621	20,719	1,098
11.3 Other than full-time permanent	(2)	-	-	---
11.5 Other Personnel Compensation	614	-	-	---
12.1 Benefits	2,835	4,451	4,860	409
13.0 Benefits - former	-	-	-	---
Total, Personnel Comp. & Benefits	13,276	24,072	25,579	1,507
21.0 Travel	2,197	2,452	1,012	(1,440)
22.0 Transportation of things	54	-	-	---
23.2 Other rent	309	370	-	(370)
23.3 Communications, utilities, & other misc. charges	5,786	2,951	6,669	3,718
24.0 Printing and reproduction	3	40	26	(14)
25.1 Advisory and assistance services	189	-	-	---
25.2 Other services	288,222	437,160	362,758	(74,402)
25.3 Purchases of goods & svcs. from Gov't accounts	3,701	-	-	---
25.4 Operation & maintenance of facilities	79,690	-	-	---
25.7 Operation and maintenance of equipment	115	-	-	---
26.0 Supplies and materials	3,791	1,118	486	(632)
31.0 Equipment	48,867	290,363	282,922	(7,441)
32.0 Land & structures	1,340,429	133,597	100,000	(33,597)
41.0 Grants/Subsidies/Contributions	117,062	34,911	-	(34,911)
Total, Other Object Classes	1,890,415	902,962	753,873	(149,089)
Total, Direct Obligations	1,903,691	927,034	779,452	(147,582)
Unobligated balance, start of year	(736,889)	(152,034)		
Unobligated balance, end of year	152,034			
Resources available from recoveries of prior year obligations	(16,250)			
Transfers from other accounts	(77,586)			
Total requirements	1,225,000	775,000	779,452	

F: Permanent Positions by Grade

**Department of Homeland Security
U.S. Customs and Border Protection
Border Security, Fencing, Infrastructure and Technology
Permanent Positions by Grade**

Grades and Salary Ranges	2008 Actual	2009 Enacted	2010 Requested	2009 to 2010 Change
	Pos.	Pos.	Pos.	Total
Total, SES	4	4	4	---
GS-15	34	34	34	---
GS-14	81	96	96	---
GS-13	34	49	49	---
GS-12	8	8	8	---
GS-11	3	3	3	---
GS-9	3	3	3	---
GS-7	3	3	3	---
Total Permanent Positions	170	200	200	---
Unfilled Positions EOY	---	---	---	---
Total Perm. Employment EOY	170	200	200	---
FTE	89	185	200	15
Headquarters	144	159	159	---
U.S. Field	26	41	41	---
Foreign Field				---
Total Permanent Positions	170	200	200	---
Average ES Salary	\$ 154,650	\$ 157,743	\$ 160,898	\$ 3,155
Average GS Salary	\$ 107,703	\$ 109,857	\$ 112,055	\$ 2,197
Average GS Grade	13.31	13.34	13.34	---

G. Capital Investment and Construction Initiative Listing

U.S. Customs and Border Protection
Border Security, Fencing, Infrastructure, and Technology

INITIATIVE NAME	FY 2010 FUNDING REQUEST Development and Deployment (\$Dollar in Thousand)			FUNDING FROM:	
	Current Services Level	New Initiative	Total	Budget Activity	Program Name
Secure Border Initiative	\$474,000	\$20,000	\$494,000	CBP0005.01	SBI Development and Deployment
Total Non-IT investments \$5 million or more	110,000	-	110,000		
Total Non-IT investments under \$5 million	-	-	-		
Total Non-IT Investments	\$110,000	-	\$110,000		
Total of IT Investments	\$364,000	20,000	384,000		
Total all IT and Non-IT	\$474,000	20,000	\$494,000		

1. Project Description, Justification and Scope

The DHS border security mission is to prevent dangerous and illegal people and things from entering the United States, including terrorists and instruments of terror. DHS created the Secure Border Initiative (SBI) to bring clarity of mission, effective coordination of DHS assets, and greater accountability to the work of DHS in securing the Nation’s borders. SBI is the most far-reaching effort in United States history to gain control of its nearly 6,000 miles of international land border. CBP is the lead agency within DHS for the development and deployment of SBI tactical infrastructure (TI) and SBI technology, called *SBI_{net}*. Under the SBI TI program, CBP is developing and installing pedestrian and vehicle fences, roads, and lights that will be a physical impediment to crossing the border, and provide additional time for Border Patrol agents to react to illegal border activity. This infrastructure is complemented by *SBI_{net}*, which include such technologies as radars, cameras, unattended ground sensors, communications, and integrating software that will provide CBP field personnel a common operational picture. When fully implemented, SBI TI and SBI technology will provide an enhanced capability to detect, identify, and track border activity, improve an agent’s ability to rapidly and effectively respond to illegal activities, enable more effective command, control, communications, and intelligence (C3I), and improve interoperability with other Federal agencies responsible for public safety and counter-terrorism.

2. Significant Changes

As of April 4, 2009, SBI TI has constructed fencing totaling 618.6 miles along the southwest border (316.6 miles of pedestrian and 302 miles of vehicle fence), and contracts for all fencing projects needed to complete the approximately 670 miles of pedestrian or vehicle fence have been awarded.

In late 2008, CBP re-planned of *SBI*net's development and deployment strategy to reduce schedule concurrency (program risk) between system testing and deployment. The program was baselined, presented to the DHS Acquisition Review Board in January, 2009, and approved for implementation. The *SBI*net System Program Office issues identified during formal System Qualification Testing (SQT) have been resolved, clearing the way for on-going construction and deployment of the initial *SBI*net Block 1 design to Tucson Station (TUS-1) and Ajo Station (Ajo-1). Following System Acceptance Test and Operational Test and Evaluation in early 2010, a production decision (Acquisition Decision Event 3) will be requested for approval to acquire and complete the remaining Arizona Border Patrol Stations (Nogales, Sonoita, Naco, Douglas, Willcox, Ajo-2, Casa Grande, Yuma, Blythe, and Wellton).

The FY 2010 budget supports deployments to Nogales, Sonoita, Naco, Douglas, and Wilcox stations and provided funds for the deployment design of the remaining Tucson and Yuma Sectors.

3. Project Schedule

The FY 2010 funding request for *SBI*net enables the completion of the Tucson East Stations (Nogales and Sonoita) in 2010 and Tucson West Stations (Naco, Douglas, and Wilcox) in 2011. The remaining Tucson and Yuma Sector stations are planned to be completed later in 2011 using FY 2011 funds. In addition, the funding will support Tactical Infrastructure to priority locations, and logistics support for legacy and new TI and *SBI*net construction / deployments.

4. Schedule of Project Funding (Dollars in Thousands)

	FY 2008	FY 2009	FY 2010	Total
Appropriation	1,809,085	505,000	494,000	2,808,085
Obligation (planned)	1,809,085	505,000	494,000	2,808,085
Expenditure (planned)	904,500	252,500	247,000	1,404,000

5. Cost Estimate Detail and Changes (Dollars in Thousands)

Description of Milestone Development and Deployment	Current Estimate
<i>SBI</i> net	384,000
Tactical Infrastructure	110,000
Total	494,000

6. Method of Performance

SBI_{net}

CBP has established performance metrics and parameters for the SBI_{net} solution, such as probability of detection, probability of identification, and operational availability. These operational and system performance parameters were used to design SBI_{net} Block 1, the initial deployment to the southwest border, and are reflected in the following table:

SBI_{net} Block 1 Performance Requirements	
Performance Measure	Requirements*
Probability of Detection	Threshold – 70% Objective – 85%
Probability of Identification	Threshold – 70% Objective – 85%
Operational Availability (Ao)	Threshold – 85% Objective – 95%

* Does not include all components of end-state solution for SBI_{net} deployment to southwest border, e.g. Air and marine assets.

** Threshold = minimum acceptable value; objective = target value

These performance parameters are expected to be exceeded at the end of SBI_{net}'s full deployment along the southwest border, when the full range of technologies that are planned to be part of the end state solution, e.g. ground based radars, cameras, Air and Marine assets, unattended ground sensors, etc. are taken into account.

CBP is also improving its capabilities to better measure system performance. Appropriate performance metrics and parameters are determined by modeling, actual performance during system testing, and more importantly by the technology capabilities included in the individual deployments. Moreover, given that these metrics are predicted targets, CBP will also continue to utilize the current process for determining effective control as the key measure of merit for the overall system's performance.

The method used to predict the detection and identification effectiveness of a particular SBI technology system solution is to estimate it in a simulation that models the performance and operations of the components (radar, camera, and unattended ground sensors) in a 3-dimensional terrain environment. The type, quality, and frequency of the sensor data delivered to the COP, the COP operator's proficiency at interpreting the delivered data, and the routes of ingress and tactics used by illegal border crossers are key factors. The effectiveness of identification is dependent on detection effectiveness and therefore it is necessary to assess these two measures concurrently against the same intruder scenario.

Field tests will be conducted to validate the performance of the sensors (radar, camera, and UGS) as well as the system performance. The TUS-1 field test results will be incorporated into the model and the model will be rerun and compared to the requirements of the TUS-1 and AJO-1 projects. Once the models have been validated, we will rerun the model with the TUS-1 field data to generate updated performance numbers and compare this performance to the project requirements. Moreover, given that

these metrics are predicted targets, we will continue to utilize the current process for determining effective control as the key measure of merit for the overall system's performance.

Tactical Infrastructure

The Fence performance standards were developed initially through the Fence Lab and refined by the Fence Engineering Integrated Project Team through value engineering and based on the expert knowledge and experience of OBP.

PF225 Pedestrian Fencing Requirements

#	Performance Requirement	Objective*	Threshold*	Verification
1	Capability of disabling a vehicle.	10,000 pounds Gross Vehicle Weight @ 40 miles per hour	6,000 pounds Gross Vehicle Weight @ 40 miles per hour	Analysis
2	Not easily climbed over or perched upon by a pedestrian, 16-35 years, without special climbing tools (PF Only).	18 feet high	18 feet high	Design / Inspect
3	Not easily penetrated or vandalized with common power tools including oxyacetylene or similar methods.	Cannot cut 24" x 24" square in 30 minutes	Cannot cut 24" x 24" square in 15 minutes	Tested
4	Ability to survive temperatures applicable to the southwestern border of the United States including diurnal and seasonal extremes.	Thermal expansion (delta in excess of 120 degrees)	Thermal expansion (delta in excess of 120 degrees)	Analysis
5	Ability to see through the fence with the human eye for situational awareness purposes.	Desired in some locations not required for all locations dependent upon operational needs.	6 feet tall from ground minimum see-through section desired in some locations for PF; dependent upon operational needs.	Design / Inspect
6	Compatible design applicable to desert, mountain, flood plains, open range, and remote conditions to address the different geographic conditions.	Government off-the shelf	Government off-the shelf or contractor design-build.	Analysis

7	Site adaptable where necessary to permit water and not cause backwater of greater than 3 inches in urban areas and 6 inches in rural area.	Comply with International Boundary and Water Commission (IBWC) design guidelines to comply with International treaties with Mexico; No flooding of structures or buildings; No significant erosion that could damage the fence.	Comply with IBWC design guidelines to comply with International treaties with Mexico; No flooding of structures or buildings; No significant erosion that could damage the fence.	Drainage Studies / Design / Inspect
8	Site adaptable where necessary to allow migration of small animal species across the border.	Site adaptable where necessary to allow migration of small animal species across the border.	Allows small animals to migrate across the border (PF); Allows small and large animals to migrate across the border (VF).	Design / Inspect
9	Provides deterrence to common/basic under-digging (PF only).	6 feet or deeper	3 feet	Design / Inspect
10	Allows access to border monuments and properties south of the fence to meet IBWC and general access requirements respectively.	3 feet for human 20 feet (vehicle), 40 feet for (farm equipment)	3 feet for human 20 feet (vehicle), 40 feet for (farm equipment)	Design / Inspect
11	Allow construction workers and maintenance crews room to build/maintain fence without breaching border.	Can be constructed and maintained from the U.S. side only (no less than 3 feet from the land border)	Minimum distance from the border deemed necessary to accommodate existing geographical conditions	Design / Verification
12	Long service life requiring minimal planned maintenance.	30-year Service life 10 years between planned maintenance	15-year service life 5 years between planned maintenance	Design / Inspect
13	A design that allows for expedient repair of damage or breaching.	Restore to original condition within 24 hours	Restore to original condition within 72 hours	Design / Inspect
14	Construct within real estate footprint.	60 feet	150 feet	Design / Verification

* Threshold = minimum acceptable value, objective = target value

**7. Related Annual Funding Requirements
Development and Deployment
(Dollars in Thousands)**

	FY 2010	FY 2009
	Current Estimate	Previous Estimate
Procurement	\$494,000	\$505,000

**8. Budget Allocation to Programs
Development and Deployment
(Dollars in Thousands)**

	Allocated Budget	
Program	FY 2009	FY 2010
Procurement	\$505,000	\$494,000

9. Compliance with applicable Public laws, Regulations, Standards, and Executive Orders

As recently as December 11, 2008, the DHS Chief Procurement Officer has certified that the plans for the SBI program are in compliance with Federal acquisition rules, requirements, guidelines, and practices.

The Border Security Fencing, Infrastructure, and Technology appropriation is committed to fulfilling the legislative requirements outlined in Public Law 110-161, *The Consolidated Appropriations Act of 2008*.

The SBI program is compliant with environmental laws and regulations.

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Customs and Border Protection
Border Security, Fencing, Infrastructure and Technology
Funding Schedule
(Dollars in Thousands)**

PPA: SBI Development and Deployment		FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Object Classes:					
21.0	Travel	1,737	1,952	500	(1,452)
23.2	Other rent	309	--	--	---
23.3	Communication, Utilities, and misc charges	3,008	242	--	(242)
25.2	Other Services	229,921	220,730	161,400	(59,330)
25.3	Purchase from Govt. Accts.	28	--	--	---
25.4	Operation & maintenance of facilities	74,655	--	--	---
25.7	Operation & maintenance of equipment	97	--	--	---
26.0	Supplies & materials	202	148	--	(148)
31.0	Equipment	41,637	254,095	232,100	(21,995)
32.0	Land & Structures	1,340,429	133,597	100,000	(33,597)
41.0	Grants/Subsidies/Contributions	117,062	34,911	--	(34,911)
Total, SBI Development and Deployment		1,809,085	645,675	\$494,000	(\$151,675)
Full Time Equivalents			--	--	---

Mission Statement

The SBI Program Office will identify and provide relevant information to DHS stakeholders in a timely manner, using open information architecture. To achieve this strategic goal CBP will lead the effort to develop a Common Operating Picture (COP) that provides situational awareness necessary to improve mobility, rapid response, officer safety, and intelligence.

Summary Justification and Explanation of Changes

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Travel	1,737	1,952	500	(\$1,452)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes decreases of \$1,452,000 for non-recurring costs.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Other Rent	309	--	--	---

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request includes no change.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous charges	3,008	242	--	(242)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes decreases of \$242,000 for non-recurring costs.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Other Services	229,921	220,730	161,400	(59,330)

Other Contractual Services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request includes decreases of \$59,330,000 for non-recurring costs.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Purchase from Government Accounts	28	--	--	---

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request includes no change.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Operation & maintenance of facilities	74,655	--	--	---

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 request includes no change.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Operation & Maintenance of equipment	97	--	--	---

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request includes no change.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Supplies & materials	202	148	--	(148)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes decreases of \$148,000 for non-recurring costs.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Equipment	41,637	254,095	232,100	(21,995)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes decreases of \$21,995,000 for non-recurring costs.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Land & Structures	1,340,429	133,597	100,000	(33,597)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. FY 2010 request includes decreases of \$33,597,000 for non-recurring costs.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Grants/Subsidies/Contributions	117,062	34,911	--	(34,911)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2010 request includes decreases of \$34,911,000 for non-recurring costs.

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Customs and Border Protection
Border Security, Fencing, Infrastructure and Technology
Funding Schedule
(Dollars in Thousands)**

PPA: SBI Operations and Maintenance		FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Object Classes:					
23.3	Communication, Utilities, and misc charges	2,356	78	---	(78)
25.1	Advisory & Assistance Services	20	---	---	--
25.2	Other Services	16,946	124,282	150,200	25,918
25.3	Purchase from Govt. Accts.	453	---	---	--
25.4	Operation & maintenance of facilities	771	---	---	--
25.7	Operation & maintenance of equipment	17	---	---	--
26.0	Supplies & materials	3,373	---	---	--
31.0	Equipment	7,087	34,771	49,800	15,029
Total, SBI Operations and Maintenance		31,023	159,131	200,000	40,869
Full Time Equivalents			---	---	---

Mission Statement

SBI Operations and Maintenance includes the operational support required by the SBI net solution, exclusive of Integrated Logistics Support. This type of support includes the operation of a Network Operations Center and Security Operations Center, manning of a Customer Support (Help Desk), and IT Systems Support.

Summary Justification and Explanation of Changes

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous charges	2,356	78	---	(78)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes decreases of \$78,000 for non-recurring costs.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Advisory and Assistance Services	20	--	---	--

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

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Other Services	16,946	124,282	150,200	25,918

Other Contractual Services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request includes increases of \$25,918,000 to address increased O&M costs of prior year D&D.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Purchase from Government Accounts	453	--	---	--

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request includes no change.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Operation & maintenance of facilities	771	--	---	--

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 request includes no change.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Operation & Maintenance of equipment	17	--	---	--

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request includes no change.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Supplies & materials	3,373	--	---	--

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes no change.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Equipment	7,087	34,771	49,800	15,029

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes increases of \$15,029,000.

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Customs and Border Protection
Border Security, Fencing, Infrastructure and Technology
Funding Schedule
(Dollars in Thousands)**

PPA: Program Management		FY 2008	FY 2009	FY 2010	2009 to 2010
Object Classes:		Actual	Enacted	Request	Change
11.1	Perm Positions	9,829	19,621	20,719	1,098
11.3	Other than perm	(2)	---	---	---
11.5	Other per comp	614	---	---	---
12.1	Benefits	2,835	4,451	4,860	409
21.0	Travel	460	500	512	12
22.0	Transportation of things	54	---	---	---
23.2	Other rent	---	370	---	(370)
23.3	Communication, Utilities, and misc charges	422	2,631	6,669	4,038
24.0	Printing	3	40	26	(14)
25.1	Advisory & Assistance Services	169	---	---	---
25.2	Other Services	41,355	92,148	51,158	(40,990)
25.3	Purchase from Govt. Accts.	3,220	---	---	---
25.4	Operation & maintenance of facilities	4,264	---	---	---
25.7	Operation & maintenance of equipment	1	---	---	---
26.0	Supplies & materials	216	970	486	(484)
31.0	Equipment	143	1,497	1,022	(475)
Total, Program Management		63,583	122,228	85,452	(36,776)
Full Time Equivalents		89	185	200	15

Mission Statement

Program Management includes work related to the planning, organizing, coordinating, authorizing, and controlling of the program to meet technical, quality, cost, and schedule requirements over the period of the contract. Includes such areas as business management, supplier management and procurement, relocation expenses, security, regulatory management (environmental, real estate, and spectrum), and quality and mission assurance.

Summary Justification and Explanation of Changes

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Salaries and Benefits	13,276	24,072	25,579	1,507

Salaries and Benefits includes costs for 200 FTEs. The FY 2010 request includes increases of \$1,507,000.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Travel	460	500	512	12

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes increases of \$12,000.

	FY 2008 Actual	FY2009 Enacted	FY 2010 Request	2009 to 2010 Change
Transportation of Things	54	---	---	---

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request includes no change.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Other Rents	---	370	---	(370)

Other Rent includes all payments to a non-federal source for rental space, land, and structures. The FY 2010 request includes decreases of \$370,000 for facilities consolidation and realignment.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous charges	422	2,631	6,669	4,038

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes increases of \$4,038,000.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Printing	3	40	26	(14)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. FY 2010 request includes decreases of \$14,000 for non-recurring costs.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Advisory and Assistance Services	169	---	---	---

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

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Other Services	41,355	92,148	51,158	(40,990)

Other Contractual Services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. FY 2010 request includes decreases of \$40,990,000 associated with anticipated decreased requirements within PM in FY 2010.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Purchase from Government Accounts	3,220	---	---	---

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request includes no change.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Operation & maintenance of facilities	4,264	---	---	---

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 request includes no change.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Operation & Maintenance of equipment	1	---	---	---

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request includes no change.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Supplies & materials	216	970	486	(484)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. FY 2010 request includes decreases of \$484,000 for non-recurring costs.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Equipment	143	1,497	1,022	(475)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. FY 2010 request includes decreases of \$475,000 for non-recurring costs.

I. Changes In FTE

CHANGES IN FULL-TIME EQUIVALENTS*
U.S. Customs and Border Protection
Border Security, Fencing, Infrastructure and Technology

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request
BASE: Year-end Actual from Prior Year	39	89	185
INCREASES			
Program Management	40	15	0
Program Management Annualization	10	81	15
Subtotal, Increases	50	96	15
DECREASES			
	0	0	0
Subtotal, Decreases	0	0	0
Year-end Enacted/Estimated FTEs	89	185	200
Net change from prior year SOY base to budget year EOY estimate	50	96	15

J. FY 2009 Schedule of Working Capital Fund by PPA

Not applicable.

Department of Homeland Security

U. S. Customs and Border Protection

Air and Marine Interdiction, Operations, Maintenance, and Procurement



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. Customs and Border Protection Air and Marine Interdiction, Operation, Maintenance, and Procurement

I. Appropriation Overview

A. Mission Statement:

CBP protects the Nation through the coordinated use of integrated air and marine forces to detect, interdict and prevent acts of terrorism and the unlawful movement of people, illegal drugs and other contraband toward or across the borders of the United States. CBP Air and Marine's (A&M) core competencies include: air and marine interdiction, air and marine law enforcement, and air and national border domain security.

CBP A&M has a staff of over 1,871 personnel, including pilots and aircrew, air and marine law enforcement officers, operations specialists, logistics and maintenance support personnel, and administrative personnel. In FY 2009, mission critical assets consisted of approximately 300 aircraft (including fixed wing, rotary helicopters, and unmanned aircraft systems), approximately 200 marine vessels, a national air and marine operations center, fixed and mobile surveillance equipment, ground vehicles, training facilities, maintenance facilities, aircraft hangers, and marine facilities located along all of the nation's borders and at key interior support locations.

B. Budget Activities:

CBP A&M's Air Strategic Plan was updated in FY 2007 to include marine strategic plans, an expanded plan for Unmanned Aircraft Systems (UASs), revised staffing projections, a facilities enhancement approach, and updates to the ten-year investments model provided in the baseline plan submission to Congress. CBP A&M's approach to executing the plan can be divided along the three major border security areas of responsibility (AOR)—northern border, southwest border and southeast/coastal borders. Five primary air branches and supporting units were established along the northern border. Consideration will be given to establishing secondary or satellite sites to support the concentration of assets needed to meet specific threats as they are identified. Based on the results of operational demonstrations conducted from the joint CBP/Air National Guard (ANG) based in North Dakota in FY 2008, CBP A&M's UAS capabilities to obtain increased intelligence and gain better situational awareness in support of the Secure Border Initiative (SBI) was expanded to North Dakota. Both air and marine operations will expand along the Great Lakes and the northwestern and northeastern maritime approaches to our borders as additional aircraft, marine vessels, and personnel are deployed. The delivery of new aircraft and additional pilots/air crew will enable increased tactical support to the Border Patrol along the southwest, northern and southeast coastal borders as the number of agents on the ground increases. The UAS Branch, in Sierra Vista, will expand its operations as additional systems are delivered and deployed. Within the southeast/coastal AOR, P-3 aircraft wing operations will increase as assets are delivered from extensive depot-level rework. Maritime demonstrations of UAS capabilities in the southwest and southeast coastal approaches to the U.S. are also planned. Marine operations in the Gulf of Mexico will be enhanced as new interceptor

vessels replace the aging Black Night Interceptors and additional sea-borne radar platforms are acquired. The investments needed to achieve CBP A&M's end state and to support the operational objectives discussed above can be described in four broad categories discussed below.

Aircraft Safety and Service Life Extension. The highest priority within CBP A&M remains the P-3 Service Life Extension Program (SLEP) since it rectifies serious flight safety concerns. The average age of CBP A&M aircraft is over 22 years old, and the aircraft in the P-3 fleet are over 40 years old. The P-3 SLEP began in FY 2006 with the repair of fleet-wide wing stress cracks and the development of the requirements for extending the lives of the 16 P-3 aircraft by 20 years. Two P-3 aircraft will be inducted in the re-wing phase of SLEP in FY 2010, followed by four in FY 2011, three in FY 2012 and two in FY 2013. This will account for 11 of CBP A&M's 16 P-3 aircraft. The remaining 5 platforms will be inducted after 2013.

Establishment of a Strategic Intelligence, Surveillance, and Interdiction Capability. Equally high in priority is the UAS program. This program will support CBP A&M's efforts to accomplish the following: maintain priority coverage along the southwest and northern borders and increase effectiveness at the southeast/coastal borders. In FY 2006, CBP established a UAS program that will be the key element of the agency's strategic intelligence, surveillance, and interdiction capability. The total capability will include the P-3 Maritime Patrol Aircraft and the DHC-8/Q300 Multi-Role Patrol Aircraft (MPA). The strategic plan currently calls for up to three squadrons of UASs to be deployed along the southwest border, northern border, and southeast/coastal operating area. The end-state objectives for the MPA changed in FY 2007 when the manufacturer closed the DHC-8/Q300 production line in favor of a larger, more commercially viable DHC-8/Q400. CBP A&M concluded that the larger Q400 was not suitable for its missions and, instead, focused on the acquisition in early FY 2009 of a smaller, twin-engine, Multi-Role Enforcement Aircraft (MEA) capable of operating effectively over land and water. Additionally, UAS supports Immigration and Customs Enforcement (ICE) investigative efforts, extends cross border operations into the source and transit zones, as well as augments and enhances the crewed air and marine assets.

Air Recapitalization and Modernization. The present air fleet consists of 19 different aircraft types. Currently, seven of ten aircraft types have exceeded their normal service life expectancy, some by as much as almost two times the industry average. The impact has been an unavoidable loss of operational sorties because of additional maintenance down time due to increased inspections and a shrinking pool of spare parts. To accomplish its border security, anti-drug, and customs and immigration enforcement support missions, a more flexible and supportable air fleet is needed. To this end, the air fleet will be standardized, emphasizing the use of multi-mission assets that can be deployed to multiple locations as the threat changes over time. The strategic objective is to reduce the types of aircraft to eight or nine, and to increase the total number of aircraft to a level consistent with operational demands. The total will likely change over time as the nature of the threat changes, therefore the CBP A&M's strategic plan and end-state model will be updated accordingly.

Marine Recapitalization and Modernization. In FY 2008, CBP A&M began to replace its aging fleet of Black Night Interceptor vessels, and continued acquiring replacement vessels in FY

2009. CBP A&M will continue the outfitting of seized boats with radars, sensors, data and communications systems, and at-sea refueling capabilities, to be used as radar platforms. The objective is to have up to 10 platforms deployed across all of the maritime operating areas. CBP A&M has worked with the Border Patrol to standardize the types of riverine vessels providing direct interdiction support to its agents. With the decision made on a new class of riverine vessels, CBP A&M will begin/continue purchasing sufficient assets to replace the existing craft and to increase the overall size of the riverine force. In addition, CBP A&M will expand marine maintenance and training operations in St. Augustine, Florida, and McAllen, Texas, with improvements to shops, equipment, and stowage facilities.

C. Budget Request Summary

CBP requests \$505,826,000. The total adjustments-to-base is a decrease of \$22,174,000. CBP A&M has no program increases, but will continue new procurements under ongoing contracts.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
U.S. Customs and Border Protection
Air and Marine Interdiction, Operations, Maintenance, and Procurement
 Summary of FY 2010 Budget Estimates by Program/Project Activity
 (Dollars in Thousands)

Budget Activity	FY 2008		FY 2009		FY 2010		Increase (+) or Decrease (-) For FY 2010					
	Actual		Enacted		Request		Total Changes		Program Changes		Adjustment-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Operations and Maintenance	-	\$ 357,785	-	\$ 380,022	-	\$ 374,217	-	(5,805)	-	-	-	(5,805)
Procurement	-	363,855	-	147,978	-	131,609	-	(16,369)	-	-	-	(16,369)
Net, Enacted Appropriations and Budget Estimates	-	\$721,640	-	\$528,000	-	\$505,826	-	(22,174)	-	\$	-	\$ (22,174)

III. Current Services Program Description by PPA

Department of Homeland Security
U. S. Customs and Border Protection
Air and Marine Interdiction, Operations, Maintenance, and Procurement
Program Performance Justification
(Dollars in thousands)

PPA: OPERATIONS AND MAINTENANCE

	<u>Pos</u>	<u>FTE</u>	<u>Amount</u>
2008 Actual	\$357,785
2009 Enacted	380,022
2010 Adjustment to Base	(5,805)
2010 Current Services	374,217
2010 Program Changes	0
2010 Request	374,217
Total Change 2009-2010	(5,805)

CBP requests \$374.2 million for this activity. The request is \$5.8 million below FY 2009. This request includes an increase of \$3.1 million for maintenance for FY 2009 assets and a decrease of \$8.9 million for rent transfer to the facilities management appropriation.

CURRENT SERVICES PROGRAM DESCRIPTION:

CBP A&M secures the borders against terrorists, acts of terrorism, drug smuggling and other illegal activity by operating air and marine branches at strategic locations along the borders. Multi-mission aircraft with advanced sensors and communications equipment provide powerful interdiction and mobility capabilities directly in support of detecting, identifying and interdicting suspect conveyances, and apprehending suspect terrorists and smugglers. CBP A&M maximizes the capabilities of air and marine assets through a cohesive joint air operations model for centralized command and control and a responsive and integrated control system for decentralized execution.

CBP A&M partners with numerous stakeholders in performing its missions throughout the continental United States and the western hemisphere. This includes domestic operations at the borders; source, transit and arrival zone operations; interior law enforcement support; and support to other agencies. Truly crosscutting within the Department and the Federal government as a whole, the unique capabilities of CBP A&M serve as both a stand-alone entity and as a force multiplier. In fulfilling the priority mission of CBP to protect the borders, our geographical disposition has shifted from a concentration on the southern border to include all of our Nation's borders. CBP A&M's priority mission is to continue protecting the American people and critical infrastructure by using an integrated and coordinated air and marine force of over 1,871 personnel, to include pilots and air crew, fixed wing aircraft, rotary helicopters, unmanned aircraft systems, marine vessels, a national air and marine operations center, and

surveillance equipment, to detect, interdict and prevent acts of terrorism arising from unlawful movement of people and goods across the borders of the United States.

FY 2008 Significant Accomplishments

CBP A&M established the fifth and last primary northern border air branch in the Great Lakes region of Detroit, Michigan. Assessed the need for secondary and satellite sites based on the results of operations across the northern border. Expanded UAS operations as additional systems were delivered to the southwest border, deployed for test and evaluation to the northern border, and re-outfitted with maritime search radars for test and evaluation in the southeast/coastal area of responsibility. Accomplished delivery of new aircraft and the hiring of new pilots and aircrew to enable CBP A&M to respond to the planned increase in Border Patrol agents along the southwest and northern borders. Outfitted and deployed to the Great Lakes additional marine interceptors purchased in FY 2007 and FY 2008, and tested and evaluated the first new prototype riverine vessels against Border Patrol mission requirements. Incorporated all legacy assets into a single, more effective logistics and maintenance support arrangement as a result of the new nationwide aviation maintenance contracts.

FY 2009 Planned Accomplishments

The \$36.7 million provided for improved aviation maintenance in FY 2008 recurs in FY 2009 and will incorporate all legacy assets into a single, more effective nationwide logistics and maintenance support contract. FY 2009 funding supports expanded flight hours in response to increasing mission demands from the Border Patrol and ICE. CBP A&M will continue to assess the need for secondary and satellite sites based on the results of operations across the northern border, expand UAS operations as additional systems are delivered to the southwest border, deploy for test and evaluation to the northern border, and re-outfit with maritime search radars for test and evaluation in the southeast/coastal area of responsibility.

FY 2010 Planned Accomplishments

CBP A&M has taken a clockwise approach with the deployment of its resources and assets. For example, in FY 2006 and FY 2007 CBP saw a rapid redeployment in its resource/asset requirement along the southwest border in support surge in the Office of Border Patrol (OBP) growth and Arizona Border Control Initiative (ABCI), ABCII and the Secure Border Initiative (SBI). In FY 2008 and FY 2009, CBP redeployed assets (primarily from the southeast coastal) to the northern border to support the establishment of the final two primary air branches in North Dakota and Great Lakes region of Detroit. In FY 2010 and FY 2011, CBP plans to replenish those resources/assets deployed from the southeast coastal in earlier years while at the same time continue to fill minor "holes" along the northern border. This approach represents CBP A&M's deployment end-state that takes into consideration the entirety of our Nation's borders that best address threats, increased efficiencies and operational effectiveness. CBP A&M will continue to support expanded flight hours in response to increasing mission demands from OBP and ICE.

PPA: PROCUREMENT

	<u>Pos</u>	<u>FTE</u>	<u>Amount</u>
2008 Actual	\$363,855
2009 Enacted	147,978
2010 Adjustment to Base	(16,369)
2010 Current Services	131,609
2010 Program Changes	0
2010 Request	131,609
Total Change 2009-2010	(16,369)

CBP requests \$131.6 million for this activity. The request is \$16.4 million below FY 2009. The -\$16.4 million for adjustments to base is the net of -\$20.4 million that non-recurs (initiative funding received in FY 2009 provided \$7 million to base funding for the acquisition of two Multi-Role Enforcement aircraft and spares, \$6 million to base funding for the acquisition of one complete UAS system, ground control and spares, and \$7.4 million to acquire marine interceptor vessels), \$9.0 million increase for P-3 Service Life Extension Program (SLEP) and a \$5 million decrease for the Wireless Access Surveillance Platform (WASP).

Current Services Program Description:

The CBP A&M Procurement PPA recurs each fiscal year and is used to acquire new aircraft and marine vessels, retire unserviceable assets, upgrade sensors and surveillance capabilities, and support the expansion of mission capabilities along the borders in response to ongoing threat assessments and mission assignments directed by higher authority.

2008 Significant Accomplishments

FY 2008 saw the delivery, testing and induction into inventory numerous aircraft with funds provided in FY 2006 through FY 2008 as follows:

- Light Observation Helicopter (LOH): Final two of original 15 funded in FY 2006 were taken into inventory in FY 2008. Of the funding provided in FY 2008 to purchase the five final of 20 total platforms, one was delivered in December 2008, one was delivered in January 2009, one was delivered in February 2009, and the final two to be delivered during the 4th quarter FY 2009.
- Light Enforcement Helicopter (LEH): 25 platforms have been funded in FY 2006 through FY 2008. Of these, eight were placed under contract in FY 2007 and 17 were placed under contract in the 4th quarter FY 2008. All of the first eight were taken into inventory during FY 2008. In December 2008, A&M took delivery of the first of the 17 platforms with an anticipated delivery date for the final 16 every 5 to 6 weeks thereafter. The last of the 17 platforms should be delivered by the 4th quarter FY 2010.
- Two new AW-139 Medium Lift Helicopters (MLH) were delivered in FY 2008 and have completed final test and evaluation.

- In a joint acquisition with the U.S. Army, an order was placed in FY 2008 for four UH-60M Medium Lift Helicopters for delivery starting in the 4th quarter FY 2009 and ending FY 2011.
- In cooperation with the U.S. Army, CBP A&M entered into a joint effort to convert up to 16 of its 25-year-old UH-60A Medium Lift Helicopters (MLHs) to UH-60L versions. Based on early projections, the conversions could increase individual aircraft service lives by 10-15 years, and reduce annual maintenance costs by 30-37%. The U.S. Army began its prototype efforts in late FY 2007 and established a fully functional production line in late FY 2008. CBP A&M plans to initiate one to two helicopters each year for conversion depending on operational commitments.
- CBP A&M completed the integration and test of its third DHC-8 Multi-role Patrol Aircraft (MPA) and accepted delivery of its fourth of desired seven platforms in December 2008. It is anticipated that the fifth will be delivered in July 2009, sixth in August 2009, and seventh in December 2009. The end-state objectives for the MPA changed in FY 2007. The DHC-8 manufacturer decided to close the DHC-8/Q300 production line in favor of a larger, more commercially viable DHC-8/Q400. CBP A&M has determined that the larger Q400 is not suitable for its missions and, instead, will pursue the acquisition of 40 smaller, twin-engine, Multi-Role Enforcement Aircrafts (MEA) capable of operating effectively over land and water. (See MEA below)
- Prior year funding from the discontinued MPA program was realigned with the FY 2009 enacted budget and will provide sufficient funding for the first of five of the 40 desired MEA platforms. Requirements were defined in FY 2008 for an initial acquisition in 3rd quarter, FY 2009.
- Key decisions were made on the final configuration of the Manned Covert Surveillance Aircraft (MCSA) mission package being acquired under a joint CBP/U.S. Coast Guard acquisition.
- Two additional UAS platforms were delivered in FY 2008 and one in the 1st quarter FY 2009, bringing total inventory to five of the six, and the final has an anticipated delivery date in the 2nd quarter FY 2009. The FY 2009 enacted budget will fund a seventh UAS which has an anticipated delivery date of 3rd quarter FY 2009.
- In addition, five new interceptor class marine vessels were purchased and began their deployment to the Great Lakes.
- In FY 2007 and FY 2008, Air and Marine purchased 11 Interceptor vessels and 8 Riverine Craft. Delivery of these vessels began in the 4th quarter FY 2008 and will continue until FY 2009. The FY 2009 enacted budget provided funding for up to 18 additional vessels with anticipated delivery through FY 2009 and into early to mid FY 2010.
- The FY 2008 enacted budget provided CBP A&M a total of \$26.0 million to establish 11 additional marine sites. Within the \$26.0 million, \$12.0 million was provided for the site stand-up; to include facilities and equipment, and \$14.0 million was provided for initial staffing salaries and expenses. In addition, five new interceptor class marine vessels were purchased and began their deployment to the Great Lakes.
- In FY 2007, Congress provided \$70 million of which approximately \$30 million was used to purchase the new wing/tail assemblies for the SLEP. The remainder

- was used to continue conducting special structural inspections (SSIs) and extended special structural inspections (ESSIs), acquire other long-lead components, repay the loan of Navy materials needed to place the aircraft back in service as soon as possible, and for emergent requirements coming out of the service life assessment. The FY 2008 budget recurs \$47 million in the base to procure new wing/tails to continue the SSIs/ESSIs, and to continue long-lead material purchases. The results of the P-3 service life assessment were delivered to the government in May 2007, allowing for the definition of SLEP requirements and the development of a new cost estimate through planned completion over the next eight to ten years. Work continues on a competitive contract for the SLEP with a projected award in FY 2009. CBP A&M continued to conduct a series of SSIs and ESSIs according to Navy standards, which has allowed the P-3 aircraft to operate safely until they undergo complete over haul and their service lives can be extended by about 20 years. CBP awarded a contract for two to three new wing and tail assemblies for the SLEP, which should be delivered in FY 2009, along with numerous long-lead components needed for both the SSIs/ESSIs and the SLEP
- In addition to all of the above, the fourth of five primary air branch sites along the northern border was established at Grand Forks, North Dakota. The FY 2007 supplemental appropriation (P.L. 110-28) provided funding to accelerate the establishment of the fifth and last primary air branch in the Great Lakes region of Detroit, MI.

2009 Planned Accomplishments

- CBP A&M continues to induct into inventory, those assets listed above in the FY 2008 accomplishments section incrementally.
- From within base resources and initiative funding of \$20.4 million, CBP A&M continues several acquisition efforts including 2 MEA, 1 UAS, 1 MLH A-L Conversion, 1 C-550 Interceptor sensor upgrade, various maritime vessels, and \$5 million towards Wireless Airport Surveillance Platforms (WASP).
- The FY 2008 enacted budget included \$47.0 million to continue the P-3 SLEP and extend the service life of CBPs existing aircraft by about 20 years. The FY 2009 enacted budget includes an additional \$9.0 million for a total funding level of \$56 million for P-3 SLEP. Funds will continue the procurement of the new wing/tail assembly, the wing/tail refurbishment kits for aircraft that do not need new wings/tails, continue the special structural inspections (SSI) and extended special structural inspections (ESSI), and begin the SLEP of the first of the 16 P-3 aircraft in the CBP inventory.

2010 Planned Accomplishments

- The FY 2010 budget request includes an additional \$9.0 million for P-3 SLEP which brings the total funding level to \$65.0 million. These funds will continue the procurement of the new wing/tail assembly, the wing/tail refurbishment kits for aircraft that do not need new wings/tails, continue the special structural inspections (SSI) and extended special structural inspections (ESSI), and induct an additional P-3 platform into the SLEP program.

- CBP A&M plans to address seams and gaps in radar coverage along the northern border by utilizing the DHS/DOD Long Range Radar joint program office to manage Long Range Radar Systems, and utilize Interceptor and the Multi Role Enforcement Aircraft (MEA).
- From within base resources, A&M will continue the acquisition of five or six AS-350s (Light Enforcement Helicopters), UAS spare parts and components (but no aircraft) one C550 Sensor Upgrade, continue the conversion of two UH-1 to UH-II Utility Helicopters and purchase a mixture of marine vessels.

IV. Program Justification of Change

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
U.S. Customs and Border Protection
Justification of Proposed Changes
Air and Marine Interdiction, Operations, Maintenance, and Procurement
Appropriation Language**

For necessary expenses for the operations, maintenance, and procurement of marine vessels, aircraft, unmanned aircraft systems, and other related equipment of the air and marine program, including, operational training and mission-related travel, and rental payments for facilities occupied by the air or marine interdiction and demand reduction programs, the operations of which include the following: the interdiction of narcotics and other goods; the provision of support to Federal, State, and local agencies in the enforcement or administration of laws enforced by the Department of Homeland Security; and at the discretion of the Secretary of Homeland Security, the provision of assistance to Federal, State, and local agencies in other law enforcement and emergency humanitarian efforts, [\$528,000,000] **\$505,826,000**, to remain available until expended: [of which \$5,000,000 shall be to address private aircraft enforcement system noncompliance as specified in House Report 110-862] Provided that, no aircraft or other related equipment, with exception of aircraft that are one of a kind and have been identified as excess to United States Customs and Border Protection requirements and aircraft that have been damaged beyond repair, shall be transferred to any other Federal agency, department, or office outside of the Department of Homeland Security during fiscal year [2009] **2010** without the prior notification to the Committees on Appropriations of the Senate and the House of Representatives. [Provided further, That of the total amount made available under this heading, \$18,000,000 shall not be obligated until the Secretary notifies the Committees on Appropriations of the Senate and House of Representatives that the Department of Homeland Security has implemented the concept of operations described in section 544 of this Act.] (*Department of Homeland Security Appropriations Act, 2009.*)

Explanation of Changes:

No substantive changes.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
U.S. Customs and Border Protection
Air and Marine Interdiction, Operations, Maintenance, and Procurement
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actual	-	-	721,640
2009 Enacted	-	-	528,000
 Adjustments-to-Base			
Increase			
Non-Labor Annualization	-	-	12,055
Total Increase			<u>12,055</u>
 Decrease			
Non-recur			(25,369)
Transfer to Facilities Management			(8,860)
Total Decrease			<u>(34,229)</u>
 Total Adjustment-to-Base	 -	 -	 (22,174)
 2010 Current Services	 -	 -	 505,826
 Program Changes			
Increase			
 2010 Request	 -	 -	 505,826
 2009 to 2010 Total Change	 -	 -	 (22,174)

C. Summary of Requirements

Department of Homeland Security
U.S. Customs and Border Protection
 Air and Marine Interdiction, Operations, Maintenance, and Procurement
 Summary of Requirements
 (Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
2008 Actual	-	-	721,640
2009 Enacted	-	-	528,000
Adjustments-to-Base			
Increases	-	-	12,055
Decrease	-	-	(34,229)
Total Adjustment-to-Base			(22,174)
2010 Current Services	-	-	505,826
Program Changes			
Increase			-
2010 Total Request	-	-	505,826
2009 to 2010 Total Change			(22,174)

Estimates by Program/Project Activity	2009 Enacted		2010 Adjustments-To-Base		2010 Program Change		2010 Request		2009 to 2010 Total Change		
	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos.	FTE	Amount
Operations and Maintenance	-	-	-	-	-	-	-	-	-	-	\$ (5,805)
Procurement	-	-	-	-	-	-	-	-	-	-	\$ (16,369)
Total	-	-	-	-	-	-	-	-	-	-	\$ (22,174)

D: Summary of Reimbursable Resources

**Department of Homeland Security
U.S. Customs and Border Protection
CBP Air and Marine Operations and Maintenance
Summary of Reimbursable Resources
(Dollars in Thousands)**

Collections by Source	FY 2008 Actual			2009 Enacted			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
FEMA			\$111			\$12,171			\$12,171			
DOE			\$56			\$56			\$56			
GSA			\$773			\$773			\$773			
Total Budgetary Resources	---	---	\$940	---	---	\$13,000	---	---	\$13,000	---	---	---

Obligations by Program/Project Activity	FY 2008 Actual			2009 Enacted			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
CBP Air & Marine O&M			\$940			\$13,000			\$13,000	---	---	---
Total Obligations	---	---	\$940	---	---	\$13,000	---	---	\$13,000	---	---	---

* FY 2009 and FY 2010 obligations don't match MAX.

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. CUSTOMS AND BORDER PROTECTION
 Air and Marine Interdiction, Operations, Maintenance, and Procurement
 Classification by Objects
 (Dollars in Thousands)

Object Classification	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009-2010 Change
Other Objects:				
21.0 Travel	\$ 22,119	\$ 18,585	\$ 15,367	\$ (3,218)
22.0 Transportation of things	\$ 2,011	\$ 1,334	\$ 942	\$ (392)
23.2 Other Rent	\$ 18,404	\$ 18,305	\$ -	\$ (18,305)
25.2 Other Services	\$ 267,356	\$ 323,158	\$ 273,079	\$ (50,079)
26.0 Supplies & materials	\$ 129,485	\$ 151,013	\$ 112,925	\$ (38,088)
31.0 Equipment	\$ 282,265	\$ 198,254	\$ 103,513	\$ (94,741)
Total, other object class	\$ 721,640	\$ 710,649	\$ 505,826	\$ (204,823)
Total Direct Obligations	\$ 721,640	\$ 710,649	\$ 505,826	\$ (204,823)
Recoveries	(44,622)	-	-	
Unobligated balance, start of year	\$ (289,684)	\$ (182,649)	\$ -	\$ -
Unobligated balance, end of year	\$ 182,649			
Unobligated balance expiring or withdrawn	\$ 64			
Total Requirements	\$ 570,047	\$ 528,000	\$ 505,826	\$ (22,174)

*FY 2008 Actual does not reflect what is in MAX by OCC.

F. Permanent Positions by Grade

Not Applicable

G. Capital Investment and Construction Initiative Listing

U. S. CUSTOMS AND BORDER PROTECTION Air and Marine Interdiction, Operation, Maintenance, and Procurement

INITIATIVE NAME	FY 2010 FUNDING REQUEST (\$000)			FUNDING FROM:	
	Total	In MCL	New Initiative	Budget Activity	Program/s Name
Strategic Air Plan	131,609	131,609	\$0	CBP0002.03	CBP – Strategic Air Plan
Total Non- IT investments \$5 million or more	131,609	131,609	\$		
Total Non-IT initiatives under \$5 million	\$0	\$0	\$0		
Total Non-IT Investments	131,609	131,609	\$0		
Total of IT Investments	\$0	\$0	\$0		
Total all IT and Non-IT	131,609	131,609	\$0		

1. Project Description, Justification and Scope

Project Description

In the summer of 2006, CBP A&M developed and submitted to Congress a Strategic Air Plan that defines the end state for the air force based on ongoing threat assessments, mission requirements determined by higher authority, and the evolving requirements of the Secure Border Initiative (SBI). In 2007, this Plan was updated to incorporate Marine vessels and Unmanned Aircraft Systems (UAS). The UAS PPA was formally merged into CBP A&M Procurement PPA in FY 2007.

The Air Plan calls for the air and marine fleets to be standardized, emphasizing the use of multi-mission assets that can be deployed to multiple locations as the threat changes over time. The A&M Procurement PPA recurs each fiscal year and is used to acquire new aircraft and marine vessels, UAS, retire unserviceable assets, upgrade sensors and surveillance capabilities,

and support the expansion of mission capabilities along the borders in response to ongoing threat assessments and mission assignments directed by higher authority.

Program Justification

Gain operational control of the borders

Through the coordinated use of integrated air and marine force to detect, interdict and prevent acts of terrorism and the unlawful movement of people, illegal drugs and other contraband toward or across the borders of the United States. Terrain, weather, and distance are significant obstacles along much of the southern, northern, and coastal borders. CBP A&M support acts as a force multiplier, allowing personnel and equipment to be transported efficiently and effectively. This support also provides rapid-response relocation of personnel and equipment, to safeguard people and critical infrastructure from acts of terrorism, natural disasters and other emergencies. The Air Safety and Life Extension Contract support the aircraft that makes it possible for CBP A&M to perform this mission.

2. Significant Changes

The funds requested will enable continued support for program operations through FY 2010 and include an increase to maintain current levels.

3. Project Schedule

	FY 2007	FY 2008	FY 2009	FY 2010
Aircraft Acquired	14	30	2	5
UAS Acquired	1	1	1	0
Vessels Acquired	5	21	18	20

**4. Schedule of Project Funding
(Dollars in Thousands)**

	FY 2008	FY 2009	FY 2010	Total
Appropriation	216,433	147,978	131,609	\$496,020
Obligation (planned)	216,433	147,978	131,609	\$496,020
Expenditure (planned)	216,433	147,978	131,609	\$496,020

**5. Cost Estimate Detail and Changes
(Dollars in Thousands)**

Not Applicable

6. Method of Performance

1. Is there a project (investment) manager assigned to the investment?

Yes

If so, what is his/her name?

Charles Bourquardez

2. Is there a contracting officer assigned to the investment?

Yes

If so, what is his/her name?

Sharon Lim

3. Is there an Integrated Project Team?

Yes

If so, list the skill set represented.

The IPT is comprised of individuals from the Office of CBP Air, Office of Finance, Office of Information and Technology, Technology Systems Program Office (TSPO), Office of Chief Counsel, SBI-PMO, and Office of Border Patrol representing systems acquisition, project management, systems engineering, legal review and test and acceptance.

4. Is there a sponsor/owner for this investment?

Yes

If so, identify the sponsor/process owner by name and title and provide contact information.

Michael C. Kostelnik, Assistant Commissioner, Office of CBP Air & Marine, (202) 344-3950.

Fiscal Year	Strategic Goal(s) Supported	Performance Measure / Type	Explanation or Description	Target or Goal	Actual Performance Results	Performance Metric Improvement
2010	DHS Prevention Goal 2 and Objective 2.1 Secure our Borders Against Terrorists, Means of Terrorism, Illegal Drugs, and other Illegal Activity	Provide Strategic Air Coverage Long Term/ Outcome	This measure shows the progress made toward expanding strategic air surveillance coverage along the borders and approaches to the borders of the U.S. by the end of the decade. The measure is the percent of border miles at risk that is under surveillance by CBP patrol-type aircraft (including unmanned aircraft systems). Measuring surveillance is an evolving metric. In FY 2003 and FY 2004 metrics were based on the measurement of 7200 P-3 flight hours provided in support of drug enforcement. In FY 2005, the UAV was	2003 – 2400 2004 – 2400 2005 – 7200 *2006 – 7200 2007 – 60% (of border at risk) 2008 – 70% 2009 – 80% 2010 – 90%	2003 – 4700 2004 – 6700 2005 – 7500 2006 – 55%	Effective FY08 the measure will be represented by the miles of at risk borders under strategic air surveillance in response to the anti-terrorism mission.

			introduced and added to these total hours.			
2010	DHS Prevention Goal 2 and Objective 2.1 Secure our Borders Against Terrorists, Means of Terrorism, Illegal Drugs, and other Illegal Activity	Extend the Zone of Security Beyond the Nation's Physical Boundaries Long Term/ Outcome	This measure monitors A&M efforts in reducing, with the intent of ultimately denying, the use of border air space for acts of terrorism or smuggling using intelligence and threat assessments. The number of Targets of Interest (TOI) has been reduced over time as strategic surveillance and tactical responses by CBP interceptors and patrols, work with the Border Patrol on the ground, to deter the use of air routes into the U.S. A&M continues to gather and analyze intelligence on past and current threat	2003 – 20 2004 – 11 2005 – 10 2006 – 10 2007 – 10 2008 – 10	2003 – 20 2004 – 11 2005 – 10 2006 – 13	N/A

			<p>patterns to forecast and disseminate information about potential and emerging threats. To highlight the effectiveness of these practices, commencing in the 1970's, there were over 7,000 known Targets Of Interests (TOI) violating the southwestern border airspace. This number was reduced to approximately 150 in the mid-1980's and further reduced to 10 in 2005. The targeted goal for this measure is to maintain this low level of border incursions at a minimum and reduce it if possible, until there are no border incursions.</p>			
--	--	--	---	--	--	--

*In FY 2006 Target/Goal methodology changed.

**7. Related Annual Funding Requirements
(Dollars in Thousands)**

	FY 2010	
	Current Estimate	Previous Estimate
Procurement	\$131,609	\$80,400

8. Budget Allocation to Programs

Program	Allocated Budget (\$ thousands)	
	FY 2009	FY 2010
Procurement	\$147,978	\$131,609

9. Compliance with applicable Public Laws, Regulations, Standards and Executive Orders

- 40 CFR (all parts) – Code of Federal Regulations, Protection of the Environment (latest version)
- Executive Order 12144 – Environmental Effects Abroad of Major Federal Actions
- Executive Order 13148 – Greening of the Government Through Leadership in Environmental Management
- Executive Order 13101 – Greening of the Government Through Waste Prevention, Recycling, and Federal Acquisition
- Council on Environmental Quality (CEQ) regulations
- National Environmental Policy Act (NEPA)

H. PPA Budget Justifications

**Department of Homeland Security
U.S. Customs and Border Protection**

BUDGET JUSTIFICATIONS

**Air and Marine - Operations and Maintenance
Funding Schedule
(dollars in thousands)**

PPA: AMO (O&M)		FY 2008 Actual	2009 Enacted	2010 Request	2009-2010 Change
Object Classes:					
21.0	Travel	\$ 21,163	\$ 18,240	\$ 15,240	\$ (3,000)
22.0	Transportation of things	\$ 2,011	\$ 1,334	\$ 942	\$ (392)
23.2	Other Rent	\$ 18,404	\$ 18,305	\$ -	\$ (18,305)
25.2	Other Services	\$ 199,492	\$ 262,055	\$ 264,701	\$ 2,646
26.0	Supplies & materials	\$ 102,671	\$ 104,707	\$ 73,558	\$ (31,149)
31.0	Equipment	\$ 14,044	\$ 19,776	\$ 19,776	\$ -
Total		\$ 357,785	\$ 424,417	\$ 374,217	\$ (50,200)

FY 2008 Actual does not reflect what is in MAX by OCC for the O&M PPA
FY 2009 includes \$44.4M in carryover

Mission Statement

CBP Air & Marine (A&M) is responsible for the protection of the borders of the United States. CBP A&M identifies, deters, interdicts, and investigates acts of terrorism and smuggling arising from unlawful movement of people and goods into and out of the United States with an integrated and coordinated air and marine force. CBP A&M has historically conducted missions along the southern borders of the United States, Mexico, South America and the Caribbean. Since September 11, 2001, CBP A&M has established a presence along the northern border. CBP A&M has a staff of over 1,871 pilots, law enforcement officers, operational support, and administrative positions. Mission critical assets consist of aircraft (including fixed wing and rotary helicopters), marine vessels, P-3 surveillance aircraft, surveillance equipment, maintenance facilities and hangers. With the transfer of the Unmanned Aircraft Systems (UAS) and Border Patrol assets, U. S. Customs and Border Protection (CBP) has been able to achieve increased effectiveness and economies of scale in the operation, procurement and maintenance of CBP's assets.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009-2010 Change
Travel (OC 21)	\$ 21,163	\$ 18,240	\$ 15,240	\$ (3,000)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. Change reflects \$3,000,000 in carryover from FY 2008.

	2008 Actual	2009 Enacted	2010 Request	2009-2010 Change
Transportation of Things (OC 22)	\$ 2,011	\$ 1,334	\$ 942	\$ (392)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incidents to the transportation of things. Change reflect \$392,000 in carryover from FY 2008.

	2008 Actual	2009 Enacted	2010 Request	2009-2010 Change
Other Rent (OC23.2)	\$ 18,404	\$ 18,305	\$ -	\$ (18,305)

Payments to a non-Federal source for rental of space, land, and structures. Change reflects a decrease of \$8,860,000 for transfer to facilities, a realignment of \$5,881,000 to Other Services, and \$3,564,000 in carryover from FY 2008.

	2008 Actual	2009 Enacted	2010 Request	2009-2010 Change
Other Services (OC 25.2)	\$ 199,492	\$ 262,055	\$ 264,701	\$ 2,646

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Change reflects an increase of \$3,055,000 for the maintenance and operation of FY 2009 initiatives,\$5,881,000 transfer-in from Other Rents, and \$6,290,000 reduction in carryover from FY 2008.

	2008 Actual	2009 Enacted	2010 Request	2009-2010 Change
Supplies & materials (OC 26.0)	\$ 102,671	\$ 104,707	\$ 73,558	\$ (31,149)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction of manufacture, (c) used to form a minor part of equipment of property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. Change reflects \$31,149,000 reduction in carryover from FY 2008.

	2008 Actual	2009 Enacted	2010 Request	2009-2010 Change
Equipment (OC 31.0)	\$ 14,044	\$ 19,776	\$ 19,776	\$ -

Equipment includes all costs for the purchase of personal property of a durable nature or the installation of equipment when performed under contract.

H. PPA Budget Justifications

Department of Homeland Security
U. S. Customs and Border Protection

BUDGET JUSTIFICATIONS

Air and Marine - Procurement
Funding Schedule
(dollars in thousands)

PPA: AMO Procurement		FY 2008 Actual	2009 Enacted	2010 Request	2009-2010 Change
Object Classes:					
21.0	Travel	\$ 956	\$ 345	\$ 127	\$ (218)
25.0	Other Services	\$ 67,864	\$ 61,103	\$ 8,378	\$ (52,725)
26.0	Supplies & materials	\$ 26,814	\$ 46,306	\$ 39,367	\$ (6,939)
31.0	Equipment	\$ 268,221	\$ 178,478	\$ 83,737	\$ (94,741)
	Total	\$ 363,855	\$ 286,232	\$ 131,609	\$ (154,623)

FY 2008 Actual does not reflect what is in MAX by OCC for the Procurement PPA

FY 2009 includes \$138.2M in carryover

Mission Statement

CBP Air & Marine (A&M) is responsible for the protection of the borders of the United States. CBP A&M identifies, deters, interdicts, and investigates acts of terrorism and smuggling arising from unlawful movement of people and goods into and out of the United States with an integrated and coordinated air and marine force. CBP A&M has historically conducted missions along the southern borders of the United States, Mexico, South America and the Caribbean. Since September 11, 2001, CBP A&M has established a presence along the northern border. CBP A&M has a staff of over 1,871 pilots, law enforcement officers, operational support, and administrative positions. Mission critical assets consist of aircraft (including fixed wing and rotary helicopters), marine vessels, P-3 surveillance aircraft, surveillance equipment, maintenance facilities and hangers. With the transfer of the Unmanned Aircraft Vehicles (UAS) and Border Patrol assets, U. S. Customs and Border Protection (CBP) has been able to achieve increased effectiveness and economies of scale in the operation, procurement and maintenance of CBP's assets.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009-2010 Change
Travel (OC 21.0)	\$ 956	\$ 345	\$ 127	\$ (218)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. Change reflects \$218,000 reduction in carryover for FY 2008.

	2008 Actual	2009 Enacted	2010 Request	2009-2010 Change
Other Services (OC 25.0)	\$ 67,864	\$ 61,103	\$ 8,378	\$ (52,725)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Net change reflects \$9,000,000 annualization for P-3 SLEP, a decrease of \$5,000,000 non-recr for FY 2009 funding increases, and \$56,725,000 reduction in carryover from FY 2008.

	2008 Actual	2009 Enacted	2010 Request	2009-2010 Change
Supplies & materials (OC 26.0)	\$ 26,814	\$ 46,306	\$ 39,367	\$ (6,939)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction of manufacture, (c) used to form a minor part of equipment of property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. Change reflects a decrease of \$1,000,000 non-recr for FY 2009 funding increases, and \$5,939,000 reduction in carryover from FY 2008.

	2008 Actual	2009 Enacted	2010 Request	2009-2010 Change
Equipment (OC 31.0)	\$ 268,221	\$ 178,478	\$ 83,737	\$ (94,741)

Equipment includes all costs for the purchases of personal property of a durable nature or the installation of equipment when performed under contract. Funding provides for the procurement of aircraft. Change reflects a decrease of \$14,369,000 non-recr for FY 2009 funding increases, a decrease of \$5,000,000 for the Wireless Access Surveillance Platform (WASP), and \$75,372,000 reduction in carryover for FY 2008.

I. Changes in FTE

Not Applicable

J. FY 2010 Schedule of Working Capital Fund by PPA

Not Applicable

Department of Homeland Security

U. S. Customs and Border Protection

Facilities Management



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

U. S. Customs and Border Protection (CBP) Facilities Management

I. Appropriation Overview

CBP consistently strives to improve the planning, acquisition, execution, and management of its Real Property Program, and has restructured the FY 2010 budget request accordingly. CBP proposes a consolidation of all facilities-related funding into a single account, CBP Facilities Management, so the agency can consistently plan, finance, and manage its multifaceted facilities portfolio to best fulfill the driving mission needs. The FY 2010 request consolidates funding for CBP construction, leasing acquisition, rent, facility program support, operations, management, headquarters support, and tunnel remediation activities into this account.

A. Mission Statement for Facilities Management:

The success of CBP's mission depends heavily on the health and effectiveness of its physical infrastructure, specifically the facilities that support its operations and administrative support requirements. Adequate facilities are critical to CBP operations in that they provide logistical and operational support to CBP's agents, officers, pilots and other personnel, protect critical assets, and supply strategically-located bases to improve mobility and promote maximum efficiencies on mission-related activities.

The CBP Facilities Management account provides the facilities and associated infrastructure required to obtain and maintain operational control of the border, a primary factor of CBP's mission to prevent terrorists and terrorist weapons from entering the United States, and to ensure the efficient flow of legitimate trade and travel across the border.

The CBP Facilities Management account addresses facilities related requirements for new, modernized, expanded, and sustained facilities, including housing quarters to:

- Maximize CBP operational capabilities, efficiencies, and integration;
- Accommodate increasing capacity demands associated with expanded mission focus, personnel growth, increased space requirements for property assets, and changing inspection, detection, and communications technologies
- Mitigate and correct deficiencies within existing real property inventory and structures;
- Replace temporary or substandard structures with permanent solutions; and
- Sustain real property inventory through proactive maintenance.

Specific CBP facility types include, but are not limited to: ports of entry, administrative office space, Border Patrol stations, Border Patrol sector headquarters, traffic checkpoints, forward operating base camps, laboratories, aviation hangars, marine piers/docks, classrooms and other training facilities, maintenance and repair facilities, parking facilities, vaults, small arms ranges, intelligence and operations coordination centers, residential housing units, and parcels of land.

All CBP facility efforts are planned, executed, and managed by the Office of Finance, Facilities Management and Engineering Directorate, operating in conjunction with its business partners, service providers, and internal/external stakeholders.

B. Budget Activities:

Facilities Construction and Sustainment

New Construction

New Construction is defined as the erection, installation, or assembly of a facility, building, or structure; or the replacement of an existing facility. Construction activities include, but are not limited to: planning services; land acquisition; environmental planning, compliance, assessment, surveys, and remediation; site and facility planning, design, architecture, and engineering services; construction; cabling, circuit, and local area network infrastructure equipment and services; voice infrastructure equipment and services; and overhead and project management and oversight fees.

Lease Acquisition

Lease acquisition within the CBP Facilities Management account provides for leasing activities for facilities, buildings, structures, and land through either the General Services Administration (GSA) or non-federal sources. These actions include many of the same activities as construction projects.

Alterations

Alterations are defined as remodeling, reconfiguring, improving, or making any physical changes to the facility, building, space, and/or structure, exclusive of maintenance and repair work. Alterations include the modernization of facilities to implement new or higher standards (including regulatory changes). This includes the replacement of building systems with upgraded systems and components. Alterations also comprise enhancements to accommodate new functions including mission changes. The activity includes planning (including environmental planning), engineering, design services, architectural and engineering work, and construction execution.

Maintenance, Repairs, and Operations

Maintenance - defined as the upkeep of real property assets, facilities portfolio, and infrastructure systems to offset serious deterioration. This activity provides resources for maintenance activities necessary to keep a facility in good working order over its expected service life. It includes regularly scheduled adjustments and inspections, preventive maintenance tasks including component replacement with like or comparable equipment.

Repairs - defined as work to restore damaged or worn-out property to a normal operating condition. This activity provides resources for repair activities necessary to keep a facility in good working order over its expected service life. This activity also provides resources for the repair and replacement work to restore facilities accelerated deterioration due to lack of sustainment, excessive age, natural disaster (storm damage), fire, accident, or other causes. It includes emergency response and service calls for minor repairs and major repairs or the replacement of building systems with like or comparable systems. This work includes regular roof replacement, refinishing wall surfaces, repairing and replacing electrical, heating, and cooling systems, replacing tile and carpeting, and similar types of work. As a basic distinction, repairs are curative and maintenance is preventive.

Operations – defined as those services that are required to keep the facility performing the function for which it is currently classified (i.e. custodial services, grass cutting, landscaping, snow removal, waste disposal, etc.).

Tunnel Remediation

Tunnel remediation is the process whereby cross-border tunnels are physically secured and rendered unusable after discovery. The remediation process includes: initial analyses, environmental services, project oversight and support, obtaining rights of entry, engineering/surveying, filling/plugging, inspection/acceptance, and reporting of associated status.

Housing

The CBP Housing Initiative will focus on reducing the extensive deferred maintenance backlog of existing CBP employee housing with an emphasis on critical repairs for health and safety and correcting structural deficiencies.

CBP Training Facilities

Address requirements for CBP Training Facilities such as the Advanced Training Center in Harpers Ferry, West Virginia.

Co-location

Address requirements for CBP facilities to achieve significant efficiencies through shared common services and more stable operating and maintenance costs. The campus will house the operational components, as well as a number of Mission Support offices and facilities.

Rent

CBP leases a substantial portion of the real property that it operates through the U.S. General Services Administration (GSA) and by direct lease delegation to non-federal sources. Rent includes funds to support rental of space, structures, facilities, land and building services for Office of Border Patrol, Office of Field Operations, Air and Marine, and Mission Support activities. Rent encompasses both rental payments to GSA, including actual, planned, and requested changes in inventory, and rental payments to others, both non-Federal and Federal sources. Rent for GSA facilities also covers all Federal Protective Service (FPS) security charges and in some instances, associated utilities.

Program Oversight and Management

Facility Program Planning and Management

The planning component of the CBP Facilities Management account provides for programmatic studies, services, and initiatives. Examples include: facility condition and strategic resource assessments; feasibility studies; data and information management solutions; space models; costing; valuation; depreciation methodologies and tools; contract management services; and reconciliation of assets. These planning initiatives provide the decision support and communication mechanisms that CBP needs to respond to emerging operational demands and evolving facility requirements.

Facility Program Support

CBP employs a highly skilled cadre of government and contract professionals to plan and administer the agency's facilities program. These resources include funding for government contract services to support administration of the CBP facilities program. (Funding for the government employees will remain in the Salaries and Expenses account.) Examples include: program and project management services and support associated with facility acquisition and leasing activities; environmental planning and

remediation; land and facility procurement; and site planning, design, architectural, and engineering services. The operating budget includes training, mail, communications services such as voice and data, cellular phones and blackberry services, rental of equipment and technologies, contract and support services, supplies, equipment, and all other operational expenses associated with the acquisition, management, and sustainment of real property assets and facilities portfolio.

C. Budget Request Summary:

The U.S. Customs and Border Protection requests \$678,633,000 for the FY 2010 Facilities Management account request. The total adjustments-to-base is \$272,866,000. There is a program increase request of \$2,566,000 for rent associated with new position initiatives.

- CBP's FY 2010 budget submission reflects the agency's request to establish a Facilities Management account, which would require transferring the existing Construction account current services funding to a new consolidated CBP Facilities Management account. This account is a consolidation of all CBP facilities-related funding into a single appropriation account so the agency can consistently plan, finance, and manage its facilities portfolio to best fulfill mission needs.
- In the American Recovery and Reinvestment Act of 2009 (ARRA), CBP received \$420 million for CBP-owned Land Port-of-Entry Modernization. Those funds are treated separately and distinctly from traditional CBP Construction activities and they are not included in this submission's charts, funding tables, or exhibits.

D. Crosswalk of Current Services Funding:

**Department of Homeland Security
U.S. Customs and Border Protection
Facilities Management
Crosswalk of Current Services Funding to New PPAs
(Dollars in Thousands)**

Original PPA	New PPA	Amount
Salaries & Expenses		
Headquarters Management & Administration	Facilities Construction and Sustainment	\$ 31,860
	Rent	268,041
	Program Oversight and Management	7,741
Border Security & Control Between Ports-of-Entry	Facilities Construction and Sustainment	\$ 2,743
	Rent	81,044
	Program Oversight and Management	124
Training Between the Ports-of-Entry	Facilities Construction and Sustainment	\$ -
	Rent	964
	Program Oversight and Management	-
Inspections, Trade & Travel Facilitation at Ports-of-Entry	Facilities Construction and Sustainment	\$ -
	Rent	30,508
	Program Oversight and Management	13
Container Security Initiative (CSI)	Facilities Construction and Sustainment	\$ -
	Rent	421
	Program Oversight and Management	-
Customs-Trade Partnership Against Terrorism (C-TPAT)	Facilities Construction and Sustainment	\$ -
	Rent	2,702
	Program Oversight and Management	-
Inspection & Detection Technology	Facilities Construction and Sustainment	\$ -
	Rent	681
	Program Oversight and Management	-
National Targeting System	Facilities Construction and Sustainment	\$ -
	Rent	1,362
	Program Oversight and Management	-
Air & Marine Personnel Compensation & Benefits	Facilities Construction and Sustainment	\$ -
	Rent	4,745
	Program Oversight and Management	-
Air and Marine Interdiction, Operations, Maintenance, and Procurement		
Operations & Maintenance	Facilities Construction and Sustainment	\$ -
	Rent	8,860
	Program Oversight and Management	-
Border Security Fencing, Infrastructure, and Technology		
Program Management	Facilities Construction and Sustainment	\$ -
	Rent	370
	Program Oversight and Management	-
Construction		
Construction	Facilities Construction and Sustainment	\$ 204,753
	Rent	-
	Program Oversight and Management	29,135
TOTAL TRANSFERS		
	Facilities Construction and Sustainment	\$ 239,356
	Rent	399,698
	Program Oversight and Management	37,013
	TOTAL	\$ 676,067

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security U.S. Customs and Border Protection Facilities Management

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Construction	---	\$287,145	---	\$403,201	---	\$0	---	(\$403,201)	---	\$0	---	(\$403,201)
Facility Construction and Sustainment	---	\$0	---	\$0	---	\$239,356	---	\$239,356	---	\$0	---	\$239,356
Rent	---	\$0	---	\$0	---	\$402,263	---	\$402,263	---	\$2,566	---	\$399,698
Program Oversight and Management	---	\$0	---	\$0	---	\$37,013	---	\$37,013	---	\$0	---	\$37,013
Net, Enacted Appropriations and Budget Estimates	---	\$287,145	---	\$403,201	---	\$678,633	---	\$275,431	---	\$2,566	---	\$272,866

American Recovery and Reinvestment Act (ARRA)	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Facilities Management Account												
.....Construction			20	\$420,000								
Total			20	\$420,000								

*The table above excludes ARRA funding of \$420 million provided in P.L. 111-5. Totals may not add due to rounding.

III. Current Services Program Description by PPA

**Department of Homeland Security
U.S. Customs and Border Protection
Facilities Management
Program Performance Justification**
(Dollars in thousands)

PPA: CONSTRUCTION

	Perm Pos	FTE	Amount
2008 Actual	\$287,145
2009 Enacted	403,201
2010 Adjustments-to-Base	(403,201)
2010 Current Services	0
2010 Program Change	0
2010 President's Budget	0
Total Change 2009-2010	(403,201)

*The table above excludes ARRA funding of \$420 million provided in P.L. 111-5. The submission for FY 2010 reflects the establishment of a Facilities Management Account, which has 3 new Program/Project Activities (PPA): Facilities Construction and Sustainment, Rent, and Program Oversight and Management. The FY 2010 request includes:

- Non-recurrence of \$33.7 million related to the Advanced Training Center (Harper's Ferry, WV) FY 2009 enhancement
- Non-recurrence of \$127 million related to the Border Patrol facilities FY 2009 initiative
- Non-recurrence of \$8.5 million related to the CBP-owned Land Ports-of-Entry Modernization FY 2009 initiative
- A transfer of \$205 million to the Facilities Construction and Sustainment PPA
- A transfer of \$29 million to the Program Oversight and Management PPA

CURRENT SERVICES PROGRAM DESCRIPTION:

CBP is requesting to have the current services funding level that was originally in the Construction account be transferred among the three PPAs within the new Facilities Management account for FY 2010.

Significant accomplishments in FY 2008 include:

Completion of the following major construction projects: Campo, California Border Patrol Station; Sumas, Washington Border Patrol Station; Van Buren, Maine Border Patrol Station; Brownsville, Texas Border Patrol Station; Gibraltar, Michigan Border Patrol Station; and El Centro, California Sector Headquarters Station, and Harpers Ferry Firing Range.

FY 2009 planned accomplishments include:

Delivery of the following Office of Border Patrol locations: Ft. Hancock, New Mexico Border Patrol Station; El Paso, Texas Border Patrol Station; Uvalde, Texas Checkpoint; Willcox, Arizona Border Patrol Station, Wellton; Arizona Border Patrol Station; McAllen, Texas Border Patrol Station; Havre, Montana Border Patrol Station; Sweetgrass, Montana Border Patrol Station; Fort Fairfield, Maine Border Patrol Station; Rangeley, Maine Border Patrol Station; Weslaco, Texas Border Patrol Station.

PPA: FACILITIES CONSTRUCTION AND SUSTAINMENT

	Perm Pos	FTE	Amount
2008 Actual	\$0
2009 Enacted	0
2010 Adjustments-to-Base	239,356
2010 Current Services	239,356
2010 Program Change	0
2010 President's Budget	239,356
Total Change 2009-2010	239,356

CBP requests \$239 million in FY 2010 for the Facilities Construction and Sustainment PPA. This amount reflects the transfer of funding from the original Construction account as part of the establishment of a Facilities Management account.

CURRENT SERVICES PROGRAM DESCRIPTION:

CBP depends heavily on the health and effectiveness of its physical infrastructure, specifically the facilities, buildings, structures, and land that support its operations and administrative support requirements. The Facilities Construction and Sustainment PPA provides the facilities and associated infrastructure required to obtain and maintain operational control of the border, a primary factor of CBP's mission to prevent terrorists and terrorist weapons from entering the United States. Specific CBP facility types include, but are not limited to: ports of entry, administrative office space, Border Patrol stations, Border Patrol sector headquarters, traffic checkpoints, forward operating base camps, laboratories, aviation hangars, marine piers/docks, classrooms and other training facilities, maintenance and repair facilities, parking facilities, vaults, small arms ranges, intelligence and operations coordination centers, residential housing units, and parcels of land.

Current services for the Facilities Construction and Sustainment PPA in FY 2010 include the sustainment and support of existing buildings and structures as well as other efforts, such as tunnel remediation.

The FY 2010 budget submission does not include a request for *new* construction. Resources are requested to *sustain* the current inventory and support ongoing and program-wide efforts. The rapid evolution of CBP's mission, coupled with unprecedented growth, has left these vital assets in dire need of repair, expansion, and/or modernization. Many of the existing facilities were designed to accomplish legacy missions and are struggling to accommodate new operational demands, increases in personnel, high traffic volume, constant use, changes in technology, evolving design and security standards, and general aging and deterioration.

Fiscal Year 2010
 Current Services
 (Dollars in Thousands)

PPA: Facilities Construction and Sustainment							Totals
<u>Non-Business Partner Specific Activities</u>							
						<i>HQ Mission Support</i>	\$ 35,456
						<i>Tunnel Remediation</i>	\$ 7,743
<u>Business Partner Specific Activities</u>	OFO	BP	AMO	OTD/Harper's Ferry	Mission Support	Housing	Totals
<i>Maintenance, Repair, and Operations (MRO)</i>	\$ 25,624	\$ 63,590	\$ 8,241	\$ 5,955	\$ 1,005	\$ 6,905	\$ 111,320
<i>Alteration</i>	\$ 19,250	\$ 53,197	\$ 6,430	\$ -	\$ 1,487	\$ 4,473	\$ 84,837
Business Partner Specific Activities Sub-Total	\$ 44,874	\$ 116,787	\$ 14,671	\$ 5,955	\$ 2,492	\$ 11,378	\$ 196,157
Current Services Total							\$ 239,356

FY 2010 planned accomplishments include:

Delivery of the following projects: Lordsburg, New Mexico, Border Patrol Station; Sonoita, Arizona Border Patrol Station; Calexico, Arizona Border Patrol Station; Phase 3 Infrastructure and Warehouse at Harpers Ferry.

Other planned accomplishments include:

Delivery of the following projects in FY 2011: Ajo, Arizona, Border Patrol Station; Houlton, Maine Border Patrol Station and Sector Headquarters.

PPA: RENT

	Perm Pos	FTE	Amount
2008 Actual	\$0
2009 Enacted	0
2010 Adjustments-to-Base	399,698
2010 Current Services	399,698
2010 Program Change	2,565
2010 President's Budget	402,263
Total Change 2009-2010	402,263

CBP requests \$402.3 million in FY 2010 for the Rent PPA. The FY 2010 request includes:

- A transfer of \$399.7 million as part of the consolidation (see page 6 for more detail)
- An increase of \$868 thousand for rent associated with the new positions in the Combating Southbound Firearms and Currency Smuggling initiative
- An increase of \$152 thousand for rent associated with the new positions in the Analyze and Employ Information initiative
- An increase of \$885 thousand for rent associated with the new positions in the Air and Marine personnel initiative
- An increase of \$660 thousand for rent associated with the new positions in the Import Safety and Trade Enforcement initiative

CURRENT SERVICES PROGRAM DESCRIPTION:

The Rent PPA is used for the National Rent Account. CBP leases a substantial portion real property through GSA and also by direct lease delegation to non-federal sources. This PPA includes funds to support the rental of facilities, space, buildings, structures, and land along with rent-related building charges and services, including utilities and services provided by the Federal Protective Service (FPS). The Rent PPA supports the Office of Border Patrol, Office of Field Operations, Office of Air and Marine, and the Mission Support activities. Rent also encompasses physical security assessments and services for GSA facilities conducted by Federal Protective Services.

**Fiscal Year 2010
Current Services**
(Dollars in Thousands)

PPA: RENT	Totals
<u>Non-Business Partner Specific Activities</u>	
<i>Rent (incl. FPS)</i>	\$ 399,698
Current Services Total	\$ 399,698

PPA: PROGRAM OVERSIGHT AND MANAGEMENT

	Perm Pos	FTE	Amount
2008 Actual	\$0
2009 Enacted	0
2010 Adjustments-to-Base	37,013
2010 Current Services	37,013
2010 Program Change	0
2010 President's Budget	37,013
Total Change 2009-2010	37,013

CBP requests \$37 million in FY 2010 for the Program Oversight and Management PPA. This amount reflects the transfer of funding from the original Construction account as part of the establishment of a Facilities Management account.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Program Oversight and Management (POM) PPA is used for the planning and management component of the CBP Facilities Management account. This PPA provides for programmatic studies, services, and initiatives in support of facilities management, acquisition, construction, and sustainment requirements. Examples include: facility condition and strategic resource assessments, feasibility studies, data and information management solutions, space models, costing, valuation, and depreciation methodologies and tools, contractual management and oversight, and reconciliation of assets. These planning initiatives provide the decision support and communication mechanisms that CBP needs to respond to emerging operational demands and evolving facility requirements. CBP employs a highly skilled cadre of government and contract professionals to plan, administer, and manage the agency's facilities portfolio and real property assets. These resources also include funding for government contract services to support administration and management of the CBP facilities program. The operating budget includes training, mail, communications services such as voice and data, cellular phones and blackberry services, rental of equipment and technologies, contract and support services, supplies, equipment, and all other operational expenses associated with the acquisition, management, and sustainment of real property assets and facilities portfolio.

**Fiscal Year 2010
Current Services**

(Dollars in Thousands)

PPA: Program Oversight and Management	Totals
<u>Non-Business Partner Specific Activities</u>	
<i>Facility Program Planning and Management</i>	\$ 32,730
<i>Facility Program Support and Operations</i>	\$ 4,283
Current Services Total	\$ 37,013

IV. Program Justification of Changes

**Department of Homeland Security
U. S. Customs and Border Protection
Facilities Management
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 1: Rent Associated with Combating Southbound Firearms and Currency Smuggling Initiative

CBP Strategic Goals & Objectives: **Goal 1:** Secure our Nation’s borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel.
Goal 2: Ensure the efficient flow of legitimate trade and travel across U.S. borders.
Objective 1.1: Establish and maintain effective control of air, land, and maritime borders through the use of the appropriate mix of infrastructure, technology, and personnel.
Objective 2.1: Through the use of accurate advanced information and modernized systems for cargo processing, expedite the processing of people, products, and conveyances at land border ports, airports, and seaports.

PPA: Rent

Program Increase: Positions 0 FTE 0 Dollars \$868

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$0
Program Increase							0	0	868
Total Request	0	0	\$0	0	0	\$0	0	0	\$868

Description of Item

The \$868 thousand will be used for rent requirements for the new positions associated with the Combating Southbound Firearms and Currency Smuggling initiative.

Justification

Please refer to the “Program Justification of Changes” section of the CBP Salaries and Expenses budget submission for details of the program justification.

Impact on Performance (Relationship of Increase to Strategic Goals)

Please refer to the “Program Justification of Changes” section of the CBP Salaries and Expenses budget submission for details of the Impact on Performance.

**Department of Homeland Security
U. S. Customs and Border Protection
Facilities Management
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 2: Rent Associated with Analyze and Employ Information and Intelligence Initiative

CBP Strategic Goals & Objectives: **Goal 1:** Secure our Nation’s borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel.

Objective 1.2: Using a risk-based approach, deploy and employ the most effective inspection and scanning technology available at designated land border ports, airports, seaports, permanent Border Patrol traffic checkpoints, and international areas in which CBP operates to detect and prevent the entry of hazardous materials, goods, and instruments of terror into the United States.

PPA: Rent

Program Increase: Positions 0 FTE 0 Dollars \$152

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$0
Program Increase							0	0	152
Total Request	0	0	\$0	0	0	\$0	0	0	\$152

Description of Item

The \$152 thousand will be used for rent requirements for the new positions associated with the Analyze and Employ Information and Intelligence initiative.

Justification

Please refer to the “Program Justification of Changes” section of the CBP Salaries and Expenses budget submission for details of the program justification.

Impact on Performance (Relationship of Increase to Strategic Goals)

Please refer to the “Program Justification of Changes” section of the CBP Salaries and Expenses budget submission for details of the Impact on Performance.

**Department of Homeland Security
U. S. Customs and Border Protection
Facilities Management
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 3: Rent Associated with Air and Marine Personnel Initiative

CBP Strategic Goals & Objectives: **Goal 1:** Secure our Nation’s borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel.

Objective 1.1: Establish and maintain effective control of air, land, and maritime borders through the use of the appropriate mix of infrastructure, technology, and personnel.

PPA: Rent

Program Increase: Positions 0 FTE 0 Dollars \$885

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$0
Program Increase							0	0	885
Total Request	0	0	\$0	0	0	\$0	0	0	\$885

Description of Item

The \$885 thousand will be used for rent requirements for the new positions associated with the Air and Marine Personnel initiative.

Justification

Please refer to the “Program Justification of Changes” section of the CBP Salaries and Expenses budget submission for details of the program justification.

Impact on Performance (Relationship of Increase to Strategic Goals)

Please refer to the “Program Justification of Changes” section of the CBP Salaries and Expenses budget submission for details of the Impact on Performance.

**Department of Homeland Security
U. S. Customs and Border Protection
Facilities Management
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 4: Rent Associated with Import Safety and Trade Enforcement Initiative

CBP Strategic Goals & Objectives: **Goal 2:** Ensure the efficient flow of legitimate trade and travel across U.S. borders.
Objective 2.1: Through the use of accurate advanced information and modernized systems for cargo processing, expedite the processing of people, products, and conveyances at land border ports, airports, and seaports.
Objective 2.2: Fully employ the use of risk management and targeting to detect and deter trade non-compliance and apply consistent enforcement actions.
Objective 2.3: Conduct compliance reviews of trade activities to ensure collection of all lawfully owed revenue, and to identify delinquencies in the most efficient manner possible, thereby facilitating the release of compliant cargo.

PPA: Rent

Program Increase: Positions 0 FTE 0 Dollars \$660

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$0
Program Increase							0	0	660
Total Request	0	0	\$0	0	0	\$0	0	0	\$660

Description of Item

The \$661 thousand will be used for rent requirements for the new positions associated with the Import Safety and Trade Enforcement initiative.

Justification

Please refer to the “Program Justification of Changes” section of the CBP Salaries and Expenses budget submission for details of the program justification.

Impact on Performance (Relationship of Increase to Strategic Goals)

Please refer to the “Program Justification of Changes” section of the CBP Salaries and Expenses budget submission for details of the Impact on Performance.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
U. S. Customs and Border Protection
Justification of Proposed Changes in Construction
Appropriation Language**

[CONSTRUCTION]FACILITIES MANAGEMENT

For necessary expenses to plan, construct, renovate, equip, and maintain buildings and facilities necessary for the administration and enforcement of the laws relating to customs and immigration, [\$403,201,000] **\$678,633,000**, to remain available until expended, of which [\$39,700,000 shall be for the Advanced Training Center: Provided, That for fiscal year 2010 and thereafter, the annual budget submission of U.S. Customs and Border Protection for “Construction” shall, in consultation with the General Services Administration, include a detailed 5-year plan for all Federal land border port of entry projects with a yearly update of total projected future funding needs] **not to exceed \$150,000 shall be available for payment for rental space in connection with preclearance operations; and of which \$402,263,000 shall remain available until September 30, 2010.** (Department of Homeland Security Appropriations Act, 2009.)

Explanation of Changes:

The FY 2010 budget request reflects CBP’s effort to consolidate its facilities-related funding into a new appropriation account so the agency can consistently plan, finance, and manage its multifaceted facilities portfolio and real property assets.

This appropriation request reflects a transfer of the entire CBP Construction account, as well as those portions of CBP’s Salaries and Expenses (S&E), Air and Marine, and Border Security Fencing, Infrastructure, and Technology (BSFIT) appropriations that have been historically used for facilities-related needs. Accordingly, CBP requests that the name of the appropriation be more appropriately titled, “Facilities Management” in lieu of “Construction”.

Those portions of the CBP S&E, Air and Marine, and BSFIT appropriations include the following:

- National Rent Account – CBP leases a substantial portion of the real property that it operates through the U.S. General Services Administration (GSA) and by direct lease delegation to non-federal sources. Rent includes funds to support the rental of facilities, space, buildings, structures, and land, along with rent-related building charges and services, including services provided by the Federal Protective Service (FPS), for the Office of Border Patrol, Office of Field Operations, Air and Marine, and Mission Support activities. Rent encompasses both rental payments to GSA, including actual, planned, and requested changes in inventory, and rental payments to others, both non-Federal and Federal sources.
- Federal Protective Services (FPS) – FPS provides physical security assessments and services for GSA facilities.
- Facility Program Operations and Management – CBP employs a highly skilled cadre of government and contract professionals to plan, administer, and manage the agency’s facilities portfolio and real property assets. These resources include funding for contract services to support the administration and management of the CBP facilities program. (Funding for the government

employees will remain in the Salaries and Expenses account.) The operating budget includes training, mail, communications services such as voice and data, cellular phones and blackberry services, rental of equipment and technologies, contract and support services, supplies, equipment, and all other operational expenses associated with the acquisition, management, and sustainment of real property assets and facilities portfolio.

- Facilities Funding Plan – S&E appropriation for forced/non-discretionary leasing actions for legacy U.S. Customs entities.
- Facilities in the Washington, DC Area – S&E appropriation utilized for facility reconfiguration, alterations, and space acquisition activities for CBP personnel at the Ronald Reagan Building and other locations in the Washington, DC area.
- Overtime utilities in the Washington, DC Area – Expenses associated with after-hours use of facilities.
- Tunnel Remediation – traditionally an S&E appropriation for remediation of cross-border tunnels. Tunnel remediation is the process whereby cross-border tunnels are physically secured and rendered unusable after discovery. The remediation process includes, but is not limited to: planning and initial analyses/assessments, environmental studies, project oversight and support, plugging, obtaining rights of entry and land access, engineering/surveying, filling, inspection/acceptance, and reporting of associated status.

The FY 2010 budget request for Facilities Management also reflects a change to the current services structure. Unlike prior years, the current services request for FY 2010 does not include provisions for new construction. The revised current services structure is intended to sustain the current inventory and support ongoing and program-wide efforts.

The rapid evolution in CBP's mission, coupled with unprecedented growth, has left the CBP's real property assets in dire need of replacement, repair, expansion, and/or modernization. Many of the existing facilities were designed to accomplish legacy missions and are struggling to accommodate new operational demands, increases in personnel, high traffic volume, constant use, changes in technology, evolving design and security standards, and general aging and deterioration. The change to current services will better enable CBP to address its existing real property portfolio.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
U.S. Customs and Border Protection
Facilities Management
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual	---	---	287,145
FY 2009 Enacted	---	---	403,201
Adjustments-to-Base			
Transfers to and from other accounts			
Salaries & Expenses.....	---	---	432,950
Automation Modernization.....	---	---	---
Air & Marine.....	---	---	8,860
Border Security Fencing, Infrastructure, and Technology.....	---	---	370
Total Transfers.....	---	---	<u>442,180</u>
Decreases			
FY 2009 Program Change - Non-Recur (BP Facilities).....	---	---	(127,069)
FY 2009 Program Change - Non-recur (CBP owned POE's).....	---	---	(8,500)
FY 2009 Initiative - Harper's Ferry.....	---	---	(33,745)
Total Decreases.....	---	---	<u>(169,314)</u>
Total Adjustments-to-Base	---	---	<u>272,866</u>
2010 Current Services	---	---	676,067
Program Changes			
Program Increases/(Decreases)			
Rent - Combating Southbound Firearms and Currency Smuggling.....	---	---	868
Rent - Analyze and Employ Information and Intelligence.....	---	---	152
Rent - Air and Marine Personnel	---	---	885
Rent - Import Safety and Trade Enforcement.....	---	---	660
Total Program Changes	---	---	2,566
2010 Request	---	---	678,633
2009 to 2010 Total Change	---	---	275,432

Note: The table above excludes ARRA funding of \$420 million provided in P.L. 111-5.

Totals may not add due to rounding

C. Summary of Requirements

**Department of Homeland Security
U.S. Customs and Border Protection
Facilities Management
Summary of Requirements
(Dollars in Thousands)**

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual		---	287,145
2009 Enacted		---	403,201
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	---	---	442,180
Increases	---	---	---
Decreases	---	---	(169,314)
Total Adjustments-to-Base	---	---	272,866
2010 Current Services	---	---	676,067
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	---	---	2,566
2010 Total Request	---	---	678,633
2009 to 2010 Total Change	---	---	275,432

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Construction	---	---	\$403,201	---	---	(\$403,201)	---	---	\$0	---	---	\$0	---	---	(\$403,201)
2 Facility Construction and Sustainment	---	---	\$0	---	---	\$239,356	---	---	\$0	---	---	\$239,356	---	---	\$239,356
3 Rent	---	---	\$0	---	---	\$399,698	---	---	\$2,566	---	---	\$402,264	---	---	\$402,264
4 Program Oversight and Management	---	---	\$0	---	---	\$37,013	---	---	\$0	---	---	\$37,013	---	---	\$37,013
Total	---	---	\$403,201	---	---	\$272,866	---	---	\$2,566	---	---	\$678,633	---	---	\$275,432

Note: Totals do not add due to rounding.

Note: CBP received \$420 million for Land Port-of-Entry Modernization in the American Recovery and Reinvestment Act. This amount is excluded from the above table.

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Customs and Border Protection
Facilities Management
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2008 Actual	2009 Enacted	FY 2010 Request	2009 - 2010 Change
22.0 Transportation of things	888	528	356	(172)
23.1 GSA rent	---	---	358,097	358,097
23.2 Other rent	---	---	9,248	9,248
23.3 Communications, utilities, & other misc. charges	64	38	9,512	9,474
25.1 Advisory and assistance services	2	1	---	(1)
25.2 Other services	21,959	136,072	87,073	(48,999)
25.3 Purchases of goods & svcs. from Gov't accounts	490	292	---	(292)
25.4 Operation & maintenance of facilities	99,125	76,531	190,652	114,121
25.7 Operation and maintenance of equipment	279	166	8,668	8,502
26.0 Supplies and materials	1,041	619	555	(64)
31.0 Equipment	20,313	12,076	14,471	2,395
32.0 Land & structures	142,984	347,589	---	(347,589)
Total, Other Object Classes	\$287,145	573,912	678,633	\$104,720
Total, Direct Obligations	\$287,145	\$573,912	\$678,633	\$104,720
Unobligated balance, start of year	(78,677)	(170,711)	---	
Unobligated balance, end of year	170,711	---	---	
Recoveries of prior year obligations	(30,816)	---	---	
Total requirements	\$348,363	\$403,201	\$678,633	

Note: Totals may not add due to rounding

Note: CBP received \$420 million for Land Port-of-Entry Modernization in the American Recovery and Reinvestment Act. This amount is excluded from the above table.

F. Permanent Positions by Grade

Not Applicable.

G. Capital Investment and Construction Initiative Listing

**U.S. CUSTOMS AND BORDER PROTECTION
FACILITIES MANAGEMENT**

Facilities Management

- \$678,632,000
- CBP Facilities Management includes:
 - Facilities Construction and Sustainment
 - Tunnel Remediation
 - Maintenance, Repairs, and Operations
 - Alterations
 - Rent
 - Program Oversight and Management

INITIATIVE NAME	FY 2010 FUNDING REQUEST (\$000)			FUNDING FROM:	
	Current Services Level	New Initiative	Total	Budget Activity	Program's Name
Program Oversight and Management	\$37,013	\$0	\$37,013	Facility Program Planning	CBP Facilities Management
Rent	\$399,698	\$2,566	\$402,263	Rent (includes FPS)	CBP Facilities Management
Mission Support HQ	\$35,456	\$0	\$35,456	Mission Support HQ (includes RRB restack, HQ OT utilities and FFP)	CBP Facilities Management
Tunnel Remediation	\$7,743	\$0	\$7,743	Tunnel Remediation	CBP Facilities Management
Maintenance, Repairs, and Operations	\$111,320	\$0	\$111,320	Maintenance, Repairs, and Operations	CBP Facilities Management
Alterations	\$84,837	\$0	\$84,837	Alterations	CBP Facilities Management
Total Facilities Management Investments	\$676,067	\$2,566	\$678,633		

FACILITIES MANAGEMENT

1. Project Description, Justification and Scope

The FY 2010 Budget Submission requests funding for *sustainment* of existing facility and infrastructure requirements. There is no request for funding for new construction projects.

2. Significant Changes

The FY 2010 Budget Submission requests funding for sustainment of existing facility and infrastructure requirements. There is no request for funding for new construction projects.

3. Project Schedule

The FY 2010 Budget Submission requests funding for sustainment of existing facility and infrastructure requirements. There is no request for funding for new construction projects.

4. Schedule of Project Funding

(Dollars in Thousands)

Program Oversight & Management						
	Prior	FY 2008	FY 2009	FY 2010	FY2011	Total
Appropriation		\$0	\$0	\$37,013		\$37,013
Obligation (planned)		\$0	\$0	\$37,013	\$0	\$37,013
Expenditure (planned)		\$0	\$0	\$24,548	\$12,465	\$37,013

Rent (including FPS)						
	Prior	FY 2008	FY 2009	FY 2010	FY2011	Total
Appropriation		\$0	\$0	\$402,263		\$402,263
Obligation (planned)		\$0	\$0	\$402,263		\$402,263
Expenditure (planned)		\$0	\$0	\$400,263	\$2,000	\$402,263

Facilities Construction & Sustainment - HQ Mission Support						
	Prior	FY 2008	FY 2009	FY 2010	FY2011	Total
Appropriation		\$0	\$0	\$35,456		\$35,456
Obligation (planned)		\$0	\$0	\$35,456		\$35,456
Expenditure (planned)		\$0	\$0	\$17,728	\$17,728	\$35,456

*Includes funds for HQ facilities reconfiguration and headquarters overtime utilities.

Facilities Construction & Sustainment - Tunnel Remediation						
	Prior	FY 2008	FY 2009	FY 2010	FY2011	Total
Appropriation		\$0	\$0	\$7,743		\$7,743
Obligation (planned)		\$0	\$0	\$5,807	\$1,936	\$7,743
Expenditure (planned)		\$0	\$0	\$2,903	\$4,840	\$7,743

Facilities Construction & Sustainment - Maintenance, Repairs, & Operations (Aggregate)						
(Advanced Training Center – Harper’s Ferry, WV is shown separately below)						
	Prior	FY 2008	FY 2009	FY 2010	FY2011	Total
Appropriation		\$0	\$0	\$105,364		\$105,364
Obligation (planned)		\$0	\$0	\$73,755	\$31,609	\$105,364
Expenditure (planned)		\$0	\$0	\$36,878	\$68,486	\$105,364

Facilities Construction and Sustainment - Advanced Training Center – Maintenance, Repairs and Operations						
	Prior	FY 2008	FY 2009	FY 2010	FY2011	Total
Appropriation		\$0	\$0	\$5,955		\$5,955
Obligation (planned)		\$0	\$0	\$5,955	\$0	\$5,955
Expenditure (planned)		\$0	\$0	\$4,466	\$1,489	\$5,955

Facilities Construction & Sustainment - Alterations (Aggregate)						
	Prior	FY 2008	FY 2009	FY 2010	FY2011	Total
Appropriation		\$0	\$0	\$84,837		\$84,837
Obligation (planned)		\$0	\$0	\$67,870	\$16,967	\$84,837
Expenditure (planned)		\$0	\$0	\$33,935	\$50,902	\$84,837

5. Cost Estimate Detail and Changes

(Dollars in Thousands)

The FY 2010 Budget Submission requests funding for sustainment of existing facility and infrastructure requirements. There is no request for funding for new construction projects.

6. Method of Performance

CBP Facilities Management requirements are executed through the U.S. Army Corps of Engineers (USACE), the General Services Administration, and the CBP Office of Procurement.

Through a Memorandum of Agreement, the USACE provides CBP with consolidated program management services for real estate planning and acquisition, planning and programming, environmental protection, design and cost engineering, construction and warranty enforcement and integrated occupancy services.

For facilities and construction projects, the schedule and funding are tracked within the current CBP accounting system. This system includes modules that store specific information on each asset. That information is automatically linked to key information systems and includes modules that cover all aspects of the assets. The real property profile performance data can be used to produce financial, procurement, and real property indices for measuring the performance of the assets. Projects in Progress are tracked and reported on a monthly basis by Project Managers in the field. The tracking consists of monitoring the project delivery for construction and leasing through industry standards, including tracking each specific project’s schedule, scope, and budget.

Across CBP’s owned facilities, the general performance indices include:

1. Facility Condition - Condition surveys are performed on a periodic basis to ascertain the true condition of the asset. A Strategic Resource Assessment will be the primary means by which this information will be generated in the future.
2. Facility Utilization - These indices track the square footage of space and the number of FTE's assigned.
3. Operating Costs - These indices track the cleaning / janitorial, maintenance and utility costs at the asset level.
4. Mission Dependency - The primary categories include: Mission Critical, Mission Dependent Not Critical, and Non Mission Dependent.
5. Energy Consumption - As part of the Operating Costs Indices, energy consumption and conservation measures are tracked separately.
6. National Historical Preservation Assets - Real Property Assets that could be eligible for the National Historical Preservation List are tracked.

Within the land ports of entry, CBP applies an additional set of performance indices including:

1. Mission and Operations - Factors for the mission and operations criterion measure the facility's compatibility with specific inspection responsibilities. Individual factors address the type of activities performed within the facility and features of the facility necessary for successful inspection services. This criterion contains factors that cause the most significant disruptions to inspection activities and conditions that reflect the significance of the facility's operations.
2. Life Safety and Security - The factors for security and life safety measure a facility's ability to protect occupants and visitors and allow law enforcement functions to maintain safe and secure control of the public and detained individuals. The individual factors address compliance with security and life safety standards (features incorporated in the facility to resist assault and allow staff to maintain operations during emergencies) and deficiencies that represent hazards to the occupants. Safety standards include building life safety codes, as well as federal standards developed in response to terrorist attacks or other threats faced by the occupants.
3. Space and Site Deficiencies - Space and site deficiencies are related to the functional work environment and the overall facility site. Space deficiencies are determined by applying utilization rates, based on space standards, to existing personnel and functions to calculate the amount of usable space that should be available in an existing facility. In addition, the major facility systems and site and building layouts are evaluated for functionality and expansion potential.
4. Personnel and Workload Growth - The personnel and workload growth criterion contains factors related to both current and future personnel, along with current and projected workload categories that generate the need for additional personnel and space at each facility. The points for many of the factors are determined through a national ranking system.

**7. Related Annual Funding Requirements
(Dollars in Thousands)**

	FY 2010 Current Estimate
Program Oversight and Management	\$37,013
Rent (including FPS)	402,263
Tunnel Remediation	7,743
HQ Mission Support	35,456
Maintenance, Repairs, and Operations	111,320
Alterations	84,837
Total	\$678,633

8. Budget Allocation to Programs

Program	Allocated Budget (\$000)	
	FY 2009	FY 2010
Construction	\$403,201	\$0
Facilities Construction & Sustainment	0	239,356
Rent	0	402,263
Program Oversight & Management	0	37,013
Total	\$403,201	\$678,633

9. Compliance with applicable Public Laws, Regulations, Standards and Executive Orders

The Facilities Management program complies with the IMMIGRATION AND NATIONALITY ACT (INA), Section 235 Inspection by Immigration Officers; Expedited Removal of Inadmissible Arriving Aliens; Referral For Hearing; Section 287 Powers of Immigration Officers and Employees and in the ILLEGAL IMMIGRATION REFORM AND IMMIGRANT RESPONSIBILITY ACT OF 1996 (IIRIRA) - Section 102 Improvement of Barriers at Border, and the Homeland Security Act of 2002.

H. PPA Budget Justification

**Department of Homeland Security
U.S. Customs and Border Protection
Facilities Management
Funding Schedule
(Dollars in Thousands)**

PPA: Construction		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
22.0	Transportation of things	888	528	---	(528)
23.3	Communication, Utilities, and misc charges	64	38	---	(38)
25.1	Advisory & Assistance Services	2	1	---	(1)
25.2	Other Services	21,959	136,072	---	(136,072)
25.3	Purchase from Govt. Accts.	490	292	---	(292)
25.4	Operation & maintenance of facilities	99,125	76,531	---	(76,531)
25.7	Operation & maintenance of equipment	279	166	---	(166)
26.0	Supplies & materials	1,041	619	---	(619)
31.0	Equipment	20,313	12,076	---	(12,076)
32.0	Land & Structures	142,984	347,589	---	(347,589)
Total Construction		\$287,145	573,912	\$0	(\$573,912)
Full Time Equivalents		---	---	---	---
*This chart reflects the closing out of the Construction PPA after FY 2009 and the establishment of Facilities Management account with three new PPAs in FY 2010.					

PPA Mission Statement

Provide the facilities that the U.S. Customs and Border Protection needs to perform its enforcement and trade facilitation mission.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Transportation of Things	\$888	\$528	\$0	(\$528)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. No funding is requested for FY 2010.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous char	\$64	\$38	\$0	(\$38)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. No funding is requested for FY 2010.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$2	\$1	\$0	(\$1)

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

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$21,959	\$136,072	\$0	(\$136,072)

Other services include report contractual services with non-Federal sources that are not otherwise classified under this object class. No funding is requested for FY 2010.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Purchase from Government Accounts	\$490	\$292	\$0	(\$292)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. No funding is requested for FY 2010.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Operation & maintenance of facilities	\$99,125	\$76,531	\$0	(\$76,531)

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. No funding is requested for FY 2010.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Operation & Maintenance of equipment	\$279	\$166	\$0	(\$166)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. No funding is requested for FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$1,041	\$619	\$0	(\$619)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the four criteria listed above, at the option of the agency. No funding is requested for FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$20,313	\$12,076	\$0	(\$12,076)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. No funding is requested for FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Land & Structures	\$142,984	\$347,589	\$0	(\$347,589)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. No funding is requested for FY 2010.

Department of Homeland Security
U.S. Customs and Border Protection
Facilities Management
Funding Schedule
(Dollars in Thousands)

PPA: Fac. Construction & Sustainment		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
22.0	Transportation of things	---	---	356	356
23.3	Communication, Utilities, and misc charges	---	---	6,351	6,351
25.2	Other Services	---	---	19,162	19,162
25.4	Operation & maintenance of facilities	---	---	190,652	190,652
25.7	Operation & maintenance of equipment	---	---	8,668	8,668
31.0	Equipment	---	---	14,167	14,167
Total Fac. Construction & Sustainment		\$0	\$0	\$239,356	\$239,356
Full Time Equivalents		---	---	---	---
* This chart reflects the closing out of the Construction PPA after FY 2009 and the establishment of Facilities Management account with three new PPAs in FY 2010.					

PPA Mission Statement

Provide facilities management, acquisition, construction, and sustainment of CBP occupied facilities, and associated infrastructure and services, that the U.S. Customs and Border Protection needs to perform its enforcement and trade facilitation mission.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$0	\$0	\$356	\$356

Transportation of things includes all costs associated with the physical move and relocation activities and services of CBP components from one facility to another. This includes physical move of files, furniture, equipment, personnel, etc from one facility to another.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous char	\$0	\$0	\$6,351	\$6,351

Communications, utilities, and miscellaneous charges include all payments for the rental or lease of construction/building equipment, tools, and vehicles, such as rental of generators, powers tools, forklifts, etc) associated with facilities management, construction, and sustainment. Includes rental or lease of space, docks, hangars, and other structures and payments for standard and overtime utilities, postal services, and other short-term rentals.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$0	\$0	\$19,162	\$19,162

Other services include payments for contractual services to conduct feasibility studies, environmental assessments, planning and design services, and other services associated with project administration, oversight, and contractual support for facility projects.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$0	\$0	\$190,652	\$190,652

Operation and maintenance of facilities include all payments for the operation, maintenance, and sustainment of facilities when done by contract with the private sector or another Federal Government account. Also includes repairs and alterations to facilities and CBP occupied space and housing.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$0	\$0	\$8,668	\$8,668

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$0	\$0	\$14,167	\$14,167

Equipment includes all costs for the purchases of personal property and other assets of a durable nature or the initial installation of furniture, appliances, and/or equipment when performed under contract. Includes physical security equipment, alarms, voice and data equipment, generators, appliances, and related facility equipment.

H: PPA Budget Justifications

Department of Homeland Security
U.S. Customs and Border Protection
Facilities Management
Funding Schedule
(Dollars in Thousands)

PPA: Rent		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
23.1	GSA rent	---	---	358,097	358,097
23.2	Other rent	---	---	9,248	9,248
25.2	Other Services	---	---	34,918	34,918
Total Rent		\$0	\$0	\$402,263	\$402,263
Full Time Equivalents		---	---	---	---
* This chart reflects the closing out of the Construction PPA after FY 2009 and the establishment of Facilities Management account with three new PPAs in FY 2010.					

PPA Mission Statement

Provide funds to support rental of facilities, space, buildings, structures, land, and associated building services that the U.S. Customs and Border Protection needs to perform its enforcement and trade facilitation mission.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$0	\$0	\$358,097	\$358,097

GSA rent includes all payments to the General Services Administration (GSA) for rental of space, facilities, building, structures, and land; and rent related charges and other building services including utilities and building amenities. The FY 2010 request includes the consolidation of all GSA rent across the agency into the proposed Facilities Management account.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Rent	\$0	\$0	\$9,248	\$9,248

Other rent includes all payments to a non-Federal source for rental space, facilities, buildings, structures, and land. The FY 2010 request includes the consolidation of all other rent across the agency into the proposed Facilities Management account. Includes building services, utilities, and operational amenities.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$0	\$0	\$34,918	\$34,918

Other services include the contractual services for the Federal Protective Services (FPS), which provides physical security assessments and services for GSA facilities.

Department of Homeland Security
U.S. Customs and Border Protection
Facilities Management
Funding Schedule
(Dollars in Thousands)

PPA: Program Oversight & Mgmt.		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
23.3	Communication, Utilities, and misc charges	---	---	3,161	3,161
25.2	Other Services	---	---	32,993	32,993
26.0	Supplies & materials	---	---	555	555
31.0	Equipment	---	---	304	304
Total Program Oversight & Mgmt.		\$0	\$0	\$37,013	\$37,013
Full Time Equivalents		---	---	---	---

* This chart reflects the closing out of the Construction PPA after FY 2009 and the establishment of Facilities Management account with three new PPAs in FY 2010.

PPA Mission Statement

Provides for the programmatic studies, services, initiatives, as well as contract support and services required to support the administration and management of facilities and construction programs, program management oversight, and project management oversight.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous char	\$0	\$0	\$3,161	\$3,161

Communications, utilities, and miscellaneous charges include all payments for the rental or lease of construction/building equipment, tools, and vehicles, such as rental of generators, powers tools, forklifts, etc., associated with facilities management, acquisition, construction, and sustainment. Includes rental or lease of space, docks, hangars, and other structures and payments for standard and overtime utilities, postal services, communications services such as voice and data, rental of equipment and technologies, and other short-term rentals.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$0	\$0	\$32,993	\$32,993

Other services include payments for contractual support and services associated with facilities program administration, and project management and oversight.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$0	\$0	\$555	\$555

Supplies and construction/building materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the four criteria listed above, at the option of the agency.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$0	\$0	\$304	\$304

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

I. Changes in FTE

Not Applicable.

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity

Not Applicable.

Department of Homeland Security

U.S. Customs and Border Protection

COBRA User Fees



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. Customs and Border Protection COBRA User Fees

I. Appropriation Overview

A. Mission Statement for COBRA User Fees:

The Consolidated Omnibus Budget Reconciliation Act of 1985 (COBRA) user fees are authorized under Title 19 U.S.C. 58c. These fees are used to recover certain costs of Customs services. COBRA fees are made available through permanent/indefinite appropriation created by the user fee statute.

The fees are deposited in the Customs User Fee Account (No Year) at the U.S. Treasury. Excess collections, after reimbursements for inspectional overtime and preclearance costs are available without fiscal year limitation, except that \$30 million of such excess remains in a contingency fund for use in any year in which receipts are insufficient to cover the costs of providing the services described in the statute.

The COBRA statute mandates that the fee collections be used to pay for (in the order listed):

- All inspectional overtime
- Premium Pay
- Civil Service Retirement and Disability Fund (Agency Contribution)
- Excess Preclearance
- Foreign Language Proficiency Awards
- Enhanced Equipment and Support

B. Budget Activities:

Not Applicable

C. Budget Request Summary

Collections for COBRA User Fees in FY 2010 are estimated at \$398,131,000 a decrease of \$12,535,000 from FY 2009. When FY 2009 projections were made, it was anticipated that the Federal Aviation Authority (FAA) projections of 4.8% growth in air passenger volumes would also allow collections to reflect a similar rate of growth in FY 2009. However, the effect of economic uncertainties, (including global economic recession, falling GDP in the US, consumer pessimism, volatile fuel costs and fluctuating currency exchange rates) is expected to dampen both business and personal travel through FY 2009. Adjustments and reassessments are thus reflected in the FY 2010 Budget Request.

For FY 2010, data from CBP internal systems as well as International Air Transport Association (IATA) statements forecast a marginal increase of only 0.8% in air passenger traffic. CBP applied the same rate

to the previously downwardly revised FY 2009 projections to project collections in FY 2010. The FY 2010 projections are 3.1% below the FY 2009 enacted level.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U.S. Customs and Border Protection
COBRA User Fees**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
COBRA User Fees	1,440	\$378,679	1,538	\$410,666	1,538	\$ 398,131	---	(\$12,535)	---	\$ -	---	(\$12,535)
Subtotal, Enacted Appropriations and Budget Estimates	1,440	\$378,679	1,538	\$410,666	1,538	\$ 398,131	---	(\$12,535)	---	\$ -	---	(\$12,535)

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

III. Current Services Program Description by PPA

Department of Homeland Security
U.S. Customs and Border Protection
COBRA User Fees
Program Performance Justification
(Dollars in thousands)

PPA: COBRA User Fees

	Perm		
	Pos	FTE	Amount
2008 Actual	1,440	1,440	378,679
2009 Enacted	1,538	1,538	410,666
2010 Adjustments-to-Base	(12,535)
2010 Current Services	1,538	1,538	398,131
2010 Program Change
2010 Request	1,538	1,538	398,131
Total Change 2009-2010	(12,535)

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

COBRA User Fees are set legislatively and rate adjustments require a statutory change. The American Jobs Creation Act of 2004 (P.L. 108-357 Section 892) authorized CBP to increase individual fees (excluding those already at their maximum levels) up to 10%. This increase became effective in April 2007.

The majority of funds that contribute to COBRA fees are generated by air passenger travel. When COBRA collections were originally projected, CBP was expecting that air passenger volumes would increase by 4.8%. However, due to the global recession and the downturn in the U. S. economy in FY 2009, CBP is now anticipating an air passenger volume decrease by 5%, which may be offset somewhat by marginal increases in other fee generating environments, such as sea and land.

For FY 2010, data from internal CBP systems are supported by International Air Transport Association (IATA) forecasts of a marginal increase of only 0.8% in air passenger traffic. Consequently CBP is applying a correspondingly conservative rate of growth in COBRA fee collections, by 0.8% to the previously downwardly FY 2009 estimates in the same period.

CURRENT SERVICES PROGRAM DESCRIPTION:

The components of the COBRA User Fees account are: international air and sea passenger, commercial trucks, loaded/partially loaded rail cars, commercial vessels, private aircraft and vessels, dutiable mail, customs broker permits, barges/bulk carriers, cruise vessel passenger fees and express consignment carrier fees.

IV. Program Justification of Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

.Not Applicable

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
U.S. Customs and Border Protection
COBRA User Fees
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual	1,440	1,440	\$378,679
2009 Enacted	1,538	1,538	410,666
Adjustments-to-Base			
Increases			
Technical Adjustments	---	---	(12,535)
Total Increases.....	---	---	(12,535)
Total Adjustments-to-Base	---	---	(12,535)
2010 Current Services	1,538	1,538	398,131
2010 Request	1,538	1,538	398,131
2009 to 2010 Total Change	---	---	(12,535)

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

C. Summary of Requirements

Department of Homeland Security
U.S. Customs and Border Protection
COBRA User Fees
 Summary of Requirements
 (Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	1,440	1,440	\$ 378,679
2009 Enacted	1,538	1,538	\$ 410,666
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Increases	---	---	\$ (12,535)
Total Adjustments-to-Base	---	---	\$ (12,535)
2010 Current Services	1,538	1,538	\$ 398,131
2010 Total Request	1,538	1,538	\$ 398,131
2009 to 2010 Total Change	---	---	\$ (12,535)

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 COBRA User Fees	1,538	1,538	\$ 410,666	---	---	\$ (12,535)	---	---	\$ ---	1,538	1,538	\$ 398,131	---	---	\$ (12,535)
Total	1,538	1,538	\$ 410,666	---	---	\$ (12,535)	---	---	\$ ---	1,538	1,538	\$ 398,131	---	---	\$ (12,535)

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Customs and Border Protection
COBRA User Fees
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes		2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1	Total FTE & personnel compensation	\$105,301	86,569	88,207	1,638
11.5	Other Personnel Compensation	178,626	205,218	209,101	3,883
12.1	Benefits	58,384	71,231	72,579	1,348
	Total, Personnel Comp. & Benefits	\$342,311	363,019	369,887	6,869
Other Object Classes:					
21.0	Travel	3,188	---	---	---
22.0	Transportation of things	196	---	---	---
23.1	GSA rent	8,733	---	---	---
23.3	Communications, utilities, & other misc. charges	---	14,794	8,769	(6,025)
24.0	Printing and reproduction	---	190	113	(77)
25.2	Other services	20,558	30,096	17,840	(12,256)
25.3	Purchases of goods & svcs. from Gov't accounts	679	---	---	---
25.4	Operation & maintenance of facilities	53	---	---	---
25.7	Operation and maintenance of equipment	4	---	---	---
26.0	Supplies and materials	1,820	830	492	(338)
31.0	Equipment	1,137	1,738	1,030	(708)
	Total, Other Object Classes	36,368	47,647	28,244	(19,403)
	Total, Direct Obligations	\$378,679	\$410,666	\$398,131	(12,534)
	Unobligated balance, start of year	(40,897)	(30,000)	(30,000)	---
	Unobligated balance, end of year	30,000	30,000	30,000	---
	Total requirements	\$367,782	\$410,666	\$398,131	(\$12,535)

*CBP and the appropriations committees are waiting for a decision from OMB on whether the \$639.4 million dollars balance due to collections from a temporary fee increase and elimination of country exemptions can become available to CBP via a specific appropriation. Until the availability of this balance is clarified by OMB these funds are deemed unavailable for CBP.

Note: Represents a realignment of funds from non-pay to pay categories to cover salary and benefit costs.

F. Permanent Positions by Grade

Activities funded by COBRA User Fees are performed by U.S. Customs and Border Protection Officers as part of their normal duties.

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justification

**Department of Homeland Security
U.S. Customs and Border Protection
COBRA User Fees
Funding Schedule
(Dollars in Thousands)**

PPA: COBRA		FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Object Classes:					
11.1	Perm Positions	\$ 105,301	\$ 86,569	\$ 88,207	\$ 1,638
11.5	Other per comp	\$ 178,626	\$ 205,218	\$ 209,101	\$ 3,883
12.1	Benefits	\$ 58,384	\$ 71,231	\$ 72,579	\$ 1,348
21.0	Travel	\$ 3,188	\$ -	\$ -	\$ -
22.0	Transportation of things	\$ 196	\$ -	\$ -	\$ -
23.1	GSA rent	\$ 8,733	\$ -	\$ -	\$ -
23.3	Communication, Utilities, and misc charges	\$ -	\$ 14,794	\$ 8,769	\$ (6,025)
24.0	Printing	\$ -	\$ 190	\$ 113	\$ (77)
25.2	Other Services	\$ 20,558	\$ 30,096	\$ 17,840	\$ (12,256)
25.3	Purchase from Govt. Accts.	\$ 679	\$ -	\$ -	\$ -
25.4	Operation & maintenance of facilities	\$ 53	\$ -	\$ -	\$ -
25.7	Operation & maintenance of equipment	\$ 4	\$ -	\$ -	\$ -
26.0	Supplies & materials	\$ 1,820	\$ 830	\$ 492	\$ (338)
31.0	Equipment	\$ 1,137	\$ 1,738	\$ 1,030	\$ (708)
Total, COBRA User Fees		\$ 378,679	\$ 410,666	\$ 398,131	\$ (12,535)
Full Time Equivalents		1,440	1,538	1,538	---

* All FY 2009 to FY 2010 changes reflect a technical adjustment due to the increased collection in fees

PPA Mission Statement

Customs and Border Protection user fees are authorized under Title 19 U.S.C. 58c, fees for certain customs services. The fees were created by the Consolidated Omnibus Budget Reconciliation Act of 1985 (COBRA). COBRA fees are made available through permanent/indefinite appropriation created by the user fee statute. CBP collects customs inspection fees to cover the cost of providing customs inspections of commercial operations, including, but not limited to, all costs associated with commercial passenger, vessel, vehicle, aircraft, and cargo processing.

The fees are deposited in the Customs and Border Protection User Fee Account (No Year) at the U.S. Treasury. The excess of collections over

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Salaries and Benefits	\$342,311	\$363,019	\$369,887	\$6,869

Salaries and Benefits include costs for 1,538 FTE.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Travel	\$3,188	\$0	\$0	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal Travel regulations.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Transportation of Things	\$196	\$0	\$0	\$0

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incidental to the transportation of things.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Printing	\$0	\$190	\$113	(\$77)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
GSA rent	\$8,733	\$0	\$0	\$0

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and related services.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Communication, Utilities, and miscellaneous charges	\$0	\$14,794	\$8,769	(\$6,025)

Communication, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Printing	\$0	\$190	\$113	(\$77)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Other Services	\$20,558	\$30,096	\$17,840	(\$12,256)

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Purchases from other Gov't accounts	\$679	\$0	\$0	\$0

Purchases from Government Accounts include costs for purchases from Federal Government agencies or accounts that are not otherwise classified.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Operation & maintenance of facilities	\$53	\$0	\$0	\$0

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Operation & Maintenance of equipment	\$4	\$0	\$0	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Supplies & materials	\$1,820	\$830	\$492	(\$338)

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

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Equipment	\$1,137	\$1,738	\$1,030	(\$708)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

I. Changes in FTE

Not Applicable

J. FY 2010 Schedule of Working Capital Fund by PPA

Not Applicable

Department of Homeland Security

U.S. Customs and Border Protection

Immigration Inspection User Fees



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. Customs and Border Protection Immigration Inspection User Fees (IUF)

I. Appropriation Overview

A. Mission Statement for Immigration Inspection User Fees:

The Department of Justice Appropriation Act of 1987 (P.L. 99-591) authorized the collection of user fees for International Arrivals of air and sea passengers. This law codified as 8 U.S.C. 1356(h) established the air and sea passenger fees to generate revenues that would reimburse “the appropriation for expenses incurred by the Attorney General in providing immigration inspection and pre-inspection services for commercial aircraft or vessels.” (These functions were transferred to the Secretary of the Department of Homeland Security by the Homeland Security Act of 2002.)

B. Budget Activities:

Not Applicable

C. Budget Request Summary

CBP’s share of the IUF collections for FY 2010 is estimated at \$522,322,000, a decrease of \$47,737,000 from the enacted FY 2009 levels.

The Collections estimate represents CBP’s share of the Immigration User Fee (IUF). Historically, the majority of funds (95%) for IUF fees are generated by International Air Passenger travel; marginal IUF fees are generated in the sea environment. When FY 2009 IUF collections were originally projected, CBP was expecting that air passenger volumes would increase by 4.8%. Multiple sources of data, including databases internal to CBP as well as external industry specific documents such as the International Air Transport Association’s (IATA) Monthly Economic Briefing Report confirm an anticipated rate of reduction of 5% in air passenger volumes. As a result, CBP’s estimate of a 4.8% decrease in air passenger volumes for FY 2009 is robustly validated and substantiates estimates of decreased IUF collections for this period.

For FY 2010, data from CBP internal systems are again validated by IATA forecasts of a marginal increase of only 0.8% in air passenger traffic. While IUF fees are generated in both Air and Sea environments, there is relatively little data to estimate collections generated in the latter environment. Consequently, CBP has applied a conservative rate of growth of 0.8%, generated by Air Passenger volumes only, from the previously downwardly revised FY 2009 projections to estimate collections in FY 2010. The FY 2010 estimates are 8.4% below the FY 2009 enacted level.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
U.S. Customs and Border Protection
CBP Immigration User Fees
 Summary of FY 2010 Budget Estimates by Program/Project/Activity
 (Dollars in Thousands)

Budget Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Immigration User Fee	5,265	\$ 611,274	4,777	\$ 570,059	4,921	\$ 522,322	144	\$ (47,737)	---	\$ -	144	\$ (47,737)
Net, Enacted Appropriations and Budget Estimates	5,265	\$ 611,274	4,777	\$ 570,059	4,921	\$ 522,322	144	\$ (47,737)	---	\$ -	144	\$ (47,737)

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

* FY 2008 and FY 2009 values reflect updated collections and estimates

III. Current Services Program Description by PPA

Department of Homeland Security
U.S. Customs and Border Protection
Immigration Inspection User Fees
Program Performance Justification
 (Dollars in thousands)

PPA: Immigration User Fees

	Perm Pos	FTE	Amount
2008 Actual	5,265	5,265	611,274
2009 President's Budget	4,777	4,777	570,059
2010 Adjustment's-to-Base	144	144	(47,737)
2010 Current Services	4,921	4,921	522,322
2010 Program Changes
2010 Request	4,921	4,921	522,322
Total Change 2009-2010	144	144	(47,737)

- FY 2008 and FY 2009 values reflect updated collections and estimates
- The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

As established by a Memorandum of Understanding (MOU) signed by CBP and ICE in 2004, the formula for the disbursement of IUF Collections between the two agencies is set at 82.63% for CBP and 17.37% for ICE

In FY 2010, CBP expects a decrease of \$47.7 million in IUF collections from the FY 2009 projections. Several factors contribute to lowered expectations: \$46.4 million were received in FY 2007 but were accounted for in FY 2008, (CBP received \$38.2 million or 82.63% share) resulting in inflated FY 2008 collections. Further, when FY 2009 projections were made it was anticipated that the Federal Aviation Authority's (FAA) projections of 4.8% growth in air passenger volumes would allow collections to reflect a similar increased rate of growth in FY 2009. However, the effect of economic contractions, including a global economic recession, falling GDP in the US, increasing consumer pessimism, volatile fuel costs and fluctuations in exchange rates, is expected to dampen both business and personal travel through FY 2009. The International Air Transport Association (IATA) has projected significant decreases in air passenger traffic due to the recession. In FY 2010 forecasts predict a marginal increase of only 0.8% in air passenger traffic. CBP applied this same rate to the previously downwardly revised FY 2009 projections to estimate the collections in FY 2010.

CURRENT SERVICES PROGRAM DESCRIPTION:

As established in a Memorandum of Agreement between CBP and ICE, funds from the Immigration Inspection User Fee account are used by CBP (82.63%) and ICE (17.37%) to recover the costs of immigration inspection services and detention and removal of inadmissible aliens. At air and sea ports of entry specifically, the fees cover the costs of immigration personnel, the maintenance and updating of systems to track criminal and illegal aliens in areas with high apprehensions, and the repair and maintenance of equipment.

IV. Program Justification of Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not Applicable

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
U.S. Customs and Border Protection
CBP Immigration User Fees
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual	5,265	5,265	\$ 611,274
2009 Enacted	4,777	4,777	570,059
Adjustments-to-Base			
Increases/Decreases			
Technical adjustments.....			
Total Increases.....	144	144	---
Total Decreases.....	---	---	(47,737)
Total Adjustments-to-Base.....	144	144	(47,737)
2010 Current Services.....	4,921	4,921	522,322
2010 Request.....	4,921	4,921	\$ 522,322
2009 to 2010 Total Change.....	144	144	\$ (47,737)

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

* FY 2008 and FY 2009 values reflect updated collections and estimates

C. Summary of Requirements

Department of Homeland Security
U.S. Customs and Border Protection
CBP Immigration User Fees
 Summary of Requirements
 (Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	5,265	5,265	\$ 611,274
2009 Enacted	4,777	4,777	\$ 570,059
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Increases	144	144	\$ -
Decreases	---	---	\$ (47,737)
Total Adjustments-to-Base	144	144	\$ (47,737)
2010 Current Services	4,921	4,921	\$ 522,322
2010 Total Request	4,921	4,921	\$ 522,322
2009 to 2010 Total Change	144	144	\$ (47,737)

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
CBP Inspection User Fees	4,777	4,777	\$ 570,059	144	144	\$ (47,737)	---	---	\$ ---	4,921	4,921	\$ 522,322	144	144	\$ (47,737)
Total	4,777	4,777	\$ 570,059	144	144	\$ (47,737)	---	---	\$ ---	4,921	4,921	\$ 522,322	144	144	\$ (47,737)

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

* FY 2008 and FY 2009 values reflect updated collections and estimates

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Customs and Border Protection
CBP Immigration User Fees
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes		2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1	Total FTE & personnel compensation	\$ 326,475	\$309,463	\$ 315,580	\$ 6,117
11.5	Other Personnel Compensation	95,508	89,068	90,695	\$ 1,627
12.1	Benefits	111,551	109,030	111,487	\$ 2,457
	Total, Personnel Comp. & Benefits	\$ 533,534	\$ 507,561	\$ 517,762	\$ 10,201
Other Object Classes:					
21.0	Travel	1,305	1,217	90	(1,127)
23.1	GSA rent	10,046	4,369	290	(4,079)
24.0	Printing and reproduction	982	916	68	(848)
25.2	Other services	55,432	46,695	3,424	(43,271)
26.0	Supplies and materials	2,028	1,891	140	(1,751)
31.0	Equipment	7,947	7,411	549	(6,862)
	Total, Other Object Classes	\$ 77,740	\$ 62,497	\$ 4,560	\$ (57,938)
	Total, Direct Obligations	\$ 611,274	\$ 570,059	\$ 522,322	\$ (47,737)
	Total requirements	\$ 611,274	\$ 570,059	\$ 522,322	\$ (47,737)

* FY 2008 and FY 2009 values reflect updated collections and estimates

Note: Represents a realignment of funds from non-pay to pay categories to cover salary and benefit costs.

F. Permanent Positions by Grade

Activities funded by Immigration User Fees are performed by U.S. Customs and Border Protection Officers as part of their normal duties.

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justification

Department of Homeland Security U.S. Customs and Border Protection CBP Immigration User Fees

Funding Schedule

(Dollars in Thousands)

PPA: CBP Inspection User Fees		FY 2008 Actual	FY 09 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Object Classes:					
11.1	Perm Positions	\$ 326,475	\$ 309,463	\$ 315,580	\$ 6,117
11.5	Other per comp	95,508	89,068	90,695	1,627
12.1	Benefits	111,551	109,030	111,487	2,457
21.0	Travel	1,305	1,217	90	(1,127)
23.1	GSA rent	10,046	4,369	290	(4,079)
24.0	Printing	982	916	68	(848)
25.2	Other Services	55,432	46,695	3,424	(43,271)
26.0	Supplies & materials	2,028	1,891	140	(1,751)
31.0	Equipment	7,947	7,411	549	(6,862)
Total, CBP Inspection User Fees		\$ 611,274	\$ 570,059	\$ 522,322	\$ (47,737)
Full Time Equivalents		5,265	4,777	4,921	144

* All FY 2009 to FY 2010 changes reflect a technical adjustment due to the increased collection in fees

PPA Mission Statement

The Department of Justice Appropriation Act of 1987 (P.L. 99-591) authorized the collection of user fees for processing commercial air and sea passengers. This law codified as 8 U.S.C. 1356(h) established the two fees to generate revenues that would reimburse "the appropriation for expenses incurred by the Attorney General in providing immigration inspection and pre-inspection services for commercial aircraft or vessels."

	FY 2008 Actual	FY 09 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Salaries and Benefits	\$533,534	\$507,561	\$517,762	\$10,200

Salaries and Benefits include costs for 4,921 FTE.

	FY 2008 Actual	FY 09 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Travel	\$1,305	\$1,217	\$90	(\$1,127)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal Travel regulations.

	FY 2008 Actual	FY 09 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
GSA rent	\$10,046	\$4,369	\$290	(\$4,079)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and related services.

	FY 2008 Actual	FY 09 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Printing	\$982	\$916	\$68	(\$848)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	FY 2008 Actual	FY 09 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Other Services	\$55,432	\$46,695	\$3,424	(\$43,271)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2008 Actual	FY 09 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Supplies & materials	\$2,028	\$1,891	\$140	(\$1,751)

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

	FY 2008 Actual	FY 09 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Equipment	\$7,947	\$7,411	\$549	(\$6,862)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

I. Changes in FTE

Not Applicable

J. FY 2010 Schedule of Working Capital Fund by PPA

Not Applicable

Department of Homeland Security

U.S. Customs and Border Protection
Immigration Enforcement Fines



Fiscal Year 2010
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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. Customs and Border Protection Immigration Enforcement Fines

I. Appropriation Overview

A. Mission Statement for Immigration Enforcement Fines:

Section 382 of the Illegal Immigration Reform and Immigrant Responsibility Act (IIRIRA) of 1996 created the Immigration Enforcement Account (IEA). In addition to creating this account, IIRIRA also added new types of fines, such as those fines levied against aliens for failure to depart the United States after being so ordered.

The authorized uses of this fund consist of the identification, investigation, apprehension, detention and removal of criminal aliens; the maintenance and updating of systems to track criminal and illegal aliens on the border in areas with high apprehensions to deter illegal entry; and the repair, maintenance, and construction of border facilities.

B. Budget Activities:

Not applicable.

C. Budget Request Summary

Based on previous year collections, FY 2010's Immigration Enforcement Fines collections are estimated at \$2,109,000, a decrease of \$1,222,000 over FY 2009 estimates.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U.S. Customs and Border Protection
Immigration Enforcement fines**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Immigration Enforcement Fines	22	\$2,289	23	\$3,331	23	\$2,109	---	(\$1,222)	---	\$ -	---	(\$1,222)
Subtotal, Enacted Appropriations and Budget Estimates	22	\$2,289	23	\$3,331	23	\$2,109	---	(\$1,222)	---	\$ -	---	(\$1,222)

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

III. Current Services Program Description by PPA

Department of Homeland Security
U.S. Customs and Border Protection
Immigration Enforcement Fines
Program Performance Justification
(Dollars in thousands)

PPA: Immigration Enforcement Fines

	Perm Pos	FTE	Amount
2008 Actual	22	22	2,289
2009 Enacted	23	23	3,331
2010 Adjustments-to-Base	(1,222)
2010 Current Services	23	23	2,109
2010 Program Changes
2010 Request	23	23	2,109
Total Change 2009-2010	(1,222)

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

Due to an anticipated decrease in air passengers arriving to the United States from foreign locations in FY 2009 and a projected marginal increase in FY 2010, collections in Enforcement Fines are projected to decrease by \$1,222 in FY 2010 from the enacted FY 2009 levels.

CURRENT SERVICES PROGRAM DESCRIPTION:

These funds will be used for the identification, investigation, apprehension, detention and removal of criminal aliens; the maintenance and updating of systems to track criminal and illegal aliens at air and sea ports of entry in areas with high apprehensions to deter illegal entry; and the repair, maintenance, and construction of border facilities.

IV. Program Justification of Changes

Not applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not applicable

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
U.S. Customs and Border Protection
Immigration Enforcement Fines
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual	22	22	\$2,289
2009 Enacted	23	23	3,331
Adjustments-to-Base			
Increases/Decreases			
Technical adjustments	---	---	(1,222)
Total Adjustments-to-Base	---	---	(1,222)
2010 Current Services	23	23	2,109
2010 Request	23	23	2,109
2009 to 2010 Total Change	---	---	(1,222)

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

C. Summary of Requirements

**Department of Homeland Security
U.S. Customs and Border Protection
Immigration Enforcement Fines
Summary of Requirements
(Dollars in Thousands)**

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	22	22	\$ 2,289
2009 Enacted	23	23	\$ 3,331
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Decreases	---	---	\$ (1,222)
Total Adjustments-to-Base	---	---	\$ (1,222)
2010 Current Services	23	23	\$ 2,109
2010 Total Request	23	23	\$ 2,109
2009 to 2010 Total Change	---	---	\$ (1,222)

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Immigration Enforcement Fines	23	23	\$ 3,331	---	---	\$ (1,222)	---	---	\$ ---	23	23	\$ 2,109	---	---	\$ (1,222)
Total	23	23	\$ 3,331	---	---	\$ (1,222)	---	---	\$ ---	23	23	\$ 2,109	---	---	\$ (1,222)

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

D. Summary of Reimbursable Resources

Not applicable.

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Customs and Border Protection
Immigration Enforcement Fines
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$1,208	\$2,667	\$1,113	(\$1,554)
11.5 Other Personnel Compensation	357	199	329	130
12.1 Benefits	724	465	667	202
Total, Personnel Comp. & Benefits	\$2,289	\$3,331	\$2,109	(\$1,222)
Other Object Classes:				
Total, Other Object Classes	\$0	\$0	\$0	\$0
Total, Direct Obligations	\$2,289	\$3,331	\$2,109	(\$1,222)
Total requirements	\$2,289	\$3,331	\$2,109	(\$1,222)

F. Permanent Positions by Grade

Activities funded by the Immigration Enforcement Fines are performed by U.S. Customs and Border Protection Officers as part of their normal duties.

G. Capital Investment and Construction Initiative Listing

Not applicable

H. PPA Budget Justification

Department of Homeland Security U.S. Customs and Border Protection Immigration Enforcement Fines

Funding Schedule (Dollars in Thousands)

		FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
PPA: Immigration Enforcement Fines					
Object Classes:					
11.1	Perm Positions	\$1,208	\$2,667	\$1,113	(\$1,554)
11.5	Other per comp	\$357	199	329	130
12.1	Benefits	\$724	465	667	202
Total, Immigration Enforcement Fines		\$2,289	\$3,331	\$2,109	(\$1,222)
Full Time Equivalents		22	23	23	---

* All FY 2009 to FY 2010 changes reflect a technical adjustment due to the increased collection in fees

PPA Mission Statement

The Immigration Enforcement account was established under Section 382 of the Illegal Immigration Reform and Immigrant Responsibility Act (IIRIRA) of 1996. Previously, similar fines were collected and deposited into the Immigration User Fee account. In addition to creating this account, IIRIRA also added new types of fines, such as those fines levied against aliens for failure to depart the United States after being so ordered.

The authorized uses of this fund consist of: the identification, investigation, apprehension, detention and removal of criminal aliens; the maintenance and updating of systems to track criminal and illegal aliens on the border in areas with high apprehensions to deter illegal entry; and the repair, maintenance, and construction of border facilities.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Salaries and Benefits	\$2,289	\$3,331	\$2,109	(\$1,222)

Salaries and Benefits include costs for 23 FTE.

I. Changes in FTE

Not Applicable

J. FY 2010 Schedule of Working Capital Fund by PPA

Not Applicable

Department of Homeland Security

U.S. Customs and Border Protection
Land Border Inspection Fee



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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. Customs and Border Protection Land Border Inspection Fee

I. Appropriation Overview

A. Mission Statement for Land Border Inspection Fee:

The Department of Justice Appropriation Act of 1990 (P.L. 101-515), as codified as 8 U.S.C. 1356(q), authorizes the fees to recover costs incurred in the following categories involving the operation of various pilot programs:

- Overtime inspection services;
- Expansion, operation and maintenance of information technology systems for non-immigrant control;
- The hiring of temporary and permanent inspectors;
- Minor construction costs associated with the addition of new traffic lanes;
- Detection of fraudulent travel documents; and
- Administrative expenses of account.

The following fees are deposited into the Land Border Inspection Fee account:

- Dedicated Commuter Lane additional vehicle (DCL)
- Arrival/Departure Land Border (I-94)
- Non-Immigrant Visa Waiver (I-94W)
- Canadian Boat Landing Permit Individual (I-68)
- Canadian Boat Landing Permit Family (I-68)
- Replacement of Papers for Non-resident Mexican Crossing (I-190)
- NEXUS
- SENTRI (Secure Electronic Network for Travelers Rapid Inspection)
- Fast (Free and Secure Trade Program) Driver Application Fee

B. Budget Activities:

Not applicable.

C. Budget Request Summary

Collections for Land Border Inspection Fee in FY 2010 are estimated at \$33,810,000 and will support 287 positions. An increase of \$6,930,000 over the enacted FY 2009 collections is based on higher than expected growth in revenues in FY 2008. However, it is unclear how the current global recession will impact collections in FY 2010.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U.S. Customs and Border Protection
Land Border Inspection Fee**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Land Border Inspection Fee	294	\$30,446	287	\$26,880	287	\$33,810	---	\$6,930	---	\$-	---	\$6,930
Subtotal, Enacted Appropriations and Budget Estimates	294	\$30,446	287	\$26,880	287	\$33,810	---	\$6,930	---	\$-	---	\$6,930

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

III. Current Services Program Description by PPA

Department of Homeland Security
U.S. Customs and Border Protection
Land Border Inspection Fee
Program Performance Justification
(Dollars in thousands)

PPA: Land Border Inspection Fee

	Perm		
	Pos	FTE	Amount
2008 Actual	294	294	30,446
2009 Enacted	287	287	26,880
2010 Adjustments-to-Base	6,930
2010 Current Services	287	287	33,810
2010 Program Changes
2010 Request	287	287	33,810
Total Change 2009-2010	6,930

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

CBP anticipates an increase of \$ 6,930,000 in Land Border Inspection Fees in FY 2010 as compared to the FY 2009 enacted levels.

CURRENT SERVICES PROGRAM DESCRIPTION

As authorized by law, Land Border Inspection Fees are used to recover part of CBP's costs of immigration inspections at land border ports of entry. This includes inspections of pedestrians, buses, passenger occupancy vehicles, and rail cars. It also includes antiterrorism efforts, dedicated lane programs, and forms processing.

IV. Program Justification of Changes

Not applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not applicable

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
U.S. Customs and Border Protection
Land Border Inspection Fee
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual	294	294	\$30,446
2009 Enacted	287	287	26,880
Adjustments-to-Base			
Technical Adjustments	---	---	6,930
Total Adjustments-to-Base	---	---	6,930
2010 Current Services	287	287	33,810
2010 Request	287	287	33,810
2009 to 2010 Total Change	---	---	6,930

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

C. Summary of Requirements

Department of Homeland Security
U.S. Customs and Border Protection
Land Border Inspection Fee
 Summary of Requirements
 (Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	294	294	\$ 30,446
2009 President's Budget	287	287	\$ 26,880
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Increases	---	---	\$ 6,930
Total Adjustments-to-Base	---	---	\$ 6,930
2010 Current Services	287	287	\$ 33,810
2010 Total Request	287	287	\$ 33,810
2009 to 2010 Total Change	---	---	\$ 6,930

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Land Border Inspection Fee	287	287	\$ 26,880	---	---	\$ 6,930	---	---	\$ -	287	287	\$ 33,810	---	---	\$ 6,930
Total	287	287	\$ 26,880	---	---	\$ 6,930	---	---	\$ -	287	287	\$ 33,810	---	---	\$ 6,930

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

D. Summary of Reimbursable Resources

Not applicable.

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Customs and Border Protection
Land Border Inspection Fee
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
11.1 Total FTE & personnel compensation	\$17,210	\$15,194	\$19,112	\$3,918
11.6 Other Personnel Compensation	7,424	6,554	8,244	\$1,690
12.1 Benefits	5,489	4,846	6,095	\$1,249
Total, Personnel Comp. & Benefits	\$30,123	\$26,595	\$33,451	\$6,857
Other Object Classes:				
25.2 Other services	323	285	359	74
31.0 Equipment	---	---	---	---
Total, Other Object Classes	\$323	\$285	\$359	\$74
Total, Direct Obligations	\$30,446	\$26,880	\$33,810	\$6,931
Total requirements	\$30,446	\$26,880	\$33,810	\$6,930

F. Permanent Positions by Grade

Activities funded by the Land Border Inspection Fee are performed by U.S. Customs and Border Protection Officers as part of their normal duties.

G. Capital Investment and Construction Initiative Listing

Not applicable

H. PPA Budget Justification

**Department of Homeland Security
U.S. Customs and Border Protection
Land Border Inspection Fee
Funding Schedule
(Dollars in Thousands)**

PPA: Land Border Inspection Fee		FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Object Classes:					
11.1	Full time Perm Positions	\$17,210	\$15,194	\$19,112	\$3,918
11.6	Other per comp	7,424	6,554	8,244	1,690
12.1	Benefits	5,489	4,846	6,095	1,249
25.2	Other Services	323	285	359	74
31.0	Equipment	---	---	---	---
Total, Land Border Inspection Fees		\$30,446	\$26,880	\$33,810	\$6,930
Full Time Equivalents		294	287	287	---

* All FY 2009 to FY 2010 changes reflect a technical adjustment due to the increased collection in fees

PPA Mission Statement

The Department of Justice Appropriation Act of 1990 (P.L. 101-515), as codified as 8 U.S.C. 1356(q), authorizes the fees to recover costs incurred in the following categories involving the operation of various pilot programs:

- Overtime inspection services;
- Expansion, operation and maintenance of information technology systems for nonimmigrant control;
- The hiring of temporary and permanent inspectors;
- Minor construction costs associated with the addition of new traffic lanes;
- Detection of fraudulent travel documents; and
- Administrative expenses of account.

Summary and Justification of Explanation changes

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Salaries and Benefits	\$30,123	\$26,595	\$33,451	\$6,857

Salaries and Benefits include costs for 287 FTEs.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Other Services	\$323	\$285	\$359	\$74

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Equipment	\$0	\$0	\$0	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

I. Changes in FTE

Not applicable

J. FY 2010 Schedule of Working Capital Fund by PPA

Not Applicable

Department of Homeland Security

U.S. Customs and Border Protection

APHIS User Fees



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. Customs and Border Protection APHIS User Fees

I. Appropriation Overview

A. Mission Statement for APHIS User Fees:

Section 2509 of the Food, Agriculture, Conservation and Trade Act of 1990 (P.L. 101-624) authorized USDA to collect user fees for various services. The law codified as 21 U.S.C. 136a authorized the Secretary of Agriculture to prescribe and collect fees to recover the costs of providing Agriculture Quarantine and Inspection (AQI) services for international arrivals of passengers, conveyances, animals, plants and agricultural goods at Ports of Entry. This authority establishes fees on five modes of international passenger transportation: (i) commercial aircraft, (ii) sea going vessels, (iii) trucks with single entry, (iv) trucks operating under a multiple entry decal, and (v) loaded rail cars. The revenues from these fees are used to reimburse the full costs incurred in providing the inspectional activities associated with AQI user fees.

B. Budget Activities:

Not Applicable

C. Budget Request Summary

Collections for APHIS Fees in FY 2010 are estimated at \$325,276,000 (reflecting CBP's 60% share of total APHIS related collections) to fund 2,332 FTE positions. The total adjustments-to-base is a decrease of \$8,157,000.

While APHIS fees are generated in multiple environments, Air, Land and Sea, there is relatively little data to reassess collections generated by these environments, due to the fact that CBP is not the lead agency and simply receives its allocated share from the USDA. To estimate collections in FY 2010 and extrapolating from the economic climate and its overall effect on the bases of fee generation, CBP has conservatively applied a 0.8% rate of growth to the most recent and previously downwardly revised FY 2009 projections. The FY 2010 estimate reflects a 2.4% decrease from the FY 2009 enacted numbers.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U.S. Customs and Border Protection**

APHIS User Fees

Summary of FY 2010 Budget Estimates by Program/Project/Activity

(Dollars in Thousands)

Budget Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
APHIS User Fees	2,468	\$317,011	2,332	\$333,433	2,332	\$ 325,276	---	(\$8,157)	---	\$ -	---	(\$8,157)
Net, Enacted Appropriations and Budget Estimates	2,468	\$317,011	2,332	\$333,433	2,332	\$ 325,276	---	(\$8,157)	---	\$ -	---	(\$8,157)

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

III. Current Services Program Description by PPA

Department of Homeland Security
U.S. Customs and Border Protection
APHIS User Fees
Program Performance Justification
 (Dollars in thousands)

PPA: APHIS User Fees

	Perm. Pos	FTE	Amount
2008 Actual	2,468	2,468	317,011
2009 President's Budget	2,332	2,332	333,433
2010 Adjustments-to-Base	(8,157)
2010 Current Services	2,332	2,332	325,276
2010 Program Changes
2010 Request	2,332	2,332	325,276
Total Change 2009- 2010	(8,157)

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

When FY 2009 projections were made it was anticipated that the Federal Aviation Authority's (FAA) projections of 4.8% growth in air passenger volumes coupled with CBP estimates based on historical trends and patterns, would allow for a similar increased rate of growth for fee revenues in FY 2009. However, the effect of economic contractions, including a global economic recession, falling GDP in the US, increasing consumer pessimism, volatile fuel costs and currency exchange rate fluctuations, requires reassessment to reflect a reduction in international air travel in FY 2009.

For FY 2010, data from CBP internal systems as well as International Air Transport Association (IATA) statements forecast a marginal increase of only 0.8% in air passenger traffic. While APHIS fees are generated in multiple environments, Air, Land and Sea, there is relatively little scope to reassess collections generated by these environments, in part because CBP receives its share from the lead agency – USDA. Consequently, CBP has applied a 0.8% rate of growth to the previously, downwardly revised FY 2009 projections in order to estimate collections in FY 2010. The FY 2010 estimate reflects a 2.4% decrease from the FY 2009 enacted numbers.

CURRENT SERVICES PROGRAM DESCRIPTION:

These funds will be used for international air passenger, commercial aircraft clearance, commercial vessel, commercial truck (per crossing and annual decal) and loaded rail car inspectional activities associated with the APHIS user fees.

IV. Program Justification of Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not Applicable

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
U.S. Customs and Border Protection
APHIS User Fees
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual	2,468	2,468	\$ 317,011
2009 Enacted	2,332	2,332	333,433
Adjustments-to-Base			
Increases/Decreases			
Technical adjustments.....	---	---	(8,157)
Total Increases/Decreases.....	---	---	(8,157)
Total Adjustments-to-Base	---	---	(8,157)
2010 Current Services	2,332	2,332	325,276
2010 Request	2,332	2,332	325,276
2009 to 2010 Total Change	---	---	\$ (8,157)

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

C. Summary of Requirements

Department of Homeland Security
U.S. Customs and Border Protection
APHIS User Fees
 Summary of Requirements
 (Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	2,468	2,468	\$ 317,011
2009 Enacted	2,332	2,332	\$ 333,433
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Decreases	---	---	\$ (8,157)
Total Adjustments-to-Base	---	---	\$ (8,157)
2010 Current Services	2,332	2,332	\$ 325,276
2010 Total Request	2,332	2,332	\$ 325,276
2009 to 2010 Total Change	---	---	\$ (8,157)

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
APHIS User Fees	2,332	2,332	\$ 333,433	---	---	\$ (8,157)	---	---	\$ -	2,332	2,332	\$ 325,276	---	---	\$ (8,157)
Total	2,332	2,332	\$ 333,433	---	---	\$ (8,157)	---	---	\$ -	2,332	2,332	\$ 325,276	---	---	\$ (8,157)

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Customs and Border Protection
APHIS User Fees
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes		2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1	Total FTE & personnel compensation	\$176,599	\$185,747	\$196,247	\$10,500
11.3	Other than full-time permanent	37	\$39	\$41	\$2
11.5	Other Personnel Compensation	36,968	\$38,883	\$41,081	\$2,198
12.1	Benefits	57,927	\$60,928	\$64,372	\$3,444
	Total, Personnel Comp. & Benefits	\$271,531	\$285,597	\$301,741	\$16,144
Other Object Classes:					
21.0	Travel	1,973	\$2,075	1,021	(1,054)
22.0	Transportation of things	5	\$5	3	(2)
23.1	GSA rent	12,920	\$13,589	6,686	(6,903)
23.2	Other rent	4	\$4	2	(2)
23.3	Communications, utilities, & other misc. charges	1,384	\$1,456	716	(740)
25.2	Other services	16,456	\$17,308	8,516	(8,792)
26.0	Supplies and materials	1,671	\$1,758	865	(893)
31.0	Equipment	11,067	\$11,640	5,727	(5,913)
Total, Other Object Classes		\$45,480	\$47,836	\$23,535	(\$24,300)
Total, Direct Obligations		\$317,011	\$333,433	\$325,276	(\$8,156)
Total requirements		\$317,011	\$333,433	\$325,276	(\$8,157)

Note: Represents a realignment of funds from non-pay to pay categories to cover salary and benefit costs.

F. Permanent Positions by Grade

Activities funded by APHIS User Fees are performed by U.S. Customs and Border Protection Agriculture Specialists/Officers as part of their normal duties.

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justification

Department of Homeland Security U.S. Customs and Border Protection

APHIS User Fees

Funding Schedule

(Dollars in Thousands)

PPA: APHIS User Fees		FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Object Classes:					
11.1	Perm Positions	\$ 176,599	\$ 185,747	\$ 196,247	\$10,500
11.3	Other than perm	37	39	41	2
11.5	Other per comp	36,968	38,883	41,081	2,198
12.1	Benefits	57,927	60,928	64,372	3,444
21.0	Travel	1,973	2,075	1,021	(1,054)
22.0	Transportation of things	5	5	3	(2)
23.1	GSA rent	12,920	13,589	6,686	(6,903)
23.2	Other rent	4	4	2	(2)
23.3	Communication, Sterilities, and misc charges	1,384	1,456	716	(740)
25.2	Other Services	16,456	17,308	8,516	(8,793)
26.0	Supplies & materials	1,671	1,758	865	(893)
31.0	Equipment	11,067	11,640	5,727	(5,913)
Total, APHIS User Fees		\$ 317,011	\$ 333,433	\$ 325,276	\$ (8,157)
Full Time Equivalents		2,468	2,332	2,332	---

* All FY 2009 to FY 2010 changes reflect a technical adjustment due to the increased collection in fees

PPA Mission Statement

Section 2509 of the Food, Agriculture, Conservation and Trade Act of 1990 (P.L. 101-624) authorized USDA to collect user fees for various services. The law codified as 21 U.S.C. 136 established seven types of Plant Protection and Quarantine (PPQ) user fees, six of which are the Agriculture Quarantine and Inspection (AQI) fees, known to CBP as the APHIS user fees. The six established processing fees are for international air passengers, commercial aircraft clearance, commercial vessels, commercial trucks, commercial truck decals, and loaded rail cars. The revenues from these fees are used to reimburse the full costs incurred in providing the inspectional activities associated with the passengers and conveyances that are subject to the fees.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Salaries and Benefits	\$271,531	\$285,597	\$301,741	\$16,145

Salaries and Benefits include costs for 2332 FTE.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Travel	\$1,973	\$2,075	\$1,021	(\$1,054)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal Travel regulations.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Transportation of Things	\$5	\$5	\$3	(\$2)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incidental to the transportation of things.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
GSA rent	\$12,920	\$13,589	\$6,686	(\$6,903)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and related services.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Other Rent	\$4	\$4	\$2	(\$2)

Payments to a non-Federal source for rental of space, land, and structures.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Communication, Utilities, and miscellaneous charge	\$1,384	\$1,456	\$716	(\$740)

Communication, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Other Services	\$16,456	\$17,308	\$8,516	(\$8,793)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Supplies & materials	\$1,671	\$1,758	\$865	(\$892)

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

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Equipment	\$11,067	\$11,640	\$5,727	(\$5,913)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

I. Changes in FTE

Not Applicable

J. FY 2010 Schedule of Working Capital Fund by PPA

Not Applicable

**Department of
Homeland Security**
U.S. Customs and Border Protection
Puerto Rico Trust Fund



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Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. Customs and Border Protection Puerto Rico Trust Fund

I. Appropriation Overview

A. Mission Statement for Puerto Rico Trust Fund:

Title 48 U.S.C. 740 authorizes the collection of duties, user fees and taxes in Puerto Rico and the creation of the Puerto Rico Trust Fund. Collections in Puerto Rico, less the costs of providing inspection and law enforcement services in the Island, are paid into the treasury of Puerto Rico, to be expended as required by law for the Government of Puerto Rico and the benefit thereof. These collections are intended to fund the enforcement of U.S. Customs laws and collections of taxes and revenues, and to combat criminal elements that have focused on Puerto Rico as a gateway to illegally introduce narcotics into the mainland of the United States.

B. Budget Activities:

Not applicable.

C. Budget Request Summary

Based on collection trends and the severe recession the Puerto Rican economy is facing, CBP projects a 5.1% percent decrease in collections from the enacted FY 2009 levels. Collections of duties, user fees, and taxes in Puerto Rico in FY 2010 are estimated at \$91.8 million.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U.S. Customs and Border Protection
Puerto Rico Trust Fund**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Puerto Rico Trust Fund	606	\$113,403	529	\$96,719	529	\$91,784	---	(\$4,935)	---	-	---	(\$4,935)
Subtotal, Enacted Appropriations and Budget Estimates	606	\$113,403	529	\$96,719	529	\$91,784	---	(\$4,935)	---	-	---	(\$4,935)

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

III. Current Services Program Description by PPA

Department of Homeland Security
U.S. Customs and Border Protection
Puerto Rico Trust Fund
Program Performance Justification
(Dollars in thousands)

PPA: Puerto Rico Trust Fund

	Perm		
	Pos	FTE	Amount
2008 Actual	606	606	113,403
2009 Enacted	529	529	96,719
2010 Adjustments-to-Base	(4,935)
2010 Current Services	529	529	91,784
2010 Program Change
2010 Request	529	529	91,784
Total Change 2009-2010	(4,935)

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

A decrease of \$4,935,000 from FY 2010 Request is anticipated, due to observed collection trends and the economic recession Puerto Rico is currently facing.

CURRENT SERVICES PROGRAM DESCRIPTION

CBP and U.S. Immigration and Customs Enforcement (ICE) have entered into a Memorandum of Agreement with the government of Puerto Rico to provide customs inspection and enforcement services in Puerto Rico. Collections in the Puerto Rico Trust Fund are used to fully reimburse CBP and ICE's costs incurred in Puerto Rico, excluding services covered by other inspection user fees.

IV. Program Justification of Changes

Not applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not applicable

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
U.S. Customs and Border Protection
Puerto Rico Trust Fund
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual	606	606	\$ 113,403
2009 Enacted	529	529	\$ 96,719
Adjustments-to-Base			
Decreases			
Technical adjustments	---	---	\$ (4,935)
Total Adjustments-to-Base	---	---	\$ (4,935)
2010 Current Services	529	529	\$ 91,784
2010 Request	529	529	\$ 91,784
2009 to 2010 Total Change	---	---	\$ (4,935)

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

C. Summary of Requirements

Department of Homeland Security
U.S. Customs and Border Protection
Puerto Rico Trust Fund
 Summary of Requirements
 (Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	606	606	\$ 113,403
2009 Enacted	529	529	\$ 96,719
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Decreases	---	---	\$ (4,935)
Total Adjustments-to-Base	---	---	\$ (4,935)
2010 Current Services	529	529	\$ 91,784
2010 Total Request	529	529	\$ 91,784
2009 to 2010 Total Change	---	---	\$ (4,935)

Estimates by Program/Project Activity	2009 President's Budget			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Puerto Rico Trust Fund	529	529	\$ 96,719	---	---	\$ (4,935)	---	---	\$ -	529	529	\$ 91,784	---	---	\$ (4,935)
Total	529	529	\$ 96,719	---	---	\$ (4,935)	---	---	\$ -	529	529	\$ 91,784	---	---	\$ (4,935)

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

D. Summary of Reimbursable Resources

Not applicable.

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Customs and Border Protection
Puerto Rico Trust Fund
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$27,696	\$21,177	\$20,096	(\$1,081)
11.3 Other than full-time permanent	522	409	388	(\$21)
11.5 Other Personnel Compensation	7,947	2,473	2,347	(\$126)
12.1 Benefits	12,500	11,522	10,934	(\$588)
Total, Personnel Comp. & Benefits	\$48,665	\$35,581	\$33,765	(\$1,816)
Other Object Classes:				
21.0 Travel	779	751	713	(38)
22.0 Transportation of things	87	172	163	(9)
23.1 GSA rent	181	250	237	(13)
23.2 Other rent	102	64	61	(3)
23.3 Communications, utilities, & other misc. charges	3,043	2,111	2,003	(108)
25.1 Advisory and assistance services	2	---	---	---
25.2 Other services	8,882	49,574	47,045	(2,529)
25.3 Purchases of goods & svcs. from Gov't accounts	31,902	---	---	---
25.4 Operation & maintenance of facilities	1,144	---	---	---
25.7 Operation and maintenance of equipment	2,800	---	---	---
26.0 Supplies and materials	1,806	908	862	(46)
31.0 Equipment	1,921	1,185	1,125	(60)
41.0 Grants/Subsidies/Contributions	12,089	---	---	---
44.0 Refunds	---	6,123	5,811	(312)
Total, Other Object Classes	\$64,738	\$61,138	58,019	(3,118)
Total, Direct Obligations	\$113,403	\$96,719	\$91,784	(\$4,934)
Total requirements	\$113,403	\$96,719	\$91,784	(\$4,935)

F: Permanent Positions By Grade

**Department of Homeland Security
U.S. Customs and Border Protection
Puerto Rico Trust Fund
Permanent Positions by Grade**

Grades and Salary Ranges	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
	Pos.	Pos.	Pos.	Total
GS-15	3	2	2	---
GS-14	9	8	8	---
GS-13	33	26	26	---
GS-12	62	59	59	---
GS-11	384	337	337	---
GS-9	28	25	25	---
GS-7	46	50	50	---
GS-6	2	1	1	---
GS-5	27	15	15	---
GS-4	3	4	4	---
GS-3	4	2	2	---
GS-2	5	0	0	---
Total Permanent Positions	606	529	529	---
Unfilled Positions EOY	---	---	---	---
Total Perm. Employment EOY	606	529	529	---
FTE	606	529	529	---
Foreign Field	606	529	529	---
Total Permanent Positions	606	529	529	---
Average GS Salary	\$ 53,671	\$ 55,335	\$ 57,106	\$ 1,771
Average GS Grade	10.43	10.33	10.33	---

G. Capital Investment and Construction Initiative Listing

Not applicable

H. PPA Budget Justification

**Department of Homeland Security
U.S. Customs and Border Protection
Puerto Rico Trust Fund
Funding Schedule
(Dollars in Thousands)**

PPA: Puerto Rico Trust Fund		FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Object Classes:					
11.1	Perm Positions	\$27,696	\$21,177	\$20,096	(\$1,081)
11.3	Other than perm	522	409	388	(21)
11.5	Other per comp	7,947	2,473	2,347	(126)
12.1	Benefits	12,500	11,522	10,934	(588)
21.0	Travel	779	751	713	(38)
22.0	Transportation of things	87	172	163	(9)
23.1	GSA rent	181	250	237	(13)
23.2	Other rent	102	64	61	(3)
23.3	Communication, Utilities, and misc charges	3,043	2,111	2,003	(108)
25.1	Advisory & Assistance Services	2	---	---	---
25.2	Other Services	8,882	49,574	47,045	(2,529)
25.3	Purchase from Govt. Accts.	31,902	---	---	---
25.4	Operation & maintenance of facilities	1,144	---	---	---
25.7	Operation & maintenance of equipment	2,800	---	---	---
26.0	Supplies & materials	1,806	908	862	(46)
31.0	Equipment	1,921	1,185	1,125	(60)
41.0	Grants/Subsidies/Contributions	12,089	---	---	---
44.0	Refunds	---	6,123	5,811	(312)
Total, Puerto Rico Trust Fund		\$113,403	\$96,719	\$91,784	(\$4,935)
Full Time Equivalents		606	529	529	---

* All FY 2009 to FY 2010 changes reflect a technical adjustment due to the decreased collection in fees

PPA Mission Statement

The duties and taxes related to the Puerto Rico Trust Fund are authorized under Title 48 U.S.C. 740. The duties and taxes collected in Puerto Rico, less the costs of providing inspection and law enforcement services, are paid into the treasury of Puerto Rico, to be expended as required by law for the Government of Puerto Rico and the benefit thereof. These funds are intended to combat criminal elements who have focused on Puerto Rico as a gateway to illegally introduce narcotics into the mainland of the U.S.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Salaries and Benefits	\$48,665	\$35,581	\$33,764	(\$1,817)

Salaries and Benefits include costs for 529 FTE.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Travel	\$779	\$751	\$713	(\$38)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal Travel regulations.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Transportation of Things	\$87	\$172	\$163	(\$9)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incidental to the transportation of things.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
GSA rent	\$181	\$250	\$237	(\$13)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and related services.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Other Rent	\$102	\$64	\$61	(\$3)

Payments to a non-Federal source for rental of space, land, and structures.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Communication, Utilities, and miscellaneous charges	\$3,043	\$2,111	\$2,003	(\$108)

Communication, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Advisory and Assistance Services	\$2	\$0	\$0	\$0

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Other Services	\$8,882	\$49,574	\$47,045	(\$2,529)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Purchase from Government Accounts	\$31,902	\$0	\$0	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Operation & maintenance of facilities	\$1,144	\$0	\$0	\$0

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Operation & Maintenance of equipment	\$2,800	\$0	\$0	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Supplies & materials	\$1,806	\$908	\$862	(\$46)

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

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Equipment	\$1,921	\$1,185	\$1,125	(\$60)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Grants/Subsidies/Contributions	\$12,089	\$0	\$0	\$0

Grants/subsidies/contributions include cash payments to States, other political subdivisions, corporations, associations, individual, etc.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Refunds	\$0	\$6,123	\$5,811	(\$312)

Payments of amounts previously collected by the Government.

I. Changes in FTE

Not applicable.

J. FY 2010 Schedule of Working Capital Fund by PPA

Not Applicable

Department of Homeland Security

U.S. Customs and Border Protection
Small Airport User Fee



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. Customs and Border Protection Small Airport User Fee

I. Appropriation Overview

A. Mission Statement for Small Airport User Fee:

The Small Airport User Fee is authorized under Title 19 U.S.C. 58b and administered under Title 19 U.S.C. 58c (b) (9) (A) (i). The Small Airport User Fee program authorizes inspection services to be provided to participating small airports on a fully reimbursable basis. The fee charged under this program is set forth in a Memorandum of Agreement between the user fee airport and Customs and Border Protection, and may be adjusted annually as costs and requirements change.

B. Budget Activities:

Not applicable.

C. Budget Request Summary

Based on the collections from the Small Airport User Fee, CBP is requesting 54 positions and \$8,164,000 for FY 2010.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U.S. Customs and Border Protection
Small Airport User Fee**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Small Airport User Fee	70	\$7,702	54	\$7,057	54	\$8,164	---	\$1,107	---	\$-	---	\$1,107
Subtotal, Enacted Appropriations and Budget Estimates	70	\$7,702	54	\$7,057	54	\$8,164	---	\$1,107	---	\$-	---	\$1,107

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

III. Current Services Program Description by PPA

Department of Homeland Security
U.S. Customs and Border Protection
Small Airport User Fee
Program Performance Justification
(Dollars in thousands)

PPA: Small Airport User Fees

	Perm		
	Pos	FTE	Amount
2008 Actual	70	70	7,702
2009 Enacted	54	54	7,057
2010 Adjustments-to-Base	1,107
2010 Current Services	54	54	8,164
2010 Program Changes
2010 Request	54	54	8,164
Total Change 2009-2010	1,107

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

CURRENT SERVICES PROGRAM DESCRIPTION

The Small Airport User Fee program authorizes inspection services to be provided to participating small airports on a fully reimbursable basis. The amount charged is determined by how many CBP Officers are stationed at the port and whether it is a new or existing facility. New facilities have a higher charge for the first year to recover upfront costs. CBP expects an increase in revenues in FY 2010 due to the opening of new user fee airports and expansion of current facilities.

IV. Program Justification of Changes

Not applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not applicable

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
U.S. Customs and Border Protection
Small Airport User Fee
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual	70	70	\$7,702
2009 Enacted	54	54	7,057
Adjustments-to-Base			
Increases			
Technical adjustments.....	---	---	1,107
Total Adjustments-to-Base	---	---	1,107
2010 Current Services	54	54	8,164
2010 Request	54	54	8,164
2009 to 2010 Total Change	---	---	1,107

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

C. Summary of Requirements

Department of Homeland Security
U.S. Customs and Border Protection
Small Airport User Fee
 Summary of Requirements
 (Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	70	70	\$ 7,702
2009 Enacted	54	54	\$ 7,057
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Total Adjustments-to-Base	---	---	\$ 1,107
2010 Current Services	54	54	\$ 8,164
2010 Request	54	54	\$ 8,164
2009 to 2010 Total Change	---	---	\$ 1,107

Estimates by Program/Project Activity	2009 President's Budget			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Small Airport User Fee	54	54	\$ 7,057	---	---	\$ 1,107	---	---	\$ -	54	54	\$ 8,164	---	---	\$ 1,107
Total	54	54	\$ 7,057	---	---	\$ 1,107	---	---	\$ -	54	54	\$ 8,164	---	---	\$ 1,107

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

D. Summary of Reimbursable Resources

Not applicable.

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Customs and Border Protection
Small Airport User Fee
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	4,057	4,050	4,686	636
11.3 Other than full-time permanent	---	3	4	1
11.5 Other Personnel Compensation	1,291	1,356	1,569	213
12.1 Benefits	1,335	1,472	1,703	231
Total, Personnel Comp. & Benefits	\$6,683	\$6,881	7,961	1,081
Other Object Classes:				
21.0 Travel	101	122	141	19
23.3 Communications, utilities, & other misc. charges	797	30	35	5
25.2 Other services	80	---	---	-
25.7 Operation and maintenance of equipment	5	---	---	-
26.0 Supplies and materials	20	19	21	2
31.0 Equipment	16	5	6	1
Total, Other Object Classes	\$1,019	\$176	\$203	\$27
Total, Direct Obligations	\$7,702	\$7,057	\$8,164	\$1,108
Total requirements	\$7,702	\$7,057	\$8,164	\$1,107

F. Permanent Positions by Grade

The administration of the Small Airport User Fee program is performed by U.S. Customs and Border Protection Officers as part of their normal duties.

G. Capital Investment and Construction Initiative Listing

Not applicable

H. PPA Budget Justification

**Department of Homeland Security
U.S. Customs and Border Protection
Small Airport User Fee
Funding Schedule
(Dollars in Thousands)**

PPA: Small Airport User Fee		FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Object Classes:					
11.1	Perm Positions	\$4,057	\$4,050	\$4,686	\$636
11.3	Other than perm	---	3	4	1
11.5	Other per comp	1,291	1,356	1,569	213
12.1	Benefits	1,335	1,472	1,703	231
21.0	Travel	101	122	141	19
23.3	Communication, Utilities, and misc charges	797	30	35	5
25.2	Other Services	80	---	---	---
25.7	Operation & maintenance of equipment	5	---	---	---
26.0	Supplies & materials	20	19	21	2
31.0	Equipment	16	5	6	1
Total, Small Airport User Fees		\$7,702	\$7,057	\$8,164	\$1,107
Full Time Equivalents		70	54	54	---

* All FY 2009 to FY 2010 changes reflect a technical adjustment due to the increased collection in fees

PPA Mission Statement

Small Airport Facilities is authorized under Title 19 U.S.C. 58b and administered under Title 19 U.S.C. 58c (b) (9) (A) (i). The User Fee Airports program authorizes inspection services to be provided to participating small airports on a fully reimbursable basis. The fee charged under this program is set forth in a Memorandum of Agreement between the small airport facility and the agency, and may be adjusted annually as costs and requirements change.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Salaries and Benefits	\$6,683	\$6,881	\$7,962	\$1,081

Salaries and Benefits include costs for 54 FTE.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Travel	\$101	\$122	\$141	\$19

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal Travel regulations.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Communication, Utilities, and miscellaneous charges	\$797	\$30	\$35	\$5

Communication, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Other Services	\$80	\$0	\$0	\$0

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Operation & Maintenance of equipment	\$5	\$0	\$0	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Supplies & Materials	\$20	\$19	\$21	\$2

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

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Equipment	\$16	\$5	\$6	\$1

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

I. Changes in FTE

Not Applicable.

J. FY 2010 Schedule of Working Capital Fund by PPA

Not Applicable

Department of Homeland Security

U.S. Customs and Border Protection
Inspection User Fees



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. Customs and Border Protection Inspection User Fees (*Proposed new account*)

I. Appropriation Overview

A. Mission Statement for Inspection User Fees:

To further advance the “One-Face-at-the-Border” Initiative begun in 2003, the Department of Homeland Security (DHS)/U.S. Customs and Border Protection (CBP) is proposing to consolidate the statutes that govern certain customs and immigration inspection charges that financially support CBP’s “integrated” inspections at our ports of entry. If enacted the proposed legislation will improve CBP’s governance of user fees, generate additional revenues, and provide benefits for the industries that are currently paying multiple fees for integrated inspection services. Collections from the consolidated inspection user fees would be deposited into a new account to be called the Inspection User Fees Account (IUFA).

The proposed legislation aims to amend several sections of the customs and immigration user fee authorities. This legislation is intended to improve cash flow and reduce the need to carryover large unobligated balances to cover unexpected cost spikes and/or reductions in collections. DHS is proposing to require air and sea passenger carriers to remit user fees on a monthly basis, instead of quarterly as currently mandated. The proposed legislation would amend the COBRA user fee structure which under the current legal framework functions more like quasi taxes. Another challenge caused by the current user fee governing structure is the extension of the customs air passenger user fee exemptions to millions of passengers whose journey originates in Canada, Mexico, and most of the Caribbean. Based on CBP estimates, the elimination of country exemptions in the air environment will generate additional revenues. If country exemptions are eliminated, air passenger user fee collections would either approximate or fully recover the cost of inspecting air passengers.

The proposed legislation includes other improvements in areas ranging from standardization of the passengers’ record keeping requirement for air carriers and cruise lines to the harmonization of the definition of the United States for user fee liability purposes.

Under the current customs and immigration user fee structures in FY 2010 collections from these two user fees are estimated to support 6,459 FTEs. If enacted, the consolidated Inspection User Fees would support 8,167 FTEs, representing an increase of 26 percent.

The proposed consolidated Inspection User Fees would be made available through permanent/indefinite appropriations.

The proposed, consolidated Inspection User Fees would be deposited into a new IUFA (No Year) account at the U.S. Treasury. The revenues from the consolidated Inspection User Fees would be used to cover the full costs, to the extent possible, incurred in providing inspectional services for passengers and conveyances entering the United States.

B. Budget Activities:

Not applicable.

C. Budget Request Summary

The Inspection User Fee Account is a new fee account that will consolidate COBRA and IUF and is estimated to be \$1,017,693,000 and 8,167 FTE in FY 2010.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U.S. Customs and Border Protection
Inspection User Fees**

Summary of FY 2010 Budget Estimates by Program/Project/Activity
(Dollars in Thousands)

Budget Activity	FY 2008 Actual ¹		FY 2009 Enacted ¹		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
DHS Inspection User Fees	6,705	\$ 989,953	6,315	\$ 980,725	8,167	\$ 1,017,693	1,852	\$ 36,968	---	\$ -	1,852	\$ 36,968
Subtotal, Enacted Appropriations and Budget Estimates	6,705	\$ 989,953	6,315	\$ 980,725	8,167	\$ 1,017,693	1,852	\$ 36,968	-	\$ -	1,852	\$ 36,968
Net, Enacted Appropriations and Budget Estimates	6,705	\$ 989,953	6,315	\$ 980,725	8,167	\$ 1,017,693	1,852	\$ 36,968	-	\$ -	1,852	\$ 36,968

1. Represents consolidated COBRA and Immigration Inspection User Fees

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

III. Current Services Program Description by PPA

Department of Homeland Security
U.S. Customs and Border Protection
Inspection User Fee
Program Performance Justification
(Dollars in thousands)

Proposed new PPA: Inspection User Fees

The Inspection User Fees is a proposed new fee account to consolidate COBRA and Immigration Inspection User Fees in FY 2010.

	Perm.		
	Pos	FTE	Amount
2008 Actual¹	6,705	6,705	989,953
2009 Enacted¹	6,315	6,315	980,725
2010 Adjustments-to-Base	1,852	1,852	36,968
2010 Current Services	8,167	8,167	1,017,693
2010 Program Changes
2010 Request	8,167	8,167	1,017,693
Total Change 2009- 2010	1,852	1,852	36,968

1. Represents consolidated COBRA and Immigration Inspection User Fees
2. The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

Below is a crosswalk of the two existing fee accounts to the proposed new fee account:

Fee Account	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
COBRA and ECCF as currently authorized	1,440	1,440	378,679	1,538	1,538	410,666	1,538	1,538	398,131
Minus ECCF ¹							(145)	(145)	(22,940)
Removal of Country Exemptions and Additional FTEs to be supported by COBRA fees due to new authorization which will pay for services services directly related to fees. ²							1,853	1,853	120,180
Revised COBRA portion							3,246	3,246	495,371
Immigration User Fee	5,265	5,265	611,274	4,777	4,777	570,059	4,921	4,921	522,322
Total, as Currently Authorized	6,705	6,705	989,953	6,315	6,315	980,725	6,459	6,459	920,453
Total, Proposed New Account							8,167	8,167	1,017,693

1. Historically, COBRA budget submissions have included the anticipated collections from the Express Consignment Carrier Fee or ECCF (19 USC 58c(b)(9)(A)(ii)). However, the User Fee Consolidation Proposal, if enacted, will only impact only the COBRA fees under 19 USC 58c(a)(1-8). For fiscal year 2010, CBP projects ECCF to total \$22.9 million. If COBRA and Immigration User Fees were consolidated, ECCF collections will continue to be deposited in the Customs User Fee Account.
2. Under current authority CBP is authorized to use COBRA collections to pay for inspectional overtime, premium pay, benefits, preclearance services, foreign language proficiency awards, and enhanced equipment and positions. These expenses are not required to directly related to services rendered to the fee payers.

The CBP user fees are set legislatively and a review to determine the adequacy of the charges is conducted every three years and submitted to the appropriate authorizing committees in Congress, including recommendations for user fee adjustments.

The large majority of collections to be deposited into the Inspection User Fees Account will come from the air passenger user fee. CBP estimates that approximately 80 percent of the total user fee collections in FY 2010 will be generated by air passengers. CBP estimates a significant increase in collections from the CBP user fee due to the elimination of the air passenger customs user fee exemptions and a marginal 0.8 increase in air passenger volumes in FY 2010.

CURRENT SERVICES PROGRAM DESCRIPTION:

The components of the Inspection User Fee Account are: air and sea passengers, aircraft clearance, commercial trucks, loaded rail cars, commercial vessels, dutiable mail, and customs broker permits.

IV. Program Justification of Changes

Not applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

The proposed authorization language enabling the fee consolidation will be provided to the appropriate Congressional committees as soon as possible.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
U.S. Customs and Border Protection
Inspection User Fees
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual ¹	6,705	6,705	\$ 989,953
2009 Enacted ¹	6,315	6,315	980,725
Adjustments-to-Base			
Increases/Decreases			
Technical adjustments.....	1,852	1,852	36,968
Total Increases.....	1,852	1,852	36,968
Total Adjustments-to-Base.....	1,852	1,852	36,968
2010 Current Services.....	8,167	8,167	1,017,693
2010 Request.....	8,167	8,167	\$ 1,017,693
2009 to 2010 Total Change.....	1,852	1,852	\$ 36,968

1. Represents consolidated COBRA and Immigration Inspection User Fees

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

C. Summary of Requirements

Department of Homeland Security
U.S. Customs and Border Protection
Inspection User Fees
 Summary of Requirements
 (Dollars in Thousands)

													2010 Request		
													Perm. Pos.	FTE	Amount
FY 2008 Actual ¹													6,705	6,705	989,953
2009 Enacted ¹													6,315	6,315	980,725
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)															
Increases/Decreases													1,852	1,852	36,968
Total Adjustments-to-Base													1,852	1,852	36,968
2010 Current Services													8,167	8,167	1,017,693
2010 Total Request													8,167	8,167	\$ 1,017,693
2009 to 2010 Total Change													1,852	1,852	\$ 36,968
Estimates by Program/Project Activity	2009 Enacted ¹			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
DHS Inspection User Fees	6,315	6,315	980,725	1,852	1,852	36,968	---	---	---	8,167	8,167	\$ 1,017,693	1,852	1,852	\$ 36,968
Total	6,315	6,315	\$ 980,725	1,852	1,852	\$ 36,968	---	---	\$ ---	8,167	8,167	\$ 1,017,693	1,852	1,852	\$ 36,968

DHS Inspection User Fees is a proposed new fee account to consolidate COBRA and Immigration Inspection User Fees in FY 2010.

The numbers included in the table represent the enacted amounts; while the numbers included in MAX represent the latest fee projections that were based off of current collection rates.

D. Summary of Reimbursable Resources

Not applicable

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Customs and Border Protection
Inspection User Fees
Summary of Requirements by Object Class
(Dollars in Thousands)

Object Classes		2008 Actual ¹	2009 Enacted ¹	2010 Request	2009 - 2010 Change
11.1	Total FTE & personnel compensation	\$ 431,776	\$ 396,032	\$ 711,877	\$ 315,845
11.5	Other Personnel Compensation	274,134	294,286	90,695	\$ (203,591)
12.1	Benefits	169,935	180,261	210,560	\$ 30,299
	Total, Personnel Comp. & Benefits	\$ 875,845	\$ 870,580	\$ 1,013,132	\$ 142,553
Other Object Classes:					
21.0	Travel	4,493	1,217	90	\$ (1,127)
22.0	Transportation of things	196	-	-	\$ -
23.1	GSA rent	18,779	4,369	290	\$ (4,079)
23.3	Communications, utilities, & other misc. charges	-	14,794	-	\$ (14,794)
24.0	Printing and reproduction	982	1,106	68	\$ (1,038)
25.2	Other services	75,989	76,789	3,424	\$ (73,366)
25.3	Purchases of goods & svcs. from Gov't accounts	679	-	-	\$ -
25.4	Operation & maintenance of facilities	53	-	-	\$ -
25.7	Operation and maintenance of equipment	4	-	-	\$ -
26.0	Supplies and materials	3,848	2,721	140	\$ (2,581)
31.0	Equipment	9,085	9,149	549	\$ (8,600)
Total, Other Object Classes		\$ 114,108	\$ 110,145	\$ 4,561	\$ (105,585)
Total, Direct Obligations		\$ 989,953	\$ 980,725	\$ 1,017,693	\$ 36,968
Total requirements		\$ 989,953	\$ 980,725	\$ 1,017,693	\$ 36,968

1. Represents consolidated COBRA and Immigration Inspection User Fees

Note: Represents a realignment of funds from non-pay to pay categories to cover salary and benefit costs required to maintain FTEs.

F. Permanent Positions by Grade

The administration of the Inspection User Fee Account is performed by U.S. Customs and Border Protection Officers as part of their normal duties.

G. Capital Investment and Construction Initiative Listing

Not applicable

H. PPA Budget Justification

**Department of Homeland Security
U.S. Customs and Border Protection**

Inspection User Fees

Funding Schedule

(Dollars in Thousands)

PPA: DHS Inspection User Fees		FY 2008 Actual ¹	FY 2009 Enacted ¹	FY 2010 Request	FY 2009 to FY 2010 Change
Object Classes:					
11.1	Perm Positions	\$ 431,776	\$ 396,032	\$ 711,877	\$ 315,845
11.5	Other per comp	274,134	294,286	90,695	(203,591)
12.1	Benefits	169,935	180,261	210,560	30,299
21.0	Travel	4,493	1,217	90	(1,127)
22.0	Transportation of things	196	---	---	---
23.1	GSA rent	18,779	4,369	290	(4,079)
23.3	Communication, Utilities, and misc charges	---	14,794	-	(14,794)
24.0	Printing	982	1,106	68	(1,038)
25.2	Other Services	75,989	76,790	3,424	(73,366)
25.3	Purchase from Govt. Accts.	679	---	---	---
25.4	Operation & maintenance of facilities	53	---	---	---
25.7	Operation & maintenance of equipment	4	---	---	---
26.0	Supplies & materials	3,848	2,721	140	(2,581)
31.0	Equipment	9,085	9,149	549	(8,600)
	Total, DHS Inspection User Fees	\$ 989,953	\$ 980,725	\$ 1,017,693	\$ 36,968
	Full Time Equivalents	6,705	6,315	8,167	1,852

1. DHS Inspection User Fees is a proposed new fee account to consolidate COBRA and Immigration Inspection User Fees in FY 2010.

Note: Represents a realignment of funds from non-pay to pay categories to cover salary and benefit costs required to maintain FTEs. All FY 2009 to FY 2010 changes reflect a technical adjustment due to the increased collection in fees

PPA Mission Statement

Customs and Border Protection Inspection is proposing to consolidate two existing fee accounts (Consolidated Omnibus Budget Reconciliation Act of 1985 (COBRA) and Immigration Inspection User Fees (IUF)) and establish the DHS Inspection User Fees account. The proposed legislation will consolidate the authorities that govern the user fees that financially support CBP's inspection of passengers and conveyances entering the United States. This legislation will improve CBP's governance on user fees and produce benefits for the industries that are currently paying multiple fees for integrated inspection services.

	FY 2009 Actuals	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Salaries and Benefits	\$875,845	\$870,579	\$1,013,132	\$142,553

Salaries and Benefits include costs for 8,167 FTEs.

	FY 2009 Actuals	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Travel	\$4,493	\$1,217	\$90	(\$1,127)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal Travel regulations.

	FY 2009 Actuals	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Transportation of Things	\$196	\$0	\$0	\$0

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incidental to the transportation of things.

	FY 2009 Actuals	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
GSA rent	\$18,779	\$4,369	\$290	(\$4,079)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and related services.

	FY 2009 Actuals	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Communication, Utilities, and miscellaneous charges	\$0	\$14,794	\$0	(\$14,794)

Communication, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2009 Actuals	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Printing	\$982	\$1,106	\$68	(\$1,038)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	FY 2009 Actuals	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Other Services	\$75,989	\$76,790	\$3,424	(\$73,366)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2009 Actuals	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Purchases from other Gov't accounts	\$679	\$0	\$0	\$0

Purchases from Government Accounts include costs for purchases from Federal Government agencies or accounts that are not otherwise classified.

	FY 2009 Actuals	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Operation & maintenance of facilities	\$53	\$0	\$0	\$0

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account.

	FY 2009 Actuals	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Operation & Maintenance of equipment	\$4	\$0	\$0	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account.

	FY 2009 Actuals	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Supplies and Materials	\$3,848	\$2,721	\$140	(\$2,581)

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

	FY 2009 Actuals	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Equipment	\$9,085	\$9,149	\$549	(\$8,600)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

I. Changes in FTE

Not applicable

J. FY 2010 Schedule of Working Capital Fund by PPA

Not Applicable

Department of Homeland Security

U.S. Customs and Border Protection

Express Consignment Carrier Facilities User Fee



Fiscal Year 2010
OMB Budget Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. Customs and Border Protection

CBP Express Consignment Carrier Facilities User Fee *(as part of the Inspection User Fee Proposal)*

I. Appropriation Overview

A. Mission Statement for Express Consignment Carrier Facilities User Fee:

Customs and Border Protection Express Consignment Carrier Facilities (ECCF) User Fee is authorized under 19 USC Section 58c(b)(9)(A)(ii) and (b)(9)(B). CBP collects ECCF user fees to help cover the costs of providing customs cargo inspection services to express consignment carrier or centralized hub facilities. The authority governing the ECCF charge also stipulates that out of the \$1 per individual airway bill, CBP is authorized to charge 50 percent of the amount collected, which shall be paid to the Secretary of the Treasury. Therefore, CBP retains 50 percent of the collections and transfers, through a negative warrant, the remaining 50 percent to the Treasury's General Fund.

Fee receipts are available through the Customs User Fee Account (No Year) at the U.S. Department of the Treasury (Treasury). The revenues from ECCF collections are authorized to fully recover the costs of providing CBP inspection services at express consignment facilities and courier hubs.

B. Budget Activities:

Not Applicable

C. Budget Request Summary

Collections from the CBP Express Consignment Carrier Facilities User Fees is estimated at \$22.9 million (CBP share) for FY 2010. If COBRA and Immigration User Fees are consolidated, ECCF collections will continue to be deposited separately into the Customs User Fee Account.

II. Summary of FY 2009 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
U.S. Customs and Border Protection
 Express Consignment Carrier Facilities
 Summary of FY 2010 Budget Estimates by Program/Project/Activity
 (Dollars in Thousands)

Budget Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 President's Budget		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Express Consignment Carrier Facilities					145	\$ 22,940						
Net, Enacted Appropriations and Budget Estimates					145	\$ 22,940						

Note: Previous budget submissions have included ECCF user fee with COBRA user fee collections.

III. Current Services Program Description by PPA

Department of Homeland Security
U.S. Customs and Border Protection
Express Consignment Carrier Facilities User Fee
Program Performance Justification
 (Dollars in thousands)

PPA: Express Consignment Carrier Facilities

	Perm. Pos	FTE	Amount
2008 Actual	N/A
2009 President's Budget	N/A
2010 Adjustments-to-Base	22,940
2010 Current Services	145	145	22,940
2010 Program Changes
2010 Request	145	145	22,940
Total Change 2009- 2010	N/A

Note: Previous budget submissions have included ECCF user fee with COBRA user fee collections.

Historically, COBRA budget submissions have included anticipated collections from the Express Consignment Carrier Fee (ECCF) under 19 USC 58c(b)(9)(A)(ii). However, the user fee consolidation proposal, if enacted, will only impact the COBRA fees under 19 USC 58c(a)(1-8). For Fiscal Year 2010, CBP projects ECCF to total \$22.9 million. If COBRA and Immigration User Fees are consolidated, ECCF collections will continue to be deposited separately into the Customs User Fee Account.

CURRENT SERVICES PROGRAM DESCRIPTION:

The fee is for the inspection services provided by CBP officers at express consignment facilities and courier hubs.

IV. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not applicable

B. FY 2009 to FY 2010 Budget Change

Department of Homeland Security
U.S. Customs and Border Protection
Express Consignment Carrier Facilities
 FY 2009 to FY 2010 Budget Change
 (Dollars in Thousands)

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual.....			
2009 Enacted.....			
2010 Current Services.....	145	145	22,940
2010 Request.....	145	145	22,940
2009 to 2010 Total Change.....			

Note: Previous budget submissions have included ECCF user fee with COBRA user fee collections.

C. Summary of Requirements

**Department of Homeland Security
U.S. Customs and Border Protection
Express Consignment Carrier Facilities
Summary of Requirements
(Dollars in Thousands)**

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual			
2009 Enacted			
2010 Current Services	145	145	\$ 22,940
2010 Total Request	145	145	\$ 22,940
2009 to 2010 Total Change			

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Express Consignment Carrier Facilities										145	145	\$ 22,940			
Total										145	145	\$ 22,940			

Note: Previous budget submissions have included ECCF user fee with COBRA user fee collections.

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
U.S. Customs and Border Protection
Express Consignment Carrier Facilities
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes		2008 Actual	2009 Enacted	2010 President's Budget	2009 - 2010 Change
11.1	Total FTE & personnel compensation			\$5,083	
11.5	Other Personnel Compensation			\$12,048	
12.1	Benefits			\$4,182	
	Total, Personnel Comp. & Benefits			\$21,313	
Other Object Classes:					
23.3	Communications, utilities, & other misc. charges			505	
24.0	Printing and reproduction			7	
25.2	Other services			1,028	
26.0	Supplies and materials			28	
31.0	Equipment			59	
	Total, Other Object Classes			\$1,627	
	Total, Direct Obligations			\$22,940	
	Total requirements			\$22,940	

Note: Previous budget submissions have included ECCF user fee with COBRA user fee collections.

F. Permanent Positions by Grade

Not Applicable

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justification

Department of Homeland Security
U.S. Customs and Border Protection
Express Consignment Carrier Facilities
Funding Schedule
(Dollars in Thousands)

		FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
PPA: Express Consignment Carrier Facilities					
Object Classes:					
11.1	Perm Positions			\$ 5,083	
11.5	Other per comp			12,048	
12.1	Benefits			4,182	
23.3	Communication, Utilities, and misc charges			505	
24.0	Printing			7	
25.2	Other Services			1,028	
26.0	Supplies & materials			28	
31.0	Equipment			59	
	Total, ECCF			\$ 22,940	
Full Time Equivalents				145	

Note: Previous budget submissions have included ECCF user fee with COBRA user fee collections.

PPA Mission Statement

Customs and Border Protection Express Consignment Carrier Facilities (ECCF) User Fee are authorized under 19 USC Section 58c(b)(9)(A)(ii) and (b)(9)(B). CBP collects Express Consignment fees to help cover the costs of providing customs cargo inspection services to express consignment carrier or centralized hub facilities. The authority governing the ECCF charge also stipulates that out of the \$1 per individual airway bill CBP is authorized to charge, 50 percent of the amount collected shall be paid to the Secretary of the Treasury. Therefore, CBP retains 50 percent of the collections and transfer, through a negative warrant, the remaining 50 percent to the Treasury's General Fund

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Salaries and Benefits			\$21,313	

Salaries and Benefits include costs for 145 FTE.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Communication, Utilities, and miscellaneous charges			\$505	

Communication, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Printing			\$7	

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Other Services			\$1,028	

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Supplies & materials			\$28	

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

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 to FY 2010 Change
Equipment			\$59	

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

I. Changes in FTE

Not Applicable

J. FY 2010 Schedule of Working Capital Fund by PPA

Not Applicable

Department of Homeland Security

U.S. Customs and Border Protection



Fiscal Year 2010
Strategic Context
Congressional Justification

FY 2010 CONGRESSIONAL BUDGET REQUEST STRATEGIC CONTEXT

U.S. Customs and Border Protection

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A. Mission and Description of U.S. Customs and Border Protection

CBP is charged with the dual mission of securing our Nation's borders while facilitating legitimate trade and travel. CBP accomplishes this mission through six operational offices: the Office of Border Patrol, the Office of Field Operations, the Office of Air and Marine, the Office of International Affairs, the Office Internal Affairs, and the Office of International Trade. These six offices receive critical support from CBP's other mission-focused offices. Since the publication of our first strategic plan in 2005, CBP has made steady progress toward: protecting our country from the threats of global terrorism, illegal migration, and trafficking of narcotics and other contraband; protecting our economy by enforcing trade laws, intellectual property rights, and collection of revenue on goods imported into the United States; protecting the food supply and agricultural industry from pests and disease; and increasing the security of our airspace.

CBP's FY 2009-2014 strategic plan is one of the most important tools that will be used to chart the Agency's course of action for the next five years. It is designed to help guide the strategic planning efforts of the various offices and programs within CBP; enabling the development of effective strategies and the establishment of key priorities needed to achieve CBP's mission and improve organizational performance.

CBP's mission statement: CBP is America's frontline, guardians of the Nation's borders. CBP protects America and foster its economic security by securing the borders against the entry of terrorists and instruments of terror and by enforcing the laws of the United States, while ensuring the efficient flow of legitimate trade and travel. CBP leverage its enforcement and intelligence-gathering capabilities to execute the mission of border and airspace security. CBP cultivates its partnerships to help contribute to CBP's success. CBP employ vigilance, service to country, and integrity to ensure results.

CBP's primary field occupations include CBP Officers, Border Patrol Agents, Air and Marine Interdiction Agents, Import and Entry Specialists, and Agricultural Specialists. Its field organization includes 20 Border Patrol Sectors with 34 permanent traffic checkpoints and 98 tactical traffic checkpoints between the ports of entry (POE); 145 stations and substations; 20 Field Operations Offices and 327 associated POEs, of which 15 are pre-clearance stations in other countries; and 74 Air and Marine operating locations. Field personnel use a mix of air and marine assets, non-intrusive inspection technology such as large-scale imaging devices (imaging systems using x-ray and gamma ray technology), radiation portal monitors, automated targeting systems, and automation in support of efforts to identify and apprehend undocumented aliens and high-risk travelers, and to facilitate legitimate traffic and trade.

B. Major Activities and Key Strategic Goals

CBP uses the resources appropriated by Congress to achieve its strategic goals and priorities. During the development of these goals and priorities, careful consideration has been given to the National Strategy for Homeland Security, the Presidential Directive on National Security, the National Drug Control Strategy, Executive Orders, the FY 2008-2013 Department of Homeland Security (DHS) Strategic Plan, and the CBP 2009-2014 draft Strategic Plan to ensure alignment and mutual support. CBP's investments also reflect the goals and objectives of programmatic plans such as the National Border Patrol Strategy. Finally, the results of evaluations conducted by the Government Accountability Office (GAO) and the Office of the Inspector General (OIG), as well

as the Performance Assessment Rating Tool (PART) processes have been used to prioritize efforts and target capital investments.

The FY 2009-2014 draft CBP Strategic Plan outlines two strategic goals and three cross-cutting enablers.

Goal 1: Secure our Nation's borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel.

As the frontline border security agency, CBP has a multifaceted and complex mission of protecting the Nation against a multitude of cross-border violations. CBP's first priority is to prevent terrorists and terrorist weapons from entering the country. All of CBP's efforts to secure the border, including our traditional missions of enforcing the immigration, customs, trade, agricultural, and other laws of the United States, contribute to this priority mission of thwarting terrorism. As the lead DHS component responsible for securing the border, we also play a central role in the implementation of the DHS's Secure Border Initiative, a comprehensive, multi-year plan to secure America's borders and reduce illegal immigration.

CBP uses a layered, defense-in-depth approach that includes multiple technology combinations with Non-Intrusive Inspection (NII) technology, the U.S. Visitor and Immigrant Status Indicator Technology (US-VISIT), Identification System/Integrated Automated Fingerprint Identification Systems (IDENT/IAFIS), and the Western Hemisphere Travel Initiative (WHTI).

NII technology is used to detect and interdict weapons, narcotics, currency, and other contraband concealed in large containers and commercial shipments. Technologies currently deployed include large-scale X-ray and gamma ray imaging systems, radiation detection technology, as well as a variety of portable and hand-held technologies. CBP screens 100 percent of all containers for illicit radiological materials and inspects 100 percent of all targeted high-risk containers. To achieve this, CBP must continue to deploy and maintain appropriate NII capabilities at all inspection points. Moreover, it must deploy enough NII systems to ensure that it can respond to increases in the threat level, either nationally or at specific locations, as well as examine the increasing volume of cargo and conveyances crossing our borders.

The US-VISIT program continues to deploy and support biometric systems at many of the land, sea, and air POEs. These systems enable CBP Officers to use biometric identifiers, such as fingerprints (using an inkless fingerprint scanner) and photographs (using a digital camera), to verify the identity of foreign nationals wishing to enter the United States. US-VISIT's biometric information also helps thwart identity fraud by providing unalterable, unassailable identity information.

Border Patrol Stations are equipped with equipment to collect and electronically transmit biometric information to the Automated Biometric Identification System/Integrated Automated Fingerprint Identification Systems (IDENT/IAFIS). IDENT collects and maintains a subject's biometric information (fingerprints and photographs) and performs a search against the Lookout, Recidivist, and Alien Registration databases within DHS.

DHS implemented WHTI at air POEs in January, 2007. As of January 31, 2008, CBP no longer accepts oral declarations alone as proof of citizenship and identity at land and sea POEs. U.S. and Canadian citizens aged 19 or older who are traveling by land or sea must present government-issued

photo identification, such as a driver's license, along with proof of citizenship, such as a birth certificate or naturalization certificate.

CBP will continue its efforts to expand and maintain effective control of all air, land, and maritime borders at and between POEs through a layered, defense-in-depth approach. Providing security along the northern, southern, and coastal borders requires effective coordination and integration of all of CBP's operational components and other DHS operational components, along with the guidance and assistance of essential CBP mission support personnel.

Goal 2: Ensure the efficient flow of legitimate trade and travel across U.S. borders.

In order to meet its twin goals of security and facilitation, CBP will develop and implement programs that expedite the processing of people and goods at land border ports, airports, and seaports, while at the same time securing the global trade environment and strengthening supply chain security. CBP will focus its resources on identifying and responding to high-risk travelers and conveyances. CBP employs a risk-based, layered enforcement approach through the use of accurate advance information; the most advanced inspection, screening, and scanning technology available; modernized systems for cargo processing; and international and trade compliance partnership programs such as the Automated Targeting System (ATS), TECS, Automated Commercial Environment (ACE), and the application of principles to prioritize efforts.

CBP's ability to expedite the processing of people, products, and conveyances is dependent on its ability to identify high-risk travelers and goods for inspection. Recent legislation and regulatory action, such as the Trade Act of 2002, the 24-hour rule, and the SAFE Port Act, have made it mandatory to provide advance information on passengers and goods arriving in the United States. CBP applies its targeting methods against the data to determine which passengers or shipments need to be segregated for closer inspection. The main platform used to perform this analysis is the Automated Targeting System (ATS). ATS and associated databases will provide CBP Officers (including those stationed overseas) with advanced notice of travelers and goods arriving at U.S. POEs, allowing them to cross-check the passenger and cargo manifests against databases, such as the TECS, for "lookouts" of unlawful activity.

ACE is the modernized U.S. trade processing system that consolidates seven cargo processing systems into a single portal; it provides CBP and other component personnel better information to decide—before a shipment reaches U.S. borders—what cargo should be expedited based on compliance with U.S. laws and what cargo should be targeted based on perceived potential risks. Additionally, by eliminating paper processes and automating documentation process, ACE will enable CBP to improve traffic management that will support the efficient movement of both passenger and commercial traffic at land border POEs and airports.

CBP employs a coordinated approach to balance security, risk, and efficiency in resolving compliance issues while facilitating legitimate trade, by applying three principles to prioritize its efforts. First, CBP identifies trade issues that cause significant revenue loss, pose economic risk to U.S. industry, or represent health and safety concerns to citizens. Second, CBP investigates trade issues that are susceptible to non-compliance; have a history of problems; or are characterized by a lack of automation, or by complexity. Third, CBP will provide the trade with guidance in the form of regulations, rulings, and directives that enable traders to meet their obligations. CBP uses these three principles to analyze information and identify high-risk trade areas. Currently, CBP concentrates on seven priority trade issues: Antidumping and Countervailing Duty, Intellectual

Property Rights, Textiles and Wearing Apparel, Revenue, Agriculture, Import Safety, and Penalties.

CBP must leverage its frontline officers and agents to gain information that can be used to strengthen the Nation's security and to act upon intelligence that will help it carry out its critical border security mission. CBP will become a fully integrated, intelligence-driven organization. Two of the greatest frontline challenges are the need for real-time information for decision making and the lack of detailed information about the persons or goods attempting to cross the border. To address this challenge, CBP's primary strategy is to develop and deploy an integrated intelligence capability.

Cross-cutting enablers in CBP's strategic plan also affect the Agency's ability to accomplish its mission and achieve its goals. CBP's cross-cutting enablers (improved intelligence and information sharing, maximizing partnerships, and effective management infrastructure) are critical to success in achieving the mission. By focusing on these three enablers that cut across CBP's goals, we can better integrate the work of the entire agency.

Leverage intelligence and information sharing to maximize the effectiveness of our limited resources.

CBP must leverage its frontline officers and agents to gain information that can be used to strengthen the Nation's security and to act upon intelligence that will help it carry out its critical border security mission. CBP will become a fully integrated, intelligence-driven organization. Two of the greatest frontline challenges are the need for real-time information for decision making and the lack of detailed information about the person or goods attempting to cross the border.

Maximize the power of partnerships.

Partnerships have contributed greatly to CBP's progress in developing and implementing the various strategies that have improved border security and facilitation of global trade and travel. CBP's success relies upon the creation of enduring partnerships and maintaining open lines of communication domestically and internationally. Partnerships must be wide reaching and touch Federal, State, local, tribal, foreign, and domestic law enforcement agencies, as well as private sector industry and international partners. CBP's ability to align and/or increase needed resources will enhance existing security measures in targeted areas. Identifying, establishing, and enhancing or expanding beneficial partnerships while aligning resources will also allow CBP to enhance the enforcement of and compliance with agriculture, customs, immigration, and other agency enforced laws and regulations.

Promote achievement and a results-driven culture through an effective management infrastructure that fosters the highest standards of integrity.

CBP fosters an environment designed to leverage state-of-the-art technologies, innovative strategies, and world-wide partnerships to protect America's communities and defend its borders. Through the development and implementation of an innovative strategic planning framework that integrates investment management, resource management, and program management, CBP will achieve a maximum return on investment on CBP's top mission-focused goals. CBP will provide the best support services throughout DHS by promoting a business culture that creates effective management partnerships among the Information Technology, Finance, Internal Affairs, Training

and Development, and Human Resources Management functions. To ensure that CBP remains the employer of choice for a talented, dedicated workforce, it will implement a leadership-focused culture that recruits, trains, and retains the right people.

C. Resources Requested and Performance Impact

Major Changes within the Base Level

The FY 2010 funding request will allow CBP to fulfill its mission of securing our Nation's borders while facilitating legitimate travel and trade. This request will provide CBP with the opportunity to transform border control and security at and between POEs, using an effective mix of manpower, infrastructure and technology. It will also provide additional means for extending our zone of security beyond our physical borders – so that American borders are not the first line of defense against terrorism. Furthermore, CBP will be able to continue to focus on its traditional mission of enforcing trade, agriculture, customs, and immigration laws and regulations at our borders. CBP will continue to reallocate resources from lower to higher priorities to meet its strategic goals and objectives.

CBP requests a total of \$10.057 billion in FY 2010, an increase of \$230 million from the FY 2009 enacted level of \$9.828 billion (not including funding provided by the American Recovery Reinvestment Act of 2009). This funding level will allow CBP to maintain current services level and improve its mission capability by providing additional support for important activities and programs in CBP. The FY 2010 budget request will allow CBP to increase direct FTE from 55,437 in FY 2009 to 58,105 in FY 2010, including, 1,320 FTE for the annualization of 2,200 new Border Patrol Agents and 441 operation and mission support personnel, 44 FTE for annualization of 89 CBP Officers for the Western Hemisphere Travel Initiative (WHTI), 117 FTE for annualization of 212 CBP Officers and 22 support for Passenger Screening at Land Ports of Entry (POE); 158 FTE for annualization of 238 CBP Officers, 20 scientists, 25 IT specialists and 12 mission support for Radiation Portal Monitors (RPM) Staffing Operation and Maintenance, 14 FTE annualization for 24 Investigators and 5 support personnel in Conduct and Integrity Oversight, 15 FTE annualization for 30 positions in the Border Security, Fencing, Infrastructure and Technology (BSFIT) appropriation, 13 FTE annualization for 27 personnel in the CBP Intelligence Program, 12 FTE annualization for 24 Air & Marine Unmanned Aircraft Systems (UAS) pilots, 6 FTE annualization for 7 Attorneys, 2 Economists, 2 Paralegals, and 1 mission support person for the Regulatory Program, and 1 FTE annualization for 2 positions in Ground Transportation.

Increments over Current Service Level

Within the FY 2010 President's Budget, CBP is requesting an additional number of FTE in the following programs: 72 FTE for 68 Air & Marine Pilots, 20 Marine Enforcement Officers and 56 Air and Marine Personnel and Support are requested for Air and Marine Personnel; 63 FTE for 44 Border Patrol Agents, 8 support, 65 Customs and Border Protection Officers and 8 support are requested for Combating Southbound Firearms and Currency Smuggling; 52 FTE for 12 Scientists, 1 Paralegal, 34 International Trade Specialists, 32 Auditors, 10 Attorneys, 3 Import Specialists and 11 support are requested for Import Safety and Trade Enforcement; 11 FTE for 20 CBP Officers and 2 mission support personnel are requested for Analyze and Employ Information and Intelligence (NTCP and NTCC).

Funds for program enhancements have a significant performance impact for CBP. The following is a list of programs or activities for which CBP seeks additional funding in FY 2010.

- Data Center Migration ---\$38.7 million is requested to provide a standardized information technology (IT) resource acquisitions across DHS Components, and streamline maintenance and support contracts, allowing for less complex vendor support and expediting response times in the event of an emergency. Benefits derived from consolidation are enhanced DHS IT security posture, improved information sharing with stakeholders, and increased operational efficiencies over time.
- Combating Southbound Firearms and Currency Smuggling – \$26.1 million and 63 FTE is requested FY 2010 to provide CBP with an enhanced capability to combat southbound firearms and currency smugglers through additional personnel at and between the port of entry and along the southern border, as well as continuing to expand and maintain the Licensed Plate Reader (LPR) program to help establish and maintain effective control of the border. The combating firearms initiative will fund 44 Border Patrol agents and 8 support staff for the Office of Border Patrol; and 65 CBP officers and 8 support staff for the Office of Field Operations to expand its capacity to effectively combat outbound firearms and currency smuggling. The LPR program reads the plate as vehicles pass through the POEs and automatically queries the TECS database for law enforcement information. This information is then passed to the officers. As vehicles approach the southern border, LPR's will be strategically positioned to capture approaching vehicles. Placement of LPR along the southern border will be based upon current and developing intelligence.

Law Enforcement Enhanced Retirement – Public Law 110-161 established special retirement provisions for CBP officers, similar to the retirement coverage for law enforcement officers and firefighters. The enhanced retirement package became effective on July 6, 2008, covering 19,865 employees. Funding was included in the FY 2008 and FY 2009 appropriations for this purpose, but an additional \$25 million is required in FY 2010 (for a total of \$225 million) as the final increment that will fully fund the new retirement coverage. CBP officers are accountable for ensuring the security of our Nation and are required to complete law enforcement training, including: firearms, arrest techniques, defensive tactics and officer safety and survival. CBP officers face the same risks and challenges as law enforcement personnel in other organizations.

- Western Hemisphere Travel Initiative (WHTI) – FY 2009 funding of \$106.9 million and 89 CBP Officers helped to complete the rollout of Radio Frequency Identification (RFID)-enabled primary lanes to all remaining top 39 high volume Ports of Entry (POEs) and support increased processing and installation of 5 additional stacked booths on vehicle primary lanes at San Ysidro. Moreover, FY 2009 funding helped support the installation of temporary stacked booths at Peace Arch and Pacific Highway for World Police games and the Winter Olympics in Vancouver, British Columbia. Finally, the initiative enabled CBP to cover 95% of land border arrivals with card reader technology.

The FY 2010 request of \$20.9 million builds on the continued operation and maintenance of the equipment and software installed during the implementation of WHTI. Funding will help support outreach/communication for Olympics; audits for Enhanced Driver's License (EDL) States/Tribal Entities/Wait Time Studies/Process Improvement Analysis; deployment of WHTI technology to dual use lanes/ different booth configurations; and WHTI impact/technical solution/mitigation for pedestrian and small boats.

- Northern Border Technology – \$20.0 million is requested in FY 2010 to further enable CBP to provide situational awareness along the northern border. Funding will also support the design, deployment, and integration of surveillance, sensing platforms, detection technologies and tactical infrastructure requirements. This technology will serve as a force multiplier and increase the probability of successful detection. The systems capability will provide increased detection and a higher probability of successful detection.
- Air and Marine (A&M) Personnel – In FY 2009 \$4.0 million was provided for 24 new UAS pilots and 115 new marine agents. The additional Marine Agents helped to fully staff the 11 new Marine Agent units funded in FY 2008 and to allow 24/7 marine operations at some existing sites. The additional UAS pilots helped to expand operations along the land borders and maritime approaches to the U.S.

The FY 2010 A&M personnel request for \$19.1 million builds on this capability and will provide an additional 68 Pilots, 20 Marine, and 56 support personnel necessary to achieve maximum compliance with strategic goals and objectives and to support Border Patrol agents on the ground. During FY 2010, A&M plans to continue the expansion of its capabilities across the northern and coastal border and place heavy emphasis on the maritime requirements along the southeast/Caribbean borders.

- Import Safety and Trade Enforcement – \$9.3 million is requested FY 2010 to hire 12 Scientists, 1 Paralegal, 34 International Trade Specialists, 32 Auditors, 10 Attorneys, 3 Import Specialists and 11 support personnel to implement the Action Plan on Import Safety developed in response to Executive Order 13439. Additional staffing is also needed to carry out commercial operations and to adequately staff priority trade areas as proposed in the Office of Trade Resource Allocation Model (RAM). The increase of personnel will offer an optimal mix of trade activities and resources that allow CBP to meet the growing demand in trade volume; meet CBP's mission of enforcing trade laws and collecting revenue; achieve executive management goals and objectives for the trade mission; align activities with the appropriate skill levels; leverage efficient gains from technology process improvements, and combat risks inherent in priority trade areas.
- Cyber Security – \$5.0 million is requested to provide continuous Top Secret/Sensitive Compartmented Information (TS/SCI) and collateral classified processing capabilities within a "Focused Operations" branch that will provide tactical cyber intelligence of ongoing threats to CBP and DHS while also providing skilled forensics experts capable of staffing a DHS/CBP Digital Media Analysis lab to identify and attribute cyber attacks.
- Global Advanced Passenger Information (API)/Passenger Name Record (PNR) – The FY 2010 request for \$3.0 million continues API/PNR in two key security partner countries (including continuing the program for a country previously identified in FY 2008); and to implement the program in one additional key country resulting in the deployment of three countries by the end of FY 2010. The increase continues funding for the existing countries and provides funding for the newly implemented country. Funding estimates include start up costs and acquisition of hardware and software, recurring information technology costs and training and travel expenses.
- Analyze and Employ Information and Intelligence – In FY 2009 base funding of \$24.5 million helped expand the Document Exploitation program to include research and targeting of high-risk suspects identified via cargo transactions and finalize international agreements. This enabled the program to evaluate 100% of the flights into/out of Mexico and to reach the U.S. mandated goal of 10,000 reviewing Iraqi Refugee Program applicants and source documents in order to identify

security concerns. The Document Exploitation program continues the expansion of Advance Passenger Information (API) by cooperating with one or more foreign governments in order to disrupt terrorist travel, identify criminals and coordinate all actionable outbound positive Terrorist Identities Datamart Environment (TIDE) with the Terrorist Screening Operations Unit (TSOU) within 30 minutes of notification.

The FY 2010 request for \$2.8 million builds on this capability and will provide an additional 20 Customs and Border Protection officers (CBPOs) and two mission support positions. These additional positions will be evenly split between the passenger and cargo facilities of the National Targeting Center (NTC), providing additional operational and analytical support, which is needed in both environments. The increased staffing levels will also ensure that the NTC continues to provide CBP personnel with immediate responses to targeting and research inquiries.

D. Performance Highlights, Resources and Alignment to Strategic Goals

For each major program, the performance goal, alignment to DHS goals and objectives, total dollars and FTE, and main performance measures are shown below.

Performance Budget Highlights by Program
 CBP
 2010 Congressional

Program: Air and Marine						
Performance Goal: Deny the use of air, land, and coastal waters for conducting acts of terrorism and other illegal activities against the United States.						
DHS strategic objectives supported and % allocation of activities: 1.1 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$388,971	\$598,281	\$864,080	\$814,467	\$799,679	\$815,455
FTE	1,010	1,200	1,260	1,366	1,732	1,943

Performance Plan Measures

Measure: Number of airspace incursions along the southern border						
Description of Measure: This measure shows the number of airspace incursions along the southern border. A consistent standard of less than 10 incursions each year is an aggressive standard we strive to maintain. The measure monitors the programs efforts in reducing, with the intent of ultimately denying, the use of border air space for acts of terrorism or smuggling using intelligence and threat assessments. The number of Targets of Interest has been reduced over time as strategic surveillance and tactical responses by CBP interceptors and patrols, work with the Border Patrol on the ground, to deter the use of air routes into the U.S. The program continues to gather and analyze intelligence on past and current threat patterns to forecast and disseminate information about potential and emerging threats. The targeted goals for this measure are to maintain this low level of border incursions at a minimum and reduce it if possible, until there are no border incursions.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	10	10	10	10	10
Actual:	None	13	32	9	N/A	N/A

Measure: Percent of air support launches accomplished to support border ground agents to secure the border.						
Description of Measure: A primary and important measure for Air and Marine (AM) is its capability to launch an aircraft when a request is made for aerial support. This measure captures the percent of all requests made for air support to which the program was able to respond.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	>95%	>95%	>95%	>95%
Actual:	None	None	98%	98%	N/A	N/A

Measure: Percent of at - risk miles under strategic air surveillance						
Description of Measure: The measure is represented by the percent of at risk miles under strategic air surveillance and is evaluated according to up - to - the - minute information and intelligence. This measure describes the area of the U.S. border determined to be under the span of control of CBP Air and Marine (AM) assets. CBP AM uses a multi - level layer to aerial response and support to accomplish this goal: 1) Strategic surveillance for the P - 3 and UAS aircraft, 2) Intelligence driven support for the rapid deployment of forces, and 3) Strategic and tactical support to ground law enforcement such as Office of Border Patrol and Immigration and Customs Enforcement.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	50% of at risk miles	60% of at risk miles	70% of at risk miles	80% of at risk miles	90% of at risk miles
Actual:	None	55%	60%	84%	N/A	N/A

Program: Automation Modernization						
Performance Goal: Improve the threat and enforcement information available to decision makers to enforce trade rules and regulations and facilitate U.S. trade.						
DHS strategic objectives supported and % allocation of activities: 1.3 - 12%, 2.4 - 56%, 3.2 - 32%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$449,909	\$509,632	\$451,440	\$476,609	\$511,334	\$462,445
FTE	35	62	62	63	63	63

Performance Plan Measures

Measure: Number of trade accounts with access to ACE functionality to manage trade information						
Description of Measure: This measures the extent to which the Automated Commercial Environment (ACE) is made available to and used by members of the trade community (importers, brokers, carriers, etc.) to process and manage trade -related information.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	1%	5000	9,000	14,000	15,500	17,000
Actual:	1%	3,737	11,950	15,465	N/A	N/A

Measure: Percent of CBP workforce using ACE functionality to manage trade information.						
Description of Measure: The number of Customs and Border Protection people using Automated Commercial Environment (ACE), compared to the targeted adoption rate shows that internal personnel have easier, timelier, access to more complete and sophisticated information than in the past.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	8%	14%	30%	40%	63%	100%
Actual:	8%	23%	30%	38.3%	N/A	N/A

Measure: Percent of network availability.						
Description of Measure: The CBP network provides the basis for linking all IT systems for communications and access to mission critical systems. High levels of system availability are needed to accomplish CBP's mission. The measure represents the percentage of network availability to users.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	98%	98%	98%	98%	98%
Actual:	None	99.9	99.4%	99.7%	N/A	N/A

Measure: Percent of time the TECS is available to end users.						
Description of Measure: This measure quantifies the availability of the TECS service to all end - users based on a service level of 24X7 service. TECS is a CBP mission - critical law enforcement application system designed to identify individuals and businesses suspected of or involved in violation of federal law. TECS is also a communications system permitting message transmittal between DHS law enforcement offices and other National, State, and local law enforcement agencies, access to the FBI's National Crime Information Center and the National Law Enforcement Telecommunication Systems (NLETS). NLETS provides direct access to state motor vehicle departments.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	90%	92%	97%	97.5%	98%	98%
Actual:	96.15%	98%	98.7%	99.9%	N/A	N/A

Measure: Total number of linked electronic sources from CBP and other government agencies for targeting information						
Description of Measure: This measure counts the number of electronic sources to which CBP information technology systems are linked to share information for targeting purposes. The measure reflects the ability to accurately and efficiently identify a potential risk to border security in any conveyance entering the U.S. is improved by linking data sources from CBP automated systems and other government agencies, through the Automated Commercial Environment (ACE), as a single source for border decision makers.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	0	4	16	16	22	25
Actual:	0	9	16	19	N/A	N/A

Program: Border Security and Control between Ports of Entry						
Performance Goal: Gain effective control of the U.S. border in areas deemed as high priority for terrorist threat potential or other national security objectives.						
DHS strategic objectives supported and % allocation of activities: 1.1 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$2,401,016	\$3,041,760	\$3,099,934	\$4,007,931	\$4,527,021	\$4,733,065
FTE	13,468	14,300	16,221	18,539	23,231	24,554

Performance Plan Measures

Measure: Border miles under effective control (including certain coastal sectors)						
Description of Measure: This measure depicts the number of border miles under control where the appropriate mix of personnel, technology, and tactical infrastructure has been deployed to reasonably ensure that an attempted illegal alien is detected, identified, and classified, and that the Border Patrol has the ability to respond and bring the attempted illegal entry to a satisfactory law enforcement resolution.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	150 miles	338 miles	524	674	815	815
Actual:	288	449	599	757	N/A	N/A

Measure: Border miles with increased situational awareness aimed at preventing illegal entries per year						
Description of Measure: This measure indicates the number of border miles where the situational awareness has increased, or improved, to prevent illegal entries into the U.S. The Border Patrol uses the following levels to describe border security from the least secure to the most secure: Remote/Low Activity; Less Monitored; Monitored; and Controlled. Border regions classified as Remote/Low Activity are generally characterized by rugged and inaccessible terrain. By raising the border security status to Less Monitored (or higher), the Border Patrol improves its situational awareness and border security.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	136	100	100	141
Actual:	None	None	387	480	N/A	N/A

Measure: Number of Border Patrol Agents trained in rescue and emergency medical procedures.						
Description of Measure: This measure will examine the number of agents trained and certified in rescue and emergency medical procedures. One of the Border Patrols Border Safety Initiative (BSI) objectives is to increase the number of agents trained and certified in rescue and emergency medical procedures at the field agent level to improve the Border Patrols capabilities to prevent and respond to humanitarian emergencies in order to create a safer and more secure border region.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	510	690	690	690
Actual:	None	N/A	796	1,381	N/A	N/A

Measure: Percent of apprehensions at Border Patrol checkpoints.						
Description of Measure: This measure examines the effectiveness of checkpoint operations in apprehensions as they relate to border enforcement activities and serves as a barometer for measuring operational effectiveness. Checkpoints are temporary and permanent facilities used by the Border Patrol to monitor traffic on routes of egress from border areas and are an integral part of the Border Patrols defense - in - depth strategy. As such, activities that occur at checkpoints serve as measures not only of checkpoint operational effectiveness but as barometers of the effectiveness of the Border Patrol's overall national border enforcement strategy to deny successful illegal entries into the United States. This measure will examine one checkpoint activity, apprehensions, and compare it to the Border Patrol apprehensions nationwide. This comparison will measure checkpoint effectiveness in terms of apprehensions as well as provide insights into the overall effectiveness of the Border Patrols national strategy.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	5 - 10%	5 - 10%	3 - 8%	>3%	<5%
Actual:	None	5.9%	5%	2%	N/A	N/A

Measure: Percent of traffic checkpoint cases referred for prosecution to the U.S. Attorney's office.						
Description of Measure: This measure will examine the percent of border related cases brought by the Border Patrol and originating from traffic checkpoint operations that are referred to one of the 92 U.S. Attorneys located throughout the United States, Puerto Rico, and the Virgin Islands for prosecution compared to the total number of apprehensions at traffic checkpoints. This measure will depict the effectiveness of Border Patrol checkpoint operations in identifying and prosecuting dangerous criminals thus enhancing overall public safety. All apprehensions by OBP are considered arrests (administrative or criminal). The number of cases referred for prosecution by OBP and being tracked in this measure are criminal arrests only.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	3% - 13%	8% - 15%	>18%	>18%
Actual:	None	N/A	13%	18%	N/A	N/A

Program: Border Security Fencing, Infrastructure, and Technology						
Performance Goal: Gain and maintain effective control of U.S. land border areas by deploying a combination of technology and tactical infrastructure to enhance the effectiveness of frontline officers and agents.						
DHS strategic objectives supported and % allocation of activities: 1.1 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	None	\$0	\$1,187,565	\$1,225,000	\$775,000	\$779,452
FTE	None	0	39	89	185	200

Performance Plan Measures

Measure: Percent of Border Miles Covered by SBInet technology - southwest border						
Description of Measure: The Secure Border Initiative (SBInet) is an integrated system of technology such as radars, cameras, and ground sensors that provide detection and surveillance capabilities to law enforcement personnel over the U.S. border. The measure describes the border miles covered by SBInet technology as a percentage of the total U.S. Southwest land border miles.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	31.00%	35.10%	37.60%
Actual:	None	None	None	None	N/A	N/A

Measure: Total number of cumulative miles of permanent tactical infrastructure constructed						
Description of Measure: This measure shows the total number of cumulative miles of tactical infrastructure constructed. Tactical infrastructure consists of barriers built to deter or delay illegal entries into the United States. Tactical infrastructure includes pedestrian fencing, all - weather roads, vehicle fence and permanent lighting installed in the border areas to support border enforcement activities.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	310	600	800	825
Actual:	None	None	400.2 miles	501.6	N/A	N/A

Program: Border Security Inspections and Trade Facilitation at Ports of Entry						
Performance Goal: Improve the targeting, screening, and apprehension of high – risk international cargo and travelers to prevent terrorist attacks, while providing processes to facilitate the flow of safe and legitimate trade and travel.						
DHS strategic objectives supported and % allocation of activities: 1.3 - 61%, 2.1 - 9%, 2.4-30%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$3,282,459	\$3,827,103	\$3,890,812	\$4,313,718	\$4,661,749	\$4,646,498
FTE	26,123	26,117	26,479	28,687	30,280	31,399

Performance Plan Measures

Measure: Air passenger apprehension rate for major violations						
Description of Measure: This measure provides a statistically valid estimate of the apprehension rate of air passengers for major violations at international airports, displaying evidence that CBP typically apprehends approximately 30% to 40% of the major violations that come through the Ports of Entry. Data is derived from the results of a comprehensive compliance examination program used to identify the rate of major violations occurring in the sample. The sample rate is used to estimate the "expected" number of major violations in the general population. The major violations found during the regular primary inspection process are then compared to the "expected" number to compute the apprehension rate for major violations among air passengers traveling to the U.S. A major violation involves serious criminal activity, including possession of narcotics, smuggling of prohibited products, human smuggling, weapons possession, fraudulent U.S. documents, and other offenses serious enough to result in arrest.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	N/A	41%	25%	26%
Actual:	None	None	40.3%	25%	N/A	N/A

Measure: Air passengers compliant with laws, rules, and regulations (%)						
Description of Measure: This measure is the compliance rate of international air passengers with all of the laws, rules, regulations that CBP enforces at the Ports of Entry, with the exception of agriculture laws and regulations. It is also referred to as the Air Compex rate, and includes ALL customs and immigration violations, both category I (major) and category II (relatively minor). Category II violations far out - number category I violations and include all noncompliance with established customs and immigration laws, rules, regulations, as well as violation of all rules and regulations of other agencies that CBP is tasked by Congress with enforcing. This includes inadmissible alien travelers (for any reason) as well as discovery of prohibited items for other agencies, such as FDA pharmaceutical regulations, confiscation of alcoholic beverages on behalf of state authorities, CPSC product safety alerts, and trade violations such as amended declarations resulting in additional revenue or CBP action.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	99.3%	99.2%	99.2%	99.2%	99.2%	98.8%
Actual:	99.01%	98.7%	98.7%	99.5%	N/A	N/A

Measure: Border vehicle passengers in compliance with agricultural quarantine regulations (percent compliant)						
Description of Measure: The measure shows CBP's success at maintaining a high level of security in the land border environment by measuring the degree of compliance with U.S. Department of Agriculture (USDA) agricultural quarantine regulations and other mandatory agricultural product restrictions. CBP randomly samples border vehicle passengers for compliance with all USDA laws, rules, and regulations using USDA guidance on sampling procedures.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	96.4%	94.6%	94.6%	94.6%	95.5%	95.5%
Actual:	93.68%	92.9%	95.7%	97.73%	N/A	N/A

Measure: Compliance rate for Customs - Trade Partnership Against Terrorism (C - TPAT) members with the established C - TPAT security guidelines.						
Description of Measure: This measure provides a summary of the overall compliance rate achieved for all validations performed during the Fiscal Year. After acceptance into the C - TPAT program, all C - TPAT members must undergo a periodic validation in which CBP examiners visit company locations and verify compliance with an industry - specific set of CBP security standards and required security practices. These validations are prepared using a weighted scoring system that is used to develop an overall compliance rate for each company. This measure provides a summary of the overall Compliance Rate achieved for all validations performed during the Fiscal Year.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	98%	90%	95%	95.5%	99%	99%
Actual:	97.0%	98%	98%	99.9%	N/A	N/A

Measure: International air passengers in compliance with agricultural quarantine regulations (percent compliant)						
Description of Measure: The measure shows CBP's success at maintaining a high level of security in the international air environment by measuring the degree of compliance with U.S. Department of Agriculture (USDA) agricultural quarantine regulations and other mandatory agricultural product restrictions by international air passengers. CBP randomly samples international air passengers for compliance with all USDA laws, rules, and regulations using USDA guidance on sampling procedures.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	97%	97%	97%	97%	96%	96%
Actual:	95.8%	95.5%	94.2%	95.8%	N/A	N/A

Measure: Land border apprehension rate for major violations						
Description of Measure: This measure provides a statistically valid estimate of the apprehension rate of land vehicle passengers for major violations who enter through U.S. land border ports of entry, displaying evidence that CBP typically apprehends approximately 30% to 40% of the major violations that come through the Ports of Entry. The sample rate is used to estimate the "expected" number of major violations in the general population. The major violations found during the regular primary inspection process are then compared to the "expected" number to compute the apprehension rate for major violations among vehicle passengers traveling to the U.S. A major violation involves serious criminal activity, including possession of narcotics, smuggling of prohibited products, human smuggling, weapons possession, fraudulent U.S. documents, and other offenses serious enough to result in arrest.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	N/A	35%	28%	29%
Actual:	None	None	34.5%	28.9%	N/A	N/A

Measure: Land border passengers compliant with laws, rules, and regulations (%)						
Description of Measure: This measure is the Compliance Rate of land border vehicle passengers with all of the laws, rules, regulations that CBP enforces at the Ports of Entry, with the exception of agricultural laws regulations. It is also referred to as the Land Compex rate, includes ALL customs and immigration violations, both category I (major) and category II (relatively minor). Category II violations far out - number category one violations and include all noncompliance with established customs immigration laws, rules, and regulations, as well as violation of all rules and regulations of other agencies that CBP is tasked by Congress with enforcing. This includes inadmissible alien travelers (for any reason) as well as discovery of prohibited items for other agencies, such as FDA pharmaceutical regulations, confiscation of alcoholic beverages on behalf of state authorities, CPSC product safety alerts, trade violations such as amended declarations resulting in additional revenue or CBP action.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	99.9%	99.9%	99.9%	99.9%	99.9%	99.9%
Actual:	99.9%	99.9%	99.9%	99.9%	N/A	N/A

Measure: Percent of individuals screened against law enforcement databases for entry into the United States						
Description of Measure: This measure identifies the percent of individuals arriving at the ports of entry who have their names and other identification information checked against electronic law enforcement databases. A query is comprised of a review of identification documents such as passports, visas, border crossing cards, military identification, etc., for authenticity and a check of the individual's name and other identification information against the electronic law enforcement databases available through TECS during the entry process at all ports of entry, including airports, land border ports, and seaports. More thorough screening increases the likelihood that high - risk travelers that might cause harm are not allowed entry into the United States.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	60%	80%	85%
Actual:	None	None	None	73.5%	N/A	N/A

Measure: Percent of requested cargo examinations conducted at foreign ports of origin in cooperation with host nations under the Container Security Initiative (CSI)						
Description of Measure: Customs and Border Protection (CBP) officials located at foreign ports participating under agreements between the host nations and the Container Security Initiative (CSI) request examinations on containers that have been identified by CBP as higher - risk. This measure is the percent of requested container examinations resolved or conducted by foreign Customs officials meeting CBP examination standards and requirements divided by the total number of examinations requested by CBP CSI officials. These examinations would otherwise have taken place at US ports of entry. The measure is an indication of the extent to which potential higher - risk cargo is satisfactorily inspected before it leaves the foreign port of origin. It also reflects the cooperation of foreign Customs officials, who are not required by law to complete examinations, but do so by arrangement through the Declaration of Principles between CBP and the host country.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	97%	97%	97%
Actual:	None	None	None	95.1%	N/A	N/A

Measure: Percent of sea containers screened for contraband and concealed people.						
Description of Measure: The measure shows the progress towards increasing security by measuring the percent of sea containers arriving at seaports that were screened for contraband and concealed people using Non -intrusive (NII) technology. NII technology consists of x - ray imaging and electro - magnetic imaging equipment that is very effective at inspecting trucks, containers, and packages for shapes, density, and hidden cargo. It is very effective at identifying weapons, narcotics, smuggled humans, and concealed cargo. NII equipment is not effective at identifying radioactive or weapons - grade materials. NII equipment and radiation portal monitor (RPM) equipment use very different technologies that accomplish distinctly different things. They complement each other and work together to fully screen cargo.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	5%	5.25%	5.5%	5.75%	3.2%	3.1%
Actual:	5.6% (corrected from 8.1% previously reported)	5.25%	4.0%	3.6%	N/A	N/A

Measure: Percent of truck and rail containers screened for contraband and concealed people.						
Description of Measure: The measure shows the progress towards increasing security by measuring the percent of truck and rail containers that were screened for contraband and concealed people using Non - Intrusive (NII) technology. NII technology consists of x - ray imaging and electro - magnetic imaging equipment that is very effective at inspecting trucks, containers, and packages for shapes, density, and hidden cargo. It is very effective at identifying weapons, narcotics, smuggled humans, and concealed cargo. NII equipment is not effective at identifying radioactive or weapons - grade materials. NII equipment and radiation portal monitor equipment use very different technologies that accomplish distinctly different things. They complement each other and work together to fully screen cargo.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	10%	10.25%	33.0%	42%	35%	40.5%
Actual:	28.9%	32.80%	40%	35.8%	N/A	N/A

Measure: Percent of worldwide U.S. - destined containers processed through Container Security Initiative (CSI) ports						
Description of Measure: This measure is the percent of worldwide U.S. - destined containers (and their respective bills of lading) processed through CSI ports as a deterrence action to detect and prevent weapons of mass destruction/effect and other potentially harmful materials from leaving foreign ports headed to U.S. ports. Processed may include any of the following: 1) U.S. - destined cargo manifest/bills of lading data reviewed using the Automated Targeting System (ATS); 2) further research conducted; 3) collaboration with host country and intelligence representatives, and 4) physical examination of the container.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	68%	81%	86%	86%	86%	86%
Actual:	73%	82%	86%	86.1%	N/A	N/A

Additional Measures

Measure: Entry Summary Compliance Measurement (ESCM)						
Description of Measure: Entry Summary Compliance Measurement (ESCM) is conducted annually each fiscal year (FY) to collect statistical data to determine the compliance of commercial import with U.S. trade laws, regulations and agreements. ESCM is also used to estimate the revenue gap, a statistically calculated estimate of potential revenue loss due to noncompliance. The revenue gap is a calculation of uncollected duties based on statistical sampling, expressed as both a dollar estimate of under collections and a percentage of actual duty collections.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	1%	1%	1%
Actual:	None	None	None	None	N/A	N/A

Measure: Number of foreign cargo examinations resolved in cooperation with the Container Security Initiative.

Description of Measure: This measure provides an indicator of the benefit of locating CBP Officers at foreign locations that are cooperating with CBP under the Container Security Initiative (CSI). It provides the number of container examinations processed or mitigated by foreign Customs officials that were identified by CBP CSI as higher - risk and accepted as meeting CBP examination standards and requirements. These examinations would otherwise have taken place at US ports of entry. It is an indication of the number of higher - risk cargo shipments identified and examined prior to embarkation from foreign ports to US destinations.

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	10,000	24,000	31,000	19,000	19,000	19,000
Actual:	25,222	30,332	18,438	13,009	N/A	N/A

E. Digest of FY 2010 Budget by Activity and FYHSP Program

Budget Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) for FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Other Changes	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
1. Border Security Inspections and Trade Facilitation at POE's	18,601	3,125,372	20,686	3,207,707	21,661	3,259,005	975	51,298	100	101,021	875	(49,723)
Headquarters Management and Administration	2,084	665,546	2,146	646,608	2,172	522,825	26	(123,783)	-	21,825	26	(145,608)
Inspections, Trade & Travel Facilitation at POE's	15,933	2,053,161	17,904	2,093,988	18,842	2,255,210	938	161,222	89	76,348	849	84,874
Harbor Maintenance Fee Collection	-	3,093	-	3,154	-	3,226	-	72	-	-	-	72
International Cargo Screening	173	145,884	189	149,450	189	165,421	-	15,971	-	-	-	15,971
Other International Programs	101	15,292	101	10,984	101	11,181	-	197	-	-	-	197
C-TPAT	182	57,402	207	64,496	207	62,612	-	(1,884)	-	-	-	(1,884)
Trusted Traveler Program (TTP)	-	11,186	-	11,274	-	11,274	-	-	-	-	-	-
Inspection and Detection Technology	-	94,651	-	145,944	-	143,563	-	(2,381)	-	-	-	(2,381)
Systems for Targeting	8	26,831	8	32,550	8	32,560	-	10	-	-	-	10
National Targeting Center	120	25,346	131	24,481	142	26,355	11	1,874	11	2,848	-	(974)
Training at the Ports of Entry	-	26,980	-	24,778	-	24,778	-	-	-	-	-	-
Small Airports (Discretionary)	70	7,701	54	7,057	54	8,164	-	1,107	-	-	-	1,107
Mandatory Funding*	10,095	1,453,100	9,486	1,441,088	9,630	1,373,329	144	(67,759)	-	-	144	(67,759)
2. Border Security and Control between POE's	18,539	4,008,917	23,231	4,527,021	24,554	4,733,067	1,323	206,046	26	32,414	1,297	173,632
Headquarters Management and Administration	1,572	639,445	1,635	622,550	1,650	497,675	15	(124,875)	-	21,825	15	(146,700)
Border Security and Control between POE's	16,891	3,031,697	21,466	3,426,455	22,774	3,505,008	1,308	78,553	26	8,024	1,282	70,529
Secure Border Technology	-	-	-	-	-	-	-	-	-	-	-	-
Training Between the Ports of Entry	76	50,630	130	74,815	130	51,751	-	(23,064)	-	-	-	(23,064)
Facilities Management	-	287,145	-	403,201	-	678,633	-	275,432	-	2,565	-	272,867
Subtotal	38,506	7,109,292	45,649	7,603,206	48,158	7,623,068	2,509	19,862	198	149,985	2,311	(130,123)
3. Automation Modernization	63	523,990	63	511,334	63	462,445	-	(48,889)	-	-	-	(48,889)
ACE/ITDS	62	388,445	62	316,851	62	267,960	-	(48,891)	-	-	-	(48,891)
COPPS	1	135,545	1	194,483	1	194,485	-	2	-	-	-	2
4. Air and Marine Interdiction, Operations, Maintenance, and Procurement	1,366	983,788	1,732	799,679	1,943	815,455	211	15,776	72	19,115	139	(3,339)
Air and Marine Operations - Salaries	1,366	262,148	1,732	271,679	1,943	309,629	211	37,950	72	19,115	139	18,835
Operations and Maintenance	-	357,785	-	380,022	-	374,217	-	(5,805)	-	-	-	(5,805)
UAV	-	-	-	-	-	-	-	-	-	-	-	-
Air and Marine Operations - Procurement	-	363,855	-	147,978	-	131,609	-	(16,369)	-	-	-	(16,369)
5. Border Security, Fencing, Infrastructure and Technology	89	1,903,691	185	775,000	200	779,452	15	4,452	-	20,000	15	(15,548)
SBInet Development and Deployment	-	1,809,085	-	505,000	-	494,000	-	(11,000)	-	20,000	-	(31,000)
SBInet Operations and Maintenance	-	31,023	-	150,000	-	200,000	-	50,000	-	-	-	50,000
Program Management	89	63,583	185	120,000	200	85,452	15	(34,548)	-	-	15	(34,548)
Subtotal, Budget Authority (All Sources)	48,823	12,006,559	55,437	11,268,886	58,105	11,430,917	2,668	162,031	198	172,550	2,470	(10,519)

GSA funding for rent is being realigned to a new proposed facility appropriation.

Table excludes Customs unclaimed goods each year FY 08-10 \$5,897

1 FY 2008 Enacted level includes reprogramming of \$17.068M for Air & Marine salaries

2 FY 2009 funding levels exclude American Recovery and Reinvestment Act of \$680 M (P.L. 111-5)

Department of Homeland Security

U.S. Immigration and Customs Enforcement



Fiscal Year 2010

Overview

Congressional Justification

i. Summary of FY 2010 Budget Estimates by Appropriation

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Summary of FY 2010 Budget Estimates by Appropriation
Total Appropriations**

Budget Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Salaries and Expenses ¹	15,902	4,639,175	18,278	4,927,210	19,389	5,348,000	1,111	420,790	279	258,950	832	161,840
Federal Protective Service ²	1,072	518,321	1,225	640,000	---	---	(1,225)	(640,000)	---	---	(1,225)	(640,000)
Automation Modernization ¹	9	39,716	18	57,000	19	110,000	1	53,000	19	91,400	(18)	(38,400)
Construction	9	39,536	9	5,000	---	---	(9)	(5,000)	---	---	(9)	(5,000)
Breached Bond	7	63,613	63	60,000	63	75,000	---	15,000	---	---	---	15,000
Student Exchange Visitor Program	119	62,700	261	120,000	387	120,000	126	---	---	---	126	---
User Fee	276	113,053	276	119,000	276	109,800	---	(9,200)	---	---	---	(9,200)
Subtotal, Enacted Appropriations and Budget Estimates	17,394	\$5,476,114	20,130	\$5,928,210	20,134	\$5,762,800	4	(\$165,410)	298	\$350,350	(294)	(\$515,760)
Less: Adjustments for Other Funding Sources:	---	---	---	---	---	---	---	---	---	---	---	---
Net, Enacted Appropriations and Budget Estimates	17,394	\$5,476,114	20,130	\$5,928,210	20,134	\$5,762,800	4	(\$165,410)	298	\$350,350	(294)	(\$515,760)

American Recovery and Reinvestment Act (ARRA)	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Automation Modernization ¹	---	---	---	20,000								
Total	0	\$0	0	\$20,000								

¹ The Headquarters Managed IT Investment PPA includes an adjustment-to-base of \$39.1 million to continue FY 2009 O&M efforts and includes the transfer of payroll for government personnel from the Automation Modernization account into the Salaries and Expenses account. The funds will be used for: completion of a three-year cycle technology refresh for E-Mail, Desktops/laptops, Printers, File Servers, OneNet/OBM, Streaming Video, LAN Upgrade, Enterprise Query, Interoperability Hub, Web Farm/Alt Web, Single Sign-On and Audit Log; support of the organizational costs associated with the increased level of IT-related spending, and hardening and right-sizing the ICEPIC and Netleads systems.

² DHS proposed in FY 2010 that FPS be realigned with NPPD. Thus, FPS does not appear in ICE's FY 2010 request.

ii. Homeland and Non-Homeland Allocation

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Homeland and Non-Homeland Allocation by Program/Project Activity
(Dollars in Thousands)**

Budget Activity	FY 2008 Actual						FY 2009 Enacted						FY 2010 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Salaries and Expenses	13,835	\$4,036,082	2,067	\$603,093	15,902	\$4,639,175	15,902	\$4,286,673	2,376	\$640,537	18,278	\$4,927,210	16,868	\$4,652,760	2,521	\$695,240	19,389	\$5,348,000
- Legal Proceedings	978	191,993	146	28,689	1,124	220,681	1,114	208,926	166	31,219	1,280	240,145	1,137	225,998	170	33,770	1,307	259,768
- Domestic Investigations	6,616	1,462,644	989	218,556	7,605	1,681,200	7,692	1,475,651	1,149	220,500	8,842	1,696,150	8,014	1,639,117	1,198	244,925	9,212	1,884,042
- International Investigations	197	82,685	29	12,355	227	95,040	175	96,378	26	14,401	202	110,780	183	103,530	27	15,470	210	119,000
- Visa Security Program	49	20,671	7	3,089	57	23,760	54	24,536	8	3,666	62	28,202	64	28,113	9	4,201	73	32,313
- Intelligence	250	61,558	37	9,198	288	70,756	305	55,436	46	8,284	351	63,720	359	69,492	54	10,384	413	79,876
- DRO - Custody Operations	4,413	1,540,903	659	230,250	5,073	1,771,153	4,853	1,592,350	725	237,937	5,578	1,830,287	4,938	1,684,836	738	251,757	5,676	1,936,594
- DRO - Fugitive Operations	419	195,231	63	29,172	482	224,403	637	209,360	95	31,284	732	240,643	642	218,525	96	32,653	738	251,178
- DRO - Criminal Alien Program	812	173,869	121	25,980	933	199,850	876	181,457	131	27,114	1,007	208,571	883	193,254	132	28,877	1,015	222,131
- DRO - Alternatives to Detention	96	48,494	14	7,246	110	55,740	160	57,941	24	8,658	184	66,599	163	60,356	24	9,019	187	69,374
- DRO - Transportation and Removal Program	---	240,962	---	36,006	---	276,968	---	244,817	---	36,582	---	281,399	---	245,234	---	36,644	---	281,878
- Comprehensive Identification and Removal of Criminal Al	4	17,072	0	2,551	5	19,623	36	139,821	5	20,893	41	160,714	485	184,306	73	27,540	558	211,846
Federal Protective Service	1,072	\$518,321	---	\$0	1,072	\$518,321	1,225	\$640,000	---	\$0	1,225	\$640,000	---	\$0	---	\$0	---	\$0
Automation Modernization	9	\$39,716	---	\$0	9	\$39,716	18	\$57,000	---	\$0	18	\$57,000	19	\$110,000	---	\$0	19	\$110,000
Construction	9	\$39,536	---	\$0	9	\$39,536	9	\$5,000	---	\$0	9	\$5,000	---	\$0	---	\$0	---	\$0
Total Direct Appropriations and Budget Estimates	14,925	\$4,633,655	2,067	\$603,093	16,992	\$5,236,748	17,154	\$4,988,673	2,376	\$640,537	19,530	\$5,629,210	16,887	\$4,762,760	2,521	\$695,240	19,408	\$5,458,000
Fee Accounts	402	\$239,366	---	\$0	402	\$239,366	600	\$299,000	---	\$0	600	\$299,000	726	\$304,800	---	\$0	726	\$304,800
Student Exchange and Visitor Fee	119	62,700	---	---	119	62,700	261	120,000	---	---	261	120,000	387	120,000	---	---	387	120,000
Breached Bond	7	63,613	---	---	7	63,613	63	60,000	---	---	63	60,000	63	75,000	---	---	63	75,000
User Fee	276	113,053	---	---	276	113,053	276	119,000	---	---	276	119,000	276	109,800	---	---	276	109,800

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

**Department of Homeland Security
Immigration and Customs Enforcement (ICE)**

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2008	Overdue	FY 08 House Report	Textile Transshipment - ICE is directed to report on its execution of the five-year strategic plan regarding textile transshipment enforcement.	Final review stage at DHS OCFO
2008	Overdue	FY08 Conf Report	Detention and Removal Operations (DRO) Quarterly Report - ICE is directed to continue to report quarterly on deportation, exclusion, and removal orders sought and obtained by ICE.	Final review stage at DHS OCFO
2009	3/1/2009	FY 09 Conference Report	Transportation of Unaccompanied Alien Minors - ICE, along with DHS, OMB, and HHS, will issue recommendations on which agency is most appropriate to fund the transportation of unaccompanied alien minors between DHS and HHS custody.	In coordination with OMB and HHS.
2009	4/6/2009	FY 09 Conference Report	Transportation of Unaccompanied Alien Minors - ICE shall provide briefing on recommendations contained in March 1 report.	In coordination with OMB and HHS
2009	2/13/2009	FY 09 Senate Report	DRO Quarterly Report - ICE is directed to continue to report quarterly on deportation, exclusion, and - removal orders sought and obtained by ICE.	Final review stage at DHS OCFO
2009	Not specified	FY 09 Approp. Bill	Automation Modernization - \$5M is withheld until ICE submits expenditure plans.	In review in ICE.
2009	4/3/2009	FY 09 Stimulus Bill	ARRA Tactical Communications - The appropriations language of the stimulus bill requires ICE to submit an expenditure plan for the \$20 million ICE received for the procurement and deployment of tactical communications equipment and radios.	Sent to Congress 4/3/09.
2009	11/14/2008	FY 09 Conference Report	Special Interest Aliens - ICE is directed to provide a classified briefing on the disposition of Special Interest Aliens.	In review in ICE.
2009	4/6/2009	FY 09 House Report	287(g) Agreements - ICE should submit a comprehensive plan for ensuring adequate oversight and regulation of all state and local immigration enforcement agreements.	In review in ICE.

2009	1/5/2009	FY 09 Approp. Bill	Alternatives to Detention - ICE will submit a plan for nationwide implementation for the ATD program that identifies the following: the funds required for implementation, the timeframe for achieving implementation, and an estimate of the number of individuals	In review in ICE.
2009	4/26/2009 (with FY10 CJ)	FY 09 Conference Report	Textile Transshipment - ICE will report progress on textile transshipment enforcement. The report should delineate the actual and projected obligations of this funding from FY 05 to FY 10.	In review in ICE.
2009	5/15/2009	FY09 Senate Report & House Report	Secure Communities/Comprehensive Identification and Removal of Criminal Aliens (SC/CIRCA) - ICE will report on progress implementing the \$350M (total) SC/CIRCA funds and the \$1B for criminal aliens.	
2009	5/15/2009	FY 09 Conference Report	OI Quarterly Spend Plan - ICE will provide quarterly updates on the OI Spend Plan.	
2009	5/15/2009	FY 09 Conference Report	DRO Quarterly Report - ICE is directed to continue to report quarterly on deportation, exclusion, and - removal orders sought and obtained by ICE.	
2009	5/15/2009	FY 09 House Report	Children in Detention Quarterly Report - ICE will report quarterly on any incidents involving strip searches of children, or placing them in restraints and/or using disciplinary weapons against them.	
2009	8/14/2009	FY09 Senate Report & House Report	SC/CIRCA - ICE will report on progress implementing the \$350M (total) SC/CIRCA funds and the \$1B for criminal aliens.	
2009	8/14/2009	FY 09 Conference Report	OI Quarterly Spend Plan - ICE will provide quarterly updates on the OI Spend Plan.	
2009	8/14/2009	FY 09 Conference Report	DRO Quarterly Report - ICE is directed to continue to report quarterly on deportation, exclusion, and - removal orders sought and obtained by ICE.	
2009	8/14/2009	FY 09 House Report	Children in Detention - ICE will report quarterly on any incidents involving strip searches of children, or placing them in restraints and/or using disciplinary weapons against them.	
2009	11/14/2009	FY09 Senate Report & House Report	SC/CIRCA Quarterly Report - ICE will report on progress implementing the \$350M (total) SC/CIRCA funds and the \$1B for criminal aliens.	

2009	11/14/2009	FY 09 Conference Report	OI Quarterly Spend Plan - ICE will provide quarterly updates on the OI Spend Plan.	
2009	11/14/2009	FY 09 Conference Report	DRO Quarterly Report - ICE is directed to continue to report quarterly on deportation, exclusion, and - removal orders sought and obtained by ICE.	
2009	11/14/2009	FY 09 House Report	Children in Detention Quarterly Report - ICE will report quarterly on any incidents involving strip searches of children, or placing them in restraints and/or using disciplinary weapons against them.	
2009	Completed	FY 09 Conference Report	OI Quarterly Spend Plan - ICE will provide quarterly updates on the OI Spend Plan.	Sent to Congress 11/18/08
2009	Completed	FY 09 Conference Report	SC/CIRCA - ICE will report how it plans to spend \$1B across the agency to identify and remove deportable criminal aliens in FY 2009.	Sent to Congress 12/17/08
2009	Completed	FY 09 Conference Report	SC/CIRCA - ICE will report how the \$150 million in new, two-year funding will be used to identify and remove deportable criminal aliens.	Sent to Congress 12/17/08
2009	Completed	FY 09 Approp. Bill	FPS - The Secretary and OMB Director shall certify that FPS will be fully funded to ensure at least 1,200 enforcement personnel.	Sent to Congress 12/31/08
2009	Completed	FY 09 House Report	Financial System - ICE is to provide a briefing on the planned use of the \$7M provided for the financial system.	Sent to Congress 01/30/09
2008	Completed	FY08 Conf Report	DRO Quarterly Report - ICE is directed to continue to report quarterly on deportation, exclusion, and - removal orders sought and obtained by ICE.	Sent to Congress 01/30/09
2009	Completed	FY 09 House Report	Children in Detention Quarterly Report - ICE will report quarterly on any incidents involving strip searches of children, or placing them in restraints and/or using disciplinary weapons against them.	Reported 02/13/09
2009	Completed	FY09 Senate Report & House Report	SC/CIRCA Quarterly Report - ICE will report on progress implementing the \$350M (total) SC/CIRCA funds and the \$1B for criminal aliens.	Sent to Congress 02/17/09
2009	Completed	FY 09 Conference Report	OI Quarterly Spend Plan - ICE will provide quarterly updates on the OI Spend Plan.	Sent to Congress 02/17/09

2009	Completed	FY 09 House Report	Detainee Medical Care - ICE is given \$2M to immediately undertake a comprehensive review of the medical care provided to detainees. The review should be conducted by independent medical experts, selected with the advice of the OHA, to identify deficiencies	Completed
2009	Completed	FY09 House Report	Family Detention Centers - ICE will provide a briefing on future plans for family detention facilities	Briefing completed 3/18/09
2009	Completed	FY 09 House Report	Children - ICE is directed to submit a briefing that details training programs for its employees who encounter children.	Briefing completed 3/18/09

iv. Schedule of Authorized/Unauthorized Appropriations by PPA

Department of Homeland Security
U.S. Immigration and Customs Enforcement
 Schedule of Authorized/Unauthorized Appropriations by Program Project/Activity
 (Dollars in Thousands)

Budget Activity	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2010 Request
	Fiscal Year	Amount	Amount	Amount
Salaries and Expenses	2003¹ / 2004³	N/A¹ / \$1,399,592.4³	\$3,032,094²; N/A⁴	\$5,348,000
- Personnel Compensation and Benefits, Service, and Other Costs	2003 ¹ / 2004 ³	N/A ¹ / \$1,399,592.4 ³	\$3,032,094 ² ; N/A ⁴	321,850
- Headquarters Managed IT Investment	2003 ¹	N/A	N/A ⁶	243,264
- Legal Proceedings	2003 ¹	N/A	N/A ⁶	221,666
- Domestic Investigations	2003 ¹ / 2004 ³	N/A	N/A ⁶	1,615,551
- International Investigations	2003 ¹ / 2004 ³	N/A	N/A ⁶	112,872
- Visa Security Program	2003 ¹	N/A	N/A ⁶	30,186
- Intelligence	2003 ¹	N/A	N/A ⁶	67,842
- DRO - Custody Operations	2003 ¹	N/A	N/A ⁶	1,771,168
- DRO - Fugitive Operations	2003 ¹	N/A	N/A ⁶	229,682
- DRO - Criminal Alien Program	2003 ¹	N/A	N/A ⁶	192,539
- DRO - Alternatives to Detention	2003 ¹	N/A	N/A ⁶	63,913
- DRO - Transportation and Removal Program	2003 ¹	N/A	N/A ⁶	281,878
- Comprehensive Identification and Removal of Criminal Aliens	2003 ¹	N/A	N/A ⁶	195,589
Federal Protective Service	2002	N/A⁵	N/A⁷	\$0
Automation Modernization	2003¹	N/A	\$380,000	\$110,000
Construction	2003¹	N/A	\$258,637¹	\$0
Total Direct Authorization/Appropriation	N/A	\$0	\$3,412,094	\$5,458,000

Note:

¹ Immigration and Naturalization Service--inspection, investigations, Border Patrol, detention and deportation only (8 U.S.C. 1101, note; Immigration and Nationality Act, section 404(a)).

² Includes \$2,862,094,000 from the FY 2003 INS Salaries and Expenses appropriations, and \$170,000,000 included in the FY 2003 Wartime Supplemental Appropriations Act, PL 108-11.

³ Customs Service, including the investigations function (19 U.S.C. 2075(b)(1)).

⁴ No 2004 appropriation for the U.S. Customs Service.

⁵ 40 U.S.C. 1315(a) authorizes the functions of FPS "to the extent provided for by transfers pursuant to the Homeland Security Act of 2002.

⁶ PPA did not exist in the 2003 INS Appropriations.

⁷ FPS was incorporated into the General Services Administrations' Public Building Service.

Department of Homeland Security

U.S. Immigration and Customs Enforcement Salaries and Expenses



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. Immigration and Customs Enforcement (ICE) **Salaries and Expenses**

I. Appropriation Overview

A. Mission Statement:

Programs funded through the Salaries and Expenses account contribute to the ICE mission of bringing a unified and coordinated focus to the enforcement of federal immigration and customs laws. Salaries and Expenses resources are used to combat terrorism and illegal immigration activities through investigating, detaining, and prosecuting both criminal and other aliens, and domestic gangs. These activities protect the infrastructure and persons within the United States.

B. Budget Activities:

Management and Administration

The Offices of the Assistant Secretary (OAS), Professional Responsibility (OPR), State and Local Coordination (OSLC), the Chief Diversity Officer, the Chief Financial Officer (OCFO), the Chief Information Officer (OCIO), Acquisition Management, Human Capital, and Freedom of Information Act perform the management and administration (M&A) activities for ICE. The M&A activities include executive and overall leadership direction, strategic planning, policy development, and administrative support for the human, financial, information, and physical resources required to facilitate the operational capabilities of a productive ICE workforce.

Legal Proceedings

The Office of the Principal Legal Advisor (OPLA) provides the legal advice, training, and services required to support the ICE mission. As the legal representative for the U.S. Government at immigration court hearings, OPLA attorneys handle a variety of immigration-related issues that range from contested removals to custody determinations to applications for administrative relief. Additionally, OPLA provides legal advice in customs-related enforcement actions, represents the Government in Merit System Protection Board and Equal Employment Opportunity hearings, provides ethics advice, and handles matters involving commercial and administrative law.

Investigations

The Office of Investigations (OI) is divided into four broad investigative categories: National Security; Financial and Trade; Smuggling and Public Safety; and Investigative Services. OI enforces trade and immigration laws through the investigation of activities, persons, and events that may pose a threat to the safety or security of the United States and its people. OI also investigates illegal trafficking in weapons (including weapons of mass destruction), the smuggling of narcotics and other contraband, human smuggling and trafficking, money laundering and other financial crimes, fraudulent trade practices, identity and benefit fraud, child pornography, child sex tourism, and health and public safety dangers.

International Affairs

The Office of International Affairs (OIA) conducts investigative efforts in over 50 Attaché offices in 40 foreign locations. OIA performs a multi-faceted enforcement mission that includes working with foreign governments and international partners to facilitate enforcement of U.S. customs and immigration laws beyond U.S. borders. OIA facilitates removals and repatriations of aliens from the United States to foreign locations. OIA operates the Visa Security Program (VSP), which focuses on high-risk visa-issuance locations to identify and interdict potential threats before they enter the United States. OIA represents ICE internationally and collaborates with U.S. Citizenship and Immigration Services (USCIS), U.S. Customs and Border Protection (CBP), other DHS components, Department of State (DOS), and other U.S. Government entities.

Intelligence

The Office of Intelligence collects, analyzes, and distributes information on critical homeland security vulnerabilities that could be exploited by terrorist and criminal organizations. Intelligence utilizes data and information on the movement of people, money, and materials into, within, and out of the United States to provide accurate and timely reporting to ICE leadership and field agents. Intelligence Operations' Field Intelligence Groups (FIGs) are the agency's primary vehicle for intelligence analysis in support of field operations and enforcement. FIGs link headquarters and field components to facilitate intelligence collection, integration, analysis, and dissemination.

Detention and Removal Operations

The Office of Detention and Removal Operations (DRO) is responsible for ensuring that every alien who has been ordered removed departs the United States through enforcement of the Nation's immigration laws and coordination with foreign governments to ensure countries will accept removable aliens. DRO is comprised of five Program/Project Activities:

Custody Operations Program – This program provides safe, secure, and humane detainment for removable aliens and seeks to ensure that aliens in ICE custody appear for their immigration hearings and subsequent removal from the United States.

Fugitive Operations Program – This program locates and apprehends fugitive aliens in the United States. ICE strives to identify and apprehend all fugitives, creating a deterrent to potential absconders and increasing the integrity of the immigration process.

Criminal Alien Program – This program identifies criminal aliens incarcerated within federal, state, and local correctional facilities. To ensure that these criminal aliens are not released into the community, ICE secures a final order of removal prior to the termination of their sentences. Upon completion of their criminal sentences, aliens are transferred into ICE custody to remove them from the United States.

Alternatives to Detention Program – This program places low-risk aliens under various forms of intensive supervision rather than traditional detention. It is a cost-effective way to ensure individuals' appearance for an immigration hearing or for removal. This program lowers the risk that aliens will become fugitives through different methods of supervision.

Transportation and Removal Program – This program provides safe and secure transportation of aliens in ICE custody and prepares for and conducts the removal of aliens from the United States, as ordered by an immigration judge.

Secure Communities/A Comprehensive Plan to Identify and Remove Criminal Aliens (SC/CIRCA)

SC/CIRCA sets out a comprehensive plan to improve community safety by transforming the way the federal government cooperates with state and local law enforcement agencies to identify, detain, and remove criminal aliens held in custody. Once it is fully implemented, SC/CIRCA will revolutionize immigration enforcement by using technology to share information between law enforcement agencies and by applying risk-based methodologies to focus resources on assisting all local communities in the removal of those criminal aliens representing the greatest threat to community safety.

C. Budget Request Summary:

U.S. Immigration and Customs Enforcement (ICE) requests 19,928 positions, 19,389 FTE, and \$5,348,000,000 for FY 2010 in the Salaries and Expenses (S&E) account. In order to accomplish the agency’s objectives and mission, ICE is requesting \$5,089,050,000 and 19,110 FTE to maintain current services and \$258,950,000 million and 279 FTE in program enhancements in the S&E account. As part of the current services budget, \$39,100,000 and 18 current on-board positions have been transferred to the S&E account from the ICE Automation Modernization account to fund the salaries of these positions and operations and maintenance costs of the Atlas infrastructure three-year refresh effort. In addition, as part of the current services budget, nine positions have been transferred from the Construction account to the S&E account.

Enhancement Requests

ICE requests program enhancements for the Salaries and Expenses Account in the following key areas:

- **Southwest Border Enforcement..... \$70.0M (176 FTE)**
This cross-program initiative is intended to increase national security by expanding activities to control our borders. This request includes funding to increase enforcement staffing, improve cooperative efforts with the Mexican government, and establish another Border Violence Intelligence Cell. At the highest level, this initiative helps prevent the movement of people, money, and materials that could harm the Nation and its people across the Southwest border.

- **Co-Location of ICE Facilities \$92.0M (13 FTE)**
This request funds the second year of the ICE-wide co-location strategy to consolidate ICE personnel and operations scattered across multiple buildings in select metropolitan areas with the intended result being improved operational efficiencies and long-term cost savings.

- **Secure Communities\$39.1M (46 FTE)**
This program aims to remove all Level 1 criminal aliens (those convicted of violent felonies and major drug crimes) from the United States. In order to achieve this goal, ICE requests funds to hire 80 new enforcement personnel who will identify suspected criminal aliens, determine subjects’ alien status, prioritize ICE enforcement actions against the highest threat removable criminal aliens, assist in the removal of apprehended criminal aliens, and to continue ongoing information technology investments that will improve efficiencies within ICE criminal alien identification, prioritization and removal processes.

- **Detention Facilities Inspection Group \$12.4M (25 FTE)**
 The program increase will allow ICE to expand the number and scope of independent inspections on ICE detention facilities and will improve the welfare, safety, and living conditions of ICE detainees and the safety of ICE employees.
- **State and Local Law Enforcement Support \$11.6M (15 FTE)**
 This request will provide funding for the Office of State and Local Coordination (OSLC) to oversee outreach activities for the ICE ACCESS programs. Funding allows for permanent staff for OSLC, continuation of ICE ACCESS, training and information technology assistance for participants in the 287(g) program, and detention bedspace resulting from increased enforcement.
- **Data Center Migration.....\$33.9 M (4 FTE)**
 This request is targeted at migrating data center operations, active online data, and other IT assets from two Department of Justice (DOJ) data centers and multiple processing centers to two new DHS data centers while ensuring near continuous operations of mission-critical IT systems through contingency infrastructure, planning, and testing, to provide systems and data integrity that align with the DHS goal of ensuring that two new DHS Data Centers support fully redundant IT systems.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security U.S. Immigration and Customs Enforcement Salaries and Expenses

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Legal Proceedings	1,124	220,681	1,280	240,145	1,307	259,768	27	19,622	18	13,003	10	6,619
Domestic Investigations	7,605	1,681,200	8,842	1,696,150	9,212	1,884,042	370	187,892	138	123,278	232	64,614
International Investigations	227	95,040	202	110,780	210	119,000	9	8,221	7	6,626	2	1,594
Visa Security Program	57	23,760	62	28,202	73	32,313	11	4,111	0	591	10	3,521
Intelligence	288	70,756	351	63,720	413	79,876	62	16,156	47	13,029	16	3,128
DRO - Custody Operations	5,073	1,771,153	5,578	1,830,287	5,676	1,936,594	98	106,306	21	45,923	77	60,383
DRO - Fugitive Operations	482	224,403	732	240,643	738	251,178	6	10,535	3	5,967	3	4,567
DRO - Criminal Alien Program	933	199,850	1,007	208,571	1,015	222,131	8	13,560	4	8,215	4	5,345
DRO - Alternatives to Detention	110	55,740	184	66,599	187	69,374	3	2,775	1	1,516	3	1,259
DRO - Transportation and Removal Program	---	276,968	---	281,399	---	281,878	---	479	---	---	---	479
Comprehensive Identification and Removal of Criminal Aliens	4	19,623	41	160,714	558	211,846	516	51,132	42	40,802	474	10,330
Subtotal, Enacted Appropriations and Budget Estimates	15,902	\$4,639,175	18,278	\$4,927,210	19,389	\$5,348,000	1,111	\$420,790	279	\$258,950	832	\$161,840
Less: Adjustments for Other Funding Sources:	---	---	---	---	---	---	---	---	---	---	---	---
Net, Enacted Appropriations and Budget Estimates	15,902	\$4,639,175	18,278	\$4,927,210	19,389	\$5,348,000	1,111	\$420,790	279	\$258,950	832	\$161,840

III. Current Services Program Description by PPA

**Department of Homeland Security
U.S. Immigration and Customs Enforcement (ICE)
Salaries and Expenses
Program Performance Justification
(Dollars in thousands)**

PPA: Legal Proceedings

	Perm		
	Pos	FTE	Amount
2008 Actual	1,206	1,124	220,681
2009 Enacted	1,292	1,280	240,145
2010 Adjustments-to-Base	2	10	6,619
2010 Current Services	1,294	1,289	246,765
2010 Program Change	35	18	13,003
2010 President's Budget	1,329	1,307	259,768
Total Change 2009-2010	37	27	19,622

U.S. Immigration and Customs Enforcement requests \$259.8 million for this activity. This is a \$19.6 million increase over the FY 2009 Enacted Budget, of which \$6.6 million is for annualization of prior year funding, pay inflation, and non-pay inflation. The remaining \$13.0 million increase is additional funding for OPLA and requested program increases associated with the M&A programs.

CURRENT SERVICES PROGRAM DESCRIPTION

ICE Legal Proceedings (also referred to as the Office of the Principal Legal Advisor or OPLA) provides the legal representation, advice, training, and services required to support the ICE mission. Pursuant to section 442(c) of the Homeland Security Act, OPLA is the exclusive legal representative for ICE and the DHS legal component authorized to represent the government in all exclusion, deportation, and removal proceedings before the Department of Justice's Executive Office for Immigration Review (EOIR).

As the legal representative for the U.S. Government at immigration court hearings, OPLA attorneys handle a variety of immigration-related issues that range from contested removals to custody determinations to applications for administrative relief. Many of the hearings involve criminal aliens, while others involve terrorists and human rights abusers. Additionally, OPLA provides critical legal support to ICE operational elements concerning customs, worksite enforcement, ethics, employment law, tort claims, and administrative law issues.

OPLA consists of a headquarters component and 26 Chief Counsel Offices (CCOs). The areas of responsibility for these CCOs are consistent with the 26 domestic areas of responsibility within the ICE Office of Investigations (OI). Additionally, Mission Support Divisions provide administrative services to OPLA's operational elements. The following highlights the primary duties and responsibilities of OPLA's headquarters divisions:

- Appellate and Protection Law Division (APLD). APLD has various primary areas of responsibility, which includes the following: appellate and motions practice before the Board of Immigration

Appeals (BIA); federal litigation review; and protection law issues. APLD reviews all ICE appeals to the BIA and plays a lead role in briefing the most significant cases. APLD provides assistance and legal guidance daily to the Chief Counsel Offices and other OPLA/HQ Divisions on appellate and motion practices, as well as protection law issues. In addition, APLD reviews and makes recommendations on adverse federal litigation impacting ICE and provides guidance to the CCOs on developments in the federal courts. APLD works closely with the Department of Justice's Office of Immigration Litigation (OIL), DHS Office of the General Counsel, and U.S. Attorney Offices in developing legal strategy and briefing in significant federal cases. Furthermore, APLD reflects the commitment within ICE and OPLA to the sound and thoughtful handling of protection law issues and cases. The immigration courts and BIA adjudicates tens of thousands of requests for asylum, withholding of removal and for protection under the Convention Against Torture annually. These proceedings play a critical role in the development of U.S. protection law, including the issuance of decisions by the BIA and in federal courts. APLD also has primary responsibility for handling automatic and discretionary stays of immigration court bond decisions, oral arguments before the BIA, and recommendations to certify cases to the Attorney General.

- Commercial and Administrative Law Division (CALD). CALD provides legal advice to ICE and represents ICE in the areas of fiscal law, federal tort claims and Bivens actions, memoranda of understanding and other agreements, contract law, breached bonds, and a range of other administrative law matters in support of ICE operations. CALD also adjudicates administrative tort claims, provides guidance and legal advice concerning procurement actions, and develops and coordinates ICE legal policy in these areas. CALD represents ICE before the Government Accountability Office and the Civilian Board of Contract Appeals in procurement matters. CALD further assists Department of Justice litigation attorneys in representing ICE before the various federal courts in federal tort claims and Bivens cases, procurement matters, and other administrative law matters.
- Enforcement Law Division (ELD). The ELD is responsible for handling traditional immigration enforcement issues, general officer authority issues, and providing legal advice on custom issues. The demand for high quality products from ELD has increased tremendously in recent years. This is illustrated by the dramatic increase in enforcement activities and the need for increased ELD client advice in the areas of detention, expedited removal, stipulated removal, reinstatement of removal and custody determination. ELD plays a significant role in large enforcement operations, including review of warrant affidavits, providing legal advice to operational planners and agency leadership, traveling to the site to advise on legal issues arising during operations, and working extensively with the Department of Justice in related federal court litigation. Further, ELD provides legal support and counsel to the national security and cybercrimes sections of ICE Offices of Investigations and International Affairs, on highly specialized issues.

Additionally, any proposed legislation or regulation on immigration and customs issues requires ELD attention and expertise, whether to draft, negotiate, advise, or comment. OPLA's Regulatory Counsel has various major functions and plays a significant role in ICE's mission, which includes: drafting and assisting others in drafting ICE regulations, including changes in response to comments received during the clearance process, or public comments on a proposed or interim rule; guiding ICE regulations through the clearance process to the publication in the Federal Register of a proposed rule and ultimately a final rule; and reviewing regulations proposed by other agencies that affect ICE's operations.

- Ethics Division. The Ethics Division administers the ICE federal government Standards of Conduct Program, providing training, counseling, and management of the ethics financial disclosure process for all ICE employees. The Ethics Division provides legal professional responsibility advice to ICE attorneys and oversees management inquiries into OPLA employee misconduct complaints.
- Human Rights Law Division (HRLD). HRLD coordinates ICE's litigation efforts nationwide to pursue criminal prosecutions and judicial orders of removal against human rights abusers. HRLD team members work closely with the Office of Investigations and Office of Detention and Removal (DRO) to provide legal advice to agents and officers in the identification, investigation, prosecution, and removal of individuals involved in human rights abuses such as genocide, extrajudicial killings, and torture. HRLD works closely with the Departments of State and Justice, intelligence agencies, and non-governmental organizations to ensure that the United States does not become a safe haven for human rights abusers. HRLD currently has a caseload of 800 cases in various stages of litigation involving individuals from 85 different countries.
- Knowledge Management Division (KMD). KMD is responsible for assuring that information relating to the critical issues of the day is available and rapidly developed into knowledge for decision-making processes. This includes obtaining and managing access to all critical databases, such as TECS, Consular Consolidated Database (CCD), and the new systems of agencies and other DHS components, such as U.S. Citizenship and Immigration Services (USCIS) Enterprise Document Management System (EDMS). KMD develops and provides the organizational processes for a synergistic combination of the data and information-processing capacity of information technologies and the creative and innovative capacity of human beings. Toward this end, the KMD has developed and deployed the General Counsel Electronic Management System (GEMS) – a case and document management system. KMD develops, monitors compliance of users, and analyses OPLA workload and performance data. KMD is OPLA's liaison with the Office of the Chief Information Officer (OCIO) on all issues, including field office support, deployment of new systems and hardware, information sharing and system compatibility, and e-discovery. KMD staff serves as subject matter experts for OPLA IT in the field.
- Labor and Employment Law Division (LELD). LELED provides legal advice and represents ICE in the areas of employment and labor law. LELED represents ICE before the Equal Employment Opportunity Commission, the Merit Systems Protection Board, and the Federal Labor Relations Authority in employment and labor matters. LELED assists Department of Justice litigation attorneys in representing ICE before the various federal courts in Freedom of Information Act and Privacy Act cases and other labor law matters.
- Legislative Counsel. Legislative Counsel drafts and reviews legislative proposals for ICE, including coordinating the legislative proposals with the ICE Office of Congressional Relations, Office of Policy, and ICE Executive Secretariat, as well as coordinating with the DHS Office of the General Counsel and DHS Policy Office.
- National Security Law Division (NSLD). NSLD provides legal advice and oversees litigation involving special interest cases, including those involving international terrorism, counter-terrorism, espionage, and other national security matters. The legal work performed by the NSLD is critical to ICE's efforts to protect the nation's security. NSLD attorneys are involved in a fast-paced practice, working closely with other federal law enforcement and intelligence agencies, including the FBI and CIA, and routinely make decisions that have an immediate impact on national security.

Specifically, NSLD attorneys oversee and coordinate removal proceedings involving terrorists and foreign intelligence agents, provide legal support and training to ICE's OI (especially the Counter Terrorism Unit, National Security Integration Center, and Visa Security Unit) and Office of Intelligence, and liaison with the Civil and Criminal Divisions of the Department of Justice.

- Strategic Management Division (SMD). SMD serves as the central point for the general planning, budgeting, and managing of OPLA. SMD administers OPLA's strategic plan ensuring OPLA maintains a trained, professional, highly motivated, and client-focused staff who effectively and efficiently handle legal matters in support of the ICE mission. SMD ensures that OPLA's objectives are consistent with the ICE Assistant Secretary's strategic vision and coordinates refinements as necessary to OPLA's three to five year plan objectives. Additionally, SMD leads OPLA's risk management activities with ICE planning work groups. By incorporating the activities of strategic planning and risk management, SMD formulates future budget requests for OPLA that are based on Senior Leadership's vision for the organization. SMD conducts on-site reviews of Chief Counsel Offices and coordinates implementation of recommended "best practice" improvements. To help ensure consistency throughout OPLA, SMD drafts new or revised program policy and serves as the central repository for all OPLA policies.
- Training Division (TD). OPLA's TD is responsible for a variety of training events such as, Management Meetings, New Attorney Training, and specialty law training specifically tailored for OPLA staff such as National Security, Human Rights, Labor Law, and Leadership Development Training Program. The TD coordinates and facilitates training with other federal, state, and local government agencies (i.e., 287(g) training). Finally, the TD tracks training for all OPLA employees and ensures compliance with mandatory ICE training requirements.

Key Accomplishments

FY 2008 was a very successful year for OPLA in achieving staffing goals. OPLA had a 17 percent increase to have 831 attorneys on-board.

During FY 2008, OPLA realigned attorney resources to provide increased support and assistance to ICE components and external stakeholders such as the U.S. Attorney's Office. OPLA filled 72 newly created Senior Attorney positions in the field offices. Senior Attorneys provide a myriad of services, but their main duties include: providing training to other ICE components, handling national security and special interest cases, and providing specialized legal advice to the Special Agents-in-Charge (SACs) and Field Office Directors (FODs).

The creation of 21 Special Assistant U.S. Attorney (SAUSA) positions in FY 2008 focused resources primarily on criminal cases brought by the Office of Investigations, thereby increasing the number of ICE cases prosecuted by the US Attorney's Office.

During FY 2008, OPLA attorneys prepared 1,175,373 cases for immigration court (almost a 22 percent increase over FY 2007). In FY 2008, the total number of new matters received by the EOIR was 351,477 and the total matters completed were 339,071. Additionally, the Board of Immigration Appeals received 30,435 appeals filed from decisions made by the immigration judges.

In an effort to increase efficiency of the removal process, OPLA - in conjunction with DRO and EOIR - has focused legal support and stakeholder training efforts on the stipulated removal program to

eliminate the need to have an in-person hearing before an immigration judge. FY 2008 stipulated removal orders increased by almost 44 percent (33,440 total).

In FY 2008, ICE stepped up its worksite enforcement activities as part of its overall increased enforcement activities. OPLA was a major player in these activities and was involved from the initial planning phase of the various operations. During FY 2008, OPLA provided legal advice and training to OI in support of 123 worksite operations. In some of the larger, more significant operations, OPLA deployed attorneys to provide on-site advice to ICE agents and officers.

OPLA's workload also increased due to increased enforcement capabilities such as 287(g), Secure Communities, Criminal Alien Program, and other efforts. For example, as of the end of FY 2008, 287(g)-trained officers encountered over 85,000 aliens that are amenable for placement into removal proceedings.

OPLA's plan for FY 2009 builds upon the FY 2008 accomplishments by expanding support of immigration enforcement actions such as 287 (g), worksite, stipulated removals, and criminal prosecutions. Additionally, OPLA will implement the results of the High Performing Organization (HPO) study that concentrated on the legal support services performed in OPLA's field offices. By increasing efficiencies in field legal support services, support staff will be able to provide additional services in support of the attorneys.

ICE strategic planning indicators for FY 2010 and beyond suggest that ICE will continue to focus casework on immigration enforcement efforts, bulk cash smuggling, contraband smuggling, and aliens committing violent crimes against persons. In support of these ICE initiatives, OPLA will direct resources toward these efforts. Additionally, OPLA's broad objectives for FY 2010 include further enhancing OPLA's capabilities to effectively and efficiently prosecute immigration and customs law violations by further refining and improving efficiencies in how workload is managed.

**Department of Homeland Security
U.S. Immigration and Customs Enforcement (ICE)
Salaries and Expenses
Program Performance Justification
(Dollars in thousands)**

PPA: Investigations

	Perm		
	Pos	FTE	Amount
2008 Actual	7,784	7,605	1,681,200
2009 Enacted	9,259	8,842	1,696,150
2010 Adjustments-to-Base	14	232	64,614
2010 Current Services	9,273	9,074	1,760,764
2010 Program Change	271	138	123,278
2010 President's Budget	9,544	9,212	1,884,042
Total Change 2009-2010	285	370	187,892

U.S. Immigration and Customs Enforcement requests \$1.884 billion for this activity. This is a \$187.9 million increase over the FY 2009 Enacted Budget, of which \$64.6 million is for annualization of prior year funding, pay, and non-pay inflation. The remaining \$123.3 million increase is for requested program increases associated with the M&A programs and the Southwest Border Enforcement enhancement.

CURRENT SERVICES PROGRAM DESCRIPTION

The Office of Investigations (OI) enforces customs and immigration laws through the investigation of activities, persons, and events that may pose a threat to the safety or security of the United States and its people. Investigations lead to the arrest and prosecution of perpetrators and/or result in the removal of individuals posing risks to national security or public safety. OI investigates illegal trafficking in weapons and procurement of sensitive U.S.-origin technology (including weapons of mass destruction); the smuggling of narcotics and other contraband; human smuggling and trafficking; money laundering and other financial crimes; fraudulent trade practices; identity and benefit fraud; child pornography; child sex tourism; employers that hire illegal and undocumented workers; and health and public safety dangers.

The five investigative components of OI use immigration and customs authorities to address vulnerabilities and prevent violations that threaten national security and public safety. The following provides additional detail on OI activities:

National Security Investigations: OI works to deter and dismantle terrorist groups, individuals, and companies involved in the illegal procurement and movement of weapons of mass destruction and their materials and components. National Security Investigations personnel work closely with the Federal Bureau of Investigation's Joint Terrorism Task Forces (JTTFs). JTTFs utilize the collective resources of the participating agencies for the prevention, deterrence, and investigation of terrorism and related activities occurring in or affecting the United States.

The Counter Proliferation Unit (CPU) leads U.S. Government efforts to prevent foreign adversaries from illegally obtaining U.S. military products and sensitive technology, including weapons of mass

destruction components. ICE special agents possess the U.S. Government's most extensive expertise, longest ranging experience, and broadest export-related authorities.

Project Shield America is ICE's public and industry outreach program. Under this program, ICE special agents visit U.S. manufacturers and exporters of arms and sensitive goods to educate them about U.S. export laws and solicit their assistance in identifying potential illegal exports. Since late 2001, ICE special agents have conducted more than 14,000 presentations, resulting in tips that have led to ICE criminal investigations.

Millions of nonimmigrant aliens enter the United States every year to visit, work, and attend school. An estimated 100,000 of these aliens annually will overstay or violate the terms of their authorized period of admission, for economic, personal, and criminal reasons. In an effort to combat this threat, the federal government has implemented the National Security Entry Exit Registration System (NSEERS), the Student and Exchange Visitor Information System (SEVIS), and U.S. Visitor and Immigrant Status Indicator Technology (US-VISIT) to track nonimmigrant aliens in the United States. The responsibility for enforcing these systems lies with the Compliance Enforcement Unit (CEU).

The Threat Analysis Section (TAS), a part of the National Security Unit (NSU), is a specialized group of agents and intelligence analysts who proactively identify persons of interest from within the non-immigrant community of visitors, students, and temporary workers in the United States. The TAS uses the latest computer technology and access to immigration, law enforcement, and intelligence information to identify hidden links and associations between persons and events that could indicate a previously unknown threat.

National Security Investigations personnel participate in the Human Smuggling and Trafficking Center (HSTC), which combines ICE's resources with other federal agency representatives from the policy, law enforcement, intelligence and diplomatic arenas to work together to achieve increased progress in addressing the problems of human smuggling, human trafficking, and clandestine terrorist mobility.

Financial Investigations: OI identifies, investigates, disrupts, and dismantles criminal organizations and the complex systems used to launder funds generated from smuggling, human trafficking, financial scams, commercial fraud and intellectual property rights violations, forced child labor, and other criminal activity. In coordination with private sector partners, OI reduces the vulnerability of U.S. financial systems to exploitation by terrorist and other criminal organizations, and seizes illicit proceeds derived from and used for criminal activity. In view of the significant role that financial assets and money laundering play in sustaining criminal organizations and criminal activity, all ICE investigations include a financial component.

The Cornerstone Initiative focuses on coordination and cooperation with other domestic and foreign law enforcement agencies and the private sector to eliminate vulnerabilities in U.S. financial systems and disrupt and dismantle alternative financing mechanisms that terrorists and other criminals use to earn, move, and store illicit funds.

The domestic Trade Transparency Unit (TTU) and Money Laundering Coordination Center (MLCC) provide the analytical infrastructure to support financial and trade investigations. The TTU provides the capability to identify and analyze complex trade-based money laundering systems, such as the estimated \$5 billion-per-year drug money-laundering scheme known as the Black Market Peso Exchange (BMPE).

OI actively participates in collaborative investigative task forces with other federal, state, local, and international law enforcement agencies (e.g., High Intensity Financial Crime Area programs, Joint Vetting Units, Financial Action Task Forces) targeting terrorist financing and transnational money laundering.

Smuggling/Public Safety Investigations: OI identifies, deters, interdicts, and investigates activities associated with the unlawful movement of people and goods into and out of the country. In addition to conducting investigations targeted at disrupting and dismantling activities of groups and individuals engaged in the smuggling of humans and contraband, OI investigates human rights violations, exploitation of individuals, importation of hazardous and prohibited items, identity and benefit fraud, critical infrastructure protection/worksites enforcement, and violent criminal aliens.

Agents are confronted with numerous challenges in the effort to combat drug traffickers and, ultimately, significantly reduce the amount of illegal drugs introduced into the United States each year. Drug smuggling organizations continue to develop new and sophisticated methods to smuggle drugs into the United States by developing new concealment techniques, organizing internal conspiracies (i.e., criminals target corrupt personnel within a company or transportation industry to introduce contraband into otherwise legitimate cargo or conveyances), using various transshipment routes, and attempting to corrupt law enforcement officers.

Using programs such as the Maritime Port Security Program, OI is committed to eliminating the threats posed by internal conspiracies and smuggling organizations. Operation Safe Harbor focuses on investigative initiatives in the maritime port environment as well as non-investigative initiatives including cooperative programs with CBP and other DHS agencies.

Resources and support for these investigative efforts are enhanced through increased coordination and cooperation with other federal, state, tribal, local, and foreign law enforcement agencies and through participation in task forces such as the Organized Crime Drug Enforcement Task Force, the High Intensity Drug Trafficking Area, and the High Intensity Financial Crime Area programs.

The Commercial Fraud Unit and National Center for Intellectual Property Rights (IPR Center) targets predatory and unfair trade practices that threaten our economic stability, restrict the competitiveness of U.S. industry in world markets, and place the public health and safety of the American people at risk. ICE is the only federal agency that investigates predatory and unfair trade practices under title 19 of the U.S.C.

Identity and benefit fraud is a vulnerability of national security because it enables terrorists and criminals to exploit the legitimate immigration process and obtain “legal” status in the United States via fraudulent means. Benefit fraud is an extremely lucrative form of organized white-collar crime; it is complex and challenging to investigate, and often involves sophisticated, multi-layered schemes with multiple co-conspirators that take years to investigate and prosecute. OI focuses on identifying and targeting the most significant, prolific, and egregious violators, and individuals and organizations that pose a risk to national security or public safety.

Violent criminal aliens, such as sexual predators and street gang members, pose a significant threat to public safety. In partnership with state and local law enforcement, OI investigates foreign-born sex offenders for violations of laws in order to remove them from the country. Likewise, OI coordinates investigations with domestic and international law enforcement to disrupt and dismantle street gangs with foreign-born members, which have been involved in various crimes with a nexus to the border,

such as drug and human smuggling, weapons trafficking, document fraud, and the export of stolen goods. OI also works to deny safe haven to human rights violators in the United States by investigating their violations of U.S. criminal and immigration laws.

Through worksite enforcement initiatives, OI works with the federal and private sector to prevent criminals and terrorists from penetrating and crippling the U.S. economy by gaining employment in critical and sensitive areas. OI enforcement operations prioritize and target the most important, and vulnerable, facilities for enforcement activity, and identify and remove unauthorized facility workers through multi-agency screening and arrest operations. Furthermore, OI is applying sanctions to criminal employers whose employment practices constitute worker exploitation or have a nexus to alien smuggling or fraud. OI also conducts enforcement operations and I-9 audits on egregious violators that are not complying with the Employment Eligibility Verification requirements and have adopted the use of unauthorized workers as part of their business strategy. OI also conducts proactive outreach presentations and seminars under the ICE Mutual Agreement between Government and Employers (IMAGE) program to educate employers and trade associations as to their legal responsibilities that will help them remain in or achieve compliance with immigration and related laws.

Investigative Services: OI provides investigative support services to all categories of investigation, through including Asset Forfeiture and the Law Enforcement Support Center (LESC). Asset Forfeiture laws allow ICE OI agents to store and maintain seized property and forfeit the illicit proceeds and other criminally derived assets from critical infrastructure cases. Illicit proceeds are gained by organizations utilizing undocumented workers at Ports of Entry and/or In-Bond warehouses and are used to sustain the criminal activity and to fund other criminal endeavors. The LESL is an ICE 24-hour national enforcement operations facility that provides real-time immigration status assistance to federal, state, and local LEAs on aliens suspected, arrested, or convicted of criminal activity. The LESL responds to inquiries from state and local law enforcement partners who have apprehended individuals suspected of being in the country illegally. The LESL processes biometric information on criminal arrestees generated through interoperability between the FBI IAFIS database and the US-VISIT IDENT database to identify removable criminal aliens and research the severity of the subject's criminal history for prioritization of enforcement actions. These efforts directly support the ICE Secure Communities Initiative.

Law Enforcement Support & Information Management: OI provides investigative support services to all categories of investigation, including the Cyber Crimes Center (C3), Technical Operations, and the Forensic Document Laboratory (FDL). The C3 manages Operation Predator and investigates and provides computer forensics on domestic and international criminal activities occurring on, or facilitated by, the Internet, including document and benefit fraud, arms and strategic technology, money laundering, counterfeit pharmaceuticals, child pornography, and child sex tourism investigations.

The FDL is the only federal crime laboratory dedicated exclusively to detecting and deterring travel and identity document fraud. This capacity is critical to finding and eliminating the root causes of immigration fraud. Technical Operations assists the field by providing support for technical equipment needs including tracking devices, video equipment, body wires, covert entry, Title III equipment, Telecommunications Linking System as well as supporting all ICE OI Title III telephone, email and IP intercepts, and pen registers. Technical Operations provides training in undercover (UC) classes, designated technical agent (DTA) classes, technical enforcement officer (TEO) classes, Title III classes, Penlink software classes, and to foreign governments.

Key Accomplishments

In addition to ongoing activities, OI accomplished the following in FY 2008:

- initiated export enforcement programs dedicated to specific dual-use and military technology;
- initiated Operation TECH DEFENSE to identify and prosecute individuals, corporations and criminal organizations that unlawfully attempt to gain illegal entry into the United States to acquire export restricted information and technology and/or access to critical infrastructure facilities;
- established a visa waiver enforcement program that applies sophisticated name analysis software to investigate violators that pose an elevated risk to national security;
- activated the Bulk Cash Smuggling Center, within the LESC, to provide real time investigative and logistical support to law enforcement agents encountering bulk cash smuggling and other money laundering activity;
- expanded Border Enforcement Security Task Forces (BESTs) to target violent criminal organizations along the Northern border;
- established an ICE Intellectual Property Rights (IPR) and IMAGE Center (I3), which allows IMAGE and IPR to conduct corporate outreach and house the DC SAC Office's Document and Benefit Fraud Task Forces (DBFTFs);
- continued existing efforts by the Cyber Crimes Center (C3) to investigate and coordinate cases involving intellectual property violations (to include pharmaceuticals) and illegal export violations occurring online;
- implemented Operation Guardian in collaboration with CBP, Food and Drug Administration and the Consumer Product Safety Commission to target, interdict, and investigate the importation of substandard, tainted and counterfeit products being imported into the United States from the People's Republic of China (PRC);
- in conjunction with the Office of International Affairs (OIA), formally launched "Operation Armas Cruzadas" in order to combat the smuggling of weapons from the United States into Mexico. As part of this initiative, DHS and Government of Mexico (GoM) agencies are partnered in bi-lateral weapons smuggling interdictions, investigations, and intelligence-sharing activities; and
- in conjunction with Secure Communities, participated in outreach efforts to local law enforcement regarding ICE's transformative initiative to identify removable criminal aliens through use of biometric information submitted by local law enforcement to the FBI at time of arrest.

In addition to ongoing activities, OI plans to accomplish the following in FY 2009:

- coordinate with the Secure Communities initiative to identify removable criminal aliens and research the severity of the subject's criminal history for prioritization of enforcement actions;
- implement Operation Stamp Out in collaboration with CBP, U.S. Postal Inspection Service to combat the rise in the importation and distribution of counterfeit U.S. Postal money orders, stamps, and meter stamps into the United States;
- undertake an initiative to exchange information and conduct joint investigations with the PRC;
- in coordination with CBP, implement HQ-initiated Fraud Investigative Strike Team Operations to ten (10) ports/ICE Offices;
- expand the ability of the C3 to address the increases in digital data forensics volumes, while developing new tools and methods to manage and improve the analysis of derived digital information;
- continue the roll-out of Operation TECH Defense, an initiative intended to disrupt and deny suspect non-immigrants access to sensitive U.S. technologies through either immigration or export enforcement actions;

- reduce vulnerabilities in U.S. critical infrastructure, unlawful acquisition of export restricted technology, and unlawful entry of unauthorized non-immigrants into the United States; and,
- expand Operation Guardian to incorporate additional agency partners and increase the scope of targeting, interdiction, and investigation of the importation of substandard, tainted and counterfeit products being imported into the United States;
- initiate the Armas Cruzadas Surge Operation consisting of a three-month enforcement period that will utilize all available assets to conduct enforcement activities which will maximize weapons interdictions. These activities include targeting of known weapons proliferation networks and conducting roving southbound operations with CBP at the ports of entry (POEs);
- migrate the LESC's Alien Criminal Response Information Management (ACRIME) System from a FoxPro database to an Oracle database to further enhance system backup capabilities, improve scalability and availability, and ensure compliance with ICE IT architecture standards; and
- award a contract to gather requirements and document efforts to develop a system that will determine threat by utilizing data provided directly in the immigration status request, national security threat lists, and criminal history information provided by the National Crime Information Center (NCIC).

In FY 2010, OI will:

- expand Operation Armas Cruzadas to incorporate additional agency partners and increase the scope of targeting, interdiction, and investigation of the smuggling of weapons from the United States into Mexico to reduce the flow of weapons trafficking through U.S. borders;
- reduce the nation's vulnerability to exploitation of nonimmigrant visas/programs by increasing compliance enforcement actions;
- coordinate with CBP to expand the "security bond" initiative targeting the illegal diversion of commercial goods transported globally via the in-bond process;
- continue export enforcement programs dedicated to specific dual-use and military technology;
- expand training and targeting of potential violators in support of Operation TECH DEFENSE through the identification of sensitive technologies, the manufacturers of those technologies and determining whether the companies are compliant with immigration and export regulations and laws;
- develop additional commercial fraud based initiatives in coordination with CBP that focus on revenue protection and other import violations. Initiatives would include investigations of antidumping evasion, misclassified textiles, forced labor products, and restricted endangered species importations;
- build on the successful partnerships that have been created through the IMAGE program with exemplary businesses within the area of immigration compliance;
- conduct critical infrastructure and national security violation investigations that involve smuggling or trafficking of aliens or some other form of worker exploitation;
- further enhance national security violation investigations that involve smuggling or trafficking of aliens or some other form of worker exploitation;
- upgrade information technology to enhance trade-based money laundering and commercial fraud investigations;
- partner with the Department of Labor, Department of State, Social Security Administration, U.S. Postal Service, USCIS, and other federal state and local agencies to address document and benefit fraud and vulnerabilities in the immigration process;
- continue IPR Center outreach efforts both nationally and internationally;

- disrupt, dismantle, and eliminate vulnerabilities within internet financial sectors and services before terrorists and other criminal organizations can exploit them;
- continue asset forfeiture investigations by identifying, seizing, and forfeiting illegal proceeds;
- use early threat assessment efforts to identify recurring data availability and data quality issues to expand information sources to include state criminal history archives, prison release date sources, and statistical inferences (e.g., probable custody release dates based on severity of pending charges, criminal history, and holding jurisdiction);
- continue to review current operations to ensure resources are targeted based on risk;
- continue to develop plans that will provide continuity for critical ICE enforcement activities currently conducted at the LESC; and
- continue to support the activities, goals, and plans of Secure Communities working with Federal, State and local law enforcement agencies.

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Program Performance Justification
(Dollars in thousands)**

PPA: International Investigations

	Perm Pos	FTE	Amount
2008 Actual	229	227	95,040
2009 Enacted	222	202	110,780
2010 Adjustments-to-Base	1	2	1,594
2010 Current Services	223	203	112,374
2010 Program Change	13	7	6,626
2010 President's Budget	237	210	119,000
Total Change 2009-2010	15	9	8,221

U.S. Immigration and Customs Enforcement requests \$119.0 million for this activity. This is an \$8.2 million increase over the FY 2009 Enacted Budget, of which \$1.6 million is for annualization of prior year funding, pay, and non-pay inflation. The remaining \$6.6 million increase is for requested program increases associated with the M&A programs and the Southwest Border Enforcement enhancement.

CURRENT SERVICES PROGRAM DESCRIPTION

The Office of International Affairs (OIA) conducts criminal investigations of legal violations involving contraband smuggling, immigration violations, money laundering, arms/technology trafficking, child sexual exploitation (child pornography and child sex tourism), and cyber crimes overseas. OIA Attaché offices also acquire law enforcement intelligence and information; support other Department of Homeland Security (DHS) missions (e.g., DHS security initiatives and trade programs such as the Container Security Initiative (CSI), and the TTUs); conduct international training; and act as the in-country ICE liaison with foreign governments and Embassy Staff.

The Attachés are responsible for the enforcement of health and safety issues related to products imported to the United States, including tainted or prohibited foodstuffs, unsafe toys, and other consumer products. OIA coordinates with foreign counterparts to share information under the bilateral agreements and Customs Mutual Assistance Agreements (CMAAs). The Office of International Affairs refers foreign leads to domestic ICE investigation offices and handles ICE investigative leads. The Attachés investigate and enforce laws for other Federal agencies that have a Memorandum of Understanding with DHS and any other matters as directed by the Secretary of DHS. OIA Attachés serve as senior DHS representatives in some overseas locations.

In addition to supporting the goals of DHS, OIA's activities also support the goals set forth by the Department of State in the areas of regional stability, counter-terrorism, homeland security, weapons of mass destruction, international crime and drugs, economic prosperity, and public diplomacy.

Key Accomplishments

In FY 2008, OIA:

- conducted joint operations to take down a Special Interest Alien criminal facilitation network in Colombia, resulting in 10 high-profile U.S. extraditions and convictions;
- worked with the Department of Defense (DOD) to support efforts in Kabul, Afghanistan and Baghdad, Iraq to support the U.S. Central Command, U.S. Special Operations Command (SOCOM), and U.S. mission interests;
- expanded ICE OIA's presence at DOD Unified Combatant Commands (UCCs);
- established Senior ICE Representative positions at SOCOM and the European Command (EUCOM);
- expedited task force efforts to identify and investigate Politically Exposed Persons (PEPs) in coordination with foreign governments;
- expanded investigations impacting cross-border crime; dismantle multiple human and contraband smuggling organizations;
- assisted in the creation of additional TTUs with interested foreign governments, and initiated vetted units in Mexico and Colombia;
- initiated a major financial investigation of alleged public corruption and money laundering offenses committed within the United States and Italy; ultimately resulting in the seizure and forfeiture of \$122.9 million;
- continued support and assistance to CBP Container Security Initiative (CSI) and all other DHS international programs; and
- increased the number of formal partnerships with vetted foreign law enforcement units to eight. These units are located in Colombia, the Dominican Republic, Ecuador, El Salvador, Honduras, Mexico and Panama. The vetted unit in Colombia saw an increase in the number of seizure warrant applications by 471 percent, the number of assets seized by 994 percent, and the number of arrests for extradition by 280 percent.

In FY 2009, OIA will:

- initiate trans-national investigations in the areas of human trafficking, anti-smuggling, money laundering, child exploitation, fraud and sensitive technology investigations, as well as reduce threats associated with foreign nationals who pose a harm to the United States;
- open new Attaché offices in Ciudad Juarez, Hermosillo, and Monterrey, Mexico, and expand OIA's presence in Mexico to continue to work to combat the ongoing and increasing cross-border violence;
- deter, dismantle, and disrupt trans-national criminal organizations;
- in coordination with foreign governments, expedite task force efforts to identify and investigate "PEPs";
- redeploy assets to expand ICE OIA's presence at DOD Unified UCCs prioritized where DOD and DHS/ICE priorities intersect;
- coordinate and provide logistical support for the Textile Production and Verification Team (TPVT) visits and investigate leads to determine transshipment violations;
- conduct bilateral and multilateral BCS operations;
- deploy three Assistant Attachés to overseas offices based on repatriation workload needs;
- provide eTD demonstrations, conduct negotiations, install the eTD application, and train employees of three candidate country governments; and

- conduct one-on-one training to Parole Coordinators at each of the 26 domestic Special Agents in Charge offices to ensure the effective and efficient adjudication of significant public benefit paroles. SAC Parole Coordinators are the liaisons between each SAC Officer and the Law Enforcement Parole Branch (LEPB). The LEPB receives, vets, adjudicates, and coordinates all law enforcement paroles on behalf of DHS.

In FY 2010, OIA will:

- identify, disrupt and dismantle organizations involved in circumventing established laws and procedures designed to stem systemic vulnerabilities;
- continue to support goals set forth by DHS and the Department of State in the areas of regional stability, counter terrorism, homeland security, weapons of mass destruction, international crime and drugs, economic prosperity, and public diplomacy;
- increase working relationships and coordination with DOD elements and other United States and foreign partners on the GWAT, and combat transnational criminal organizations;
- in coordination with foreign governments, expedite task force efforts to identify and investigate “politically exposed persons” (PEPs);
- increase coordination with host governments to remove aliens from the United States and reduce the time to secure the removal overseas;
- continue to coordinate TPVT visits, international EXBS and BCS training, and ILEA training of foreign law enforcement officials in a wide range of investigative areas;
- continue to support ICE and other DHS law enforcement related programs overseas; and
- participate in efforts to establish formal TTUs.

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Program Performance Justification
(Dollars in thousands)**

PPA: Visa Security Program

	Perm Pos	FTE	Amount
2008 Actual	58	57	23,760
2009 Enacted	77	62	28,202
2010 Adjustments-to-Base	0	10	3,521
2010 Current Services	77	73	31,723
2010 Program Change	1	0	591
2010 President's Budget	77	73	32,313
Total Change 2009-2010	1	11	4,111

U.S. Immigration and Customs Enforcement requests \$32.3 million for this activity. This is an increase of \$4.1 million above the FY 2009 Enacted Budget, of which \$3.5 million is for annualization of prior year funding, pay inflation, and non-pay inflation. The remaining \$0.6 million increase is for requested program increases associated with the M&A programs.

CURRENT SERVICES PROGRAM DESCRIPTION

The Visa Security Program (VSP) was authorized by the Homeland Security Act of 2002. VSP enhances national security by identifying terrorists, criminals, and persons of special interest and preventing them from receiving visas to enter the United States. The Visa Security Program enhances the security of visa issuance at high-risk overseas post by deploying highly skilled and experienced law enforcement officers who: conduct an in-depth investigative review of visa applications that raise security concerns; investigate concerns relating to visa fraud and other criminal activity which can exploit the visa system; and provide advice and training on security issues to Department of State (DOS) consular officers, thereby enhancing their ability to screen security risks as they adjudicate visas.

ICE's overseas presence has been critical to performing the full spectrum of visa security functions, including applicant interviews, original document review, liaison with host country officials, and consular training. VSP is in 14 visa-issuing posts in 12 countries and will expand to an additional four countries in FY 2009. In May 2007, Congress addressed another facet of the Visa Security Program by passing H.R. 2206, which mandated the creation of a Security Advisory Opinion Unit (SAOU) within VSP. The purpose of the SAOU is to integrate ICE federal law enforcement expertise into the current SAO process. The SAOU's findings are incorporated into the overall SAO recommendation used by consular officers to adjudicate targeted non-immigrant visa applications involving cases of national security or foreign policy interest. The team is currently screening and vetting one category of SAO applications and is working to expand to other categories through improved technology.

Key Accomplishments

In FY 2008, OIA:

- increased overseas deployment of visa security officers to three new posts: Casablanca, Morocco, Dhahran, Saudi Arabia, and Frankfurt, Germany;

- expanded ICE participation in the SAO process by establishing a pilot Security Advisory Opinion Unit (SAOU) within VSP;
- developed and refined the VSP/SAOU Tracking System with DOS - a web-based, globally accessible system that will provide the necessary analytical, reporting and data storage capabilities the program requires;
- expanded VSP operations to 11 high-risk visa issuing posts where ICE Special Agents screened more than 748,500 visa applicants, conducted in-depth vetting of more than 311,000 applicants, recommended the refusal of 906 applicants, and generated 77 Watch List nominations; and
- conducted 97 training events to train and advise the DOS consular officers on security issues.

In FY 2009, OIA will continue to:

- expand the VSP by opening four new VSP offices in Amman, Jordan; Jakarta, Indonesia; Bogota, Columbia; and Sana'a, Yemen;
- expand the SAOU to screen and vet additional categories of SAOs;
- continue to develop and refine the VSP/SAOU Tracking System with DOS;
- work with the Office of Chief Information Officer (OCIO) to develop an updated VSP tracking system, called VSPTS-NET based off of existing software in use already by other federal agencies. This update is in response to a recent DHS/OIG audit which identified the need for a more robust VSP tracking system for managing workflow and gathering pertinent metrics, allowing better communication and tracking between OIA offices and with Department of State systems;
- screen visa applicants, conduct in-depth vetting of applicants, recommend the refusal of applicants and generate Watch List nominations to prevent terrorists from entering the United States; and
- conduct training events to train and advise the DOS consular officers on security issues.

In FY 2010, OIA will:

- continue VSP activities at high-risk overseas locations;
- screen visa applicants, conduct in-depth vetting of applicants, recommend the refusal of applicants and generate Watch List nominations to prevent terrorists from entering the United States;
- work with the OCIO to develop phase two of VSPTS-NET;
- expand SAOU operations to screen and vet additional categories of SAOs;
- support investigative initiatives by identifying emerging patterns and national security threats of increased risk from terrorists and other criminals organizations;
- continue to support DHS and other U.S. Government agencies and programs overseas; and
- conduct training events to train and advise DOS consular officers on security issues.

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Program Performance Justification
(Dollars in thousands)**

PPA: Intelligence

	Perm		Amount
	Pos	FTE	
2008 Actual	307	288	70,756
2009 Enacted	383	351	63,720
2010 Adjustments-to-Base	(4)	16	3,128
2010 Current Services	379	366	66,847
2010 Program Change	93	47	13,029
2010 President's Budget	472	413	79,876
Total Change 2009-2010	89	62	16,156

U.S. Immigration and Customs Enforcement requests \$79.9 million for this activity. This is a \$16.2 million increase over the FY 2009 Enacted Budget, of which \$3.1 million is for annualization of prior year funding, pay, and non-pay inflation. The remaining \$13.0 million increase is for requested program increases associated with the M&A programs and the Southwest Border Enforcement enhancement.

CURRENT SERVICES PROGRAM DESCRIPTION

The ICE Office of Intelligence is responsible for managing the ICE intelligence system and its operational functions, including the activities of the headquarters staff, and field offices (Field Intelligence Groups or FIGs) spread throughout the country. The overall aim is to ensure that intelligence developed or received is processed, analyzed, and disseminated to ICE executive management and to operational units as it pertains to homeland security and ICE strategic goals, which include infrastructure protection and investigating the illegal movement of people, money, and cargo entering, exiting, transitioning, or moving within the Nation's borders. The Office of Intelligence recognizes that threats related to the foregoing issues are greatly facilitated by the illegal or uncontrolled migration of aliens across our borders.

The staff, assets, and resources of ICE Intelligence operate across the entire Nation, and respond to the intelligence needs, based on formal, documented requirements of its customers in support of the following programmatic and functional areas:

- **Border Violence Intelligence Cell (BVIC):** The focus of the BVIC is to support the national effort to combat weapons smuggling and stem the surge in violence along the U.S.-Mexico Border. This unit, located at the El Paso Intelligence Center (EPIC), facilitates timely information sharing with state, tribal, local, foreign and other federal law enforcement. The BVIC serves as the central point for analyzing all-source intelligence, referring leads to the Border Enforcement Security Task Force s (BEST) and ICE Attaché Mexico offices to seamlessly support investigation of the networks that span the Southwest border. BEST Groups, ICE Attaché offices, the U.S.-vetted Government of Mexico Arms Trafficking Group, through the BVIC, exchange cross-border weapons-related intelligence. BVIC along with the Alcohol Tobacco and Firearms (ATF) weapons desk, serves as ICE's central point for analyzing all-

source intelligence and trends in firearms smuggling. In December 2008, BVIC in conjunction with DHS intelligence components, produced a strategic assessment of southbound weapons smuggling that guided increased weapons investigation and interdiction operations along the Southwest Border. BVIC works to leverage Federal intelligence assets by improving information sharing between agencies.

- **Human Smuggling and Public Safety:** The focus of this program area is human smuggling, trafficking in persons, immigration benefit fraud, mass migration, and threats to public safety emanating from street gangs. Intelligence personnel assist ICE investigators in leveraging National Intelligence Community resources through intelligence research and continuing liaison. This also deals with violent gangs and criminals in the homeland, using immigration authorities and resources to gather information regarding foreign-born suspects, violators, and gang members.
- **Contraband Smuggling:** This program area deals with international narcotics trafficking organizations, and the disruption of smuggling groups and their operations. While narcotics is of primary importance, other forms of contraband trafficking, such as smuggling of prohibited goods are also of intelligence interest.
- **Illicit Finance and Trade Fraud:** This involves intelligence support regarding illicit movements of money or financial instruments, as well as other commerce-related crime issues such as international trade violations, protection of intellectual property rights, and investigations of public health threats that cross our borders.
- **Counter-Proliferation Intelligence (CPINT):** This program area focuses on the identification and disruption of individuals and organizations involved in the unauthorized movement and procurement of critical technology, dual-use goods, chemical, biological, radiological, nuclear/conventional weapons, and unauthorized U.S. exports to prohibited countries.
- **Field Intelligence Groups (FIGs):** This program area focuses on the support of ICE activities across the country by expanding the previous intelligence field structure from six regional offices to 26 Field Intelligence Groups (FIGs) collocated in cities with ICE investigative offices. This co-location yields the benefits gained by fostering habitual relationships between analysts and the customers they support, and allows for flexibility to support customers in a surge or task-organized manner through augmentation of the FIG staff with analysts temporarily deployed from around the country, connectivity with Intelligence Community assets, and deployment of additional technological assets such as Document Exploitation (IDocX) document exploitation capabilities deployed from headquarters such as that executed in FY09 during the Southwest Border surge, and many other smaller scale operations. Completion of this transition will bring a strategic level of support to ICE operations throughout the Homeland and includes support to all ICE operational components within the Area of Responsibility of each FIG to include the Border Enforcement Security Task Force (BEST) Groups and other joint task forces supported by federal, state, tribal, local and foreign law enforcement partners. On a day-to-day basis, FIGs disseminate products in response to customer requirements against all of the major program areas – Human Smuggling and Public safety, Contraband Smuggling, Illicit Finance and Trade Fraud, and CPINT.

- **SC/CIRCA:** ICE Office of Intelligence provides strategic and tactical intelligence support to Secure Communities operations. Intelligence analysts provide support by exploiting classified reporting, conducting Human Intelligence (HUMINT) collection activities to identify and locate criminal aliens at-large, conducting research using all-source information to develop actionable information on biometric “no match” hits, and producing alerts and reports that enhance officer safety and provide situational awareness to personnel participating in removal operations overseas. Intel also employs link analysis and trend and pattern research, develops risk/threat assessments, and analyzes threat reporting and trends in criminal patterns to support refinement of prioritization of criminal aliens. This allows the prioritization process to remain flexible in dealing with emerging threats and patterns of criminal behavior that put communities at risk.
- **International Intelligence (IIU):** The IIU serves as the focal point in ICE Intel for coordination of intelligence support to Office of International Affairs (OIA) operations worldwide with emphasis on specific regions that have significant levels of transnational criminal activity that affect ICE operations. The IIU gathers, analyzes, and disseminates intelligence relevant to ICE international operations to OIA, ICE Attaché offices, and ICE senior leadership and coordinates intelligence-sharing relating to OIA operations with other ICE Intel units and other law enforcement and intelligence community partners. IIU disseminates Homeland Security Intelligence Reports (HSIRs), to document, add value to, and share intelligence information obtained by Attaché personnel, provides country and regional assessments for leadership; and prepares assessments in support of the National Security Law Division.
- **Collections and Requirements:** This program executes tasks in commitment to increased responsiveness to customer and executive leadership intelligence needs. Intel places continued emphasis on transforming itself into a requirement-driven intelligence service and to improve internal and external information sharing. Critical steps in this process are to identify customer information needs, create requirements for collection and production, assist ICE intelligence analysts in acquiring the information needed to produce accurate, timely and relevant intelligence, and to disseminate that intelligence back to the community of interest. This translates to developing and satisfying strategic, operational and tactical intelligence needs or questions from ICE operational entities and policy makers. In order to meet these commitments, ICE must have clear expectations and requirements so proper resource allocation and staffing levels can be anticipated.

Key Accomplishments

In FY 2008, the ICE Office of Intelligence reported the following successes that reflect its mission of supporting its customers in achieving the strategic goals of the agency:

- **Resource Management-Intelligence Request Intake System (IRIS) and Field Intelligence Groups (FIGs):** A major achievement in FY 2008, which has long-term implications, is the stand up of a requirements gathering and management system that allows customers throughout ICE to elaborate requirements for intelligence support. This initiative allows for more timely and efficient satisfaction of requirements and allows for programmatic coordination in satisfying requirements, and leveraging existing products to meet customer needs. Combined with the reorganization of the program’s field operations into FIGs – to encourage better connectivity with customers – this process improvement allowed ICE to capture 1,131 requirements by year-end. This represents a major increase in the annualized estimate of requirements over FY 2007

(248 elaborated requirements) and provided program management with a much-cleared picture of customer needs. ICE Office of Intelligence satisfied 730 ad hoc customer requirements levied in FY 2008, and addressed, in part, over 19 standing information needs. In 2009, requirements levied are expected to reach over 3,600. The requirements system also allows the Program's leadership to ensure that the completed requirements map to the objectives of the ICE Strategic Plan.

- Customer Satisfaction: Respondent consumers within the National Intelligence Community found 76 percent of products originating from ICE Office of Intelligence of "High Value" and 24 percent were rated as "Of Value."
- Efficiency- IDocX support to Operation CEDAR VALLEY JUNCTION: IDocX system's scanning, digitization, search, retrieval and analysis capabilities were employed by ICE Office of Intelligence analysts to support law enforcement actions against unscrupulous employers by processing identification documents and other records in support of the largest Worksite Enforcement operation in U.S. history. The rapid processing of collected documents enabled the largest number of criminal arrests ever during such an operation. During this operation, ICE Office of Intelligence processed over 230,000 records and other documents within a 72-hour period. This turnaround yielded 303 successful prosecutions. This processing also enabled Office of Investigations to make the largest number of criminal charges ever in such an operation. Specifically, under Title 18 of the U.S. Code, these included 18 charges of Section 1028 (aggravated identity theft), 18 charges of Section 1546 (document fraud), and 42 charges of Section 408 (misuses of a Social Security Card).
- Information Sharing: During FY 2008, ICE Office of Intelligence made three operational Memoranda of Agreements that enabled information sharing with National Intelligence Community partners, and expanded its presence, via the BVIC in order to enhance information sharing capabilities with state, local and other federal law enforcement agencies in response to the issue of southwest border violence. ICE Intelligence is also committed to sharing information derived from ICE operations that can meet the needs of other agencies and governments that have a stake in protecting United States borders. To accomplish this, ICE Office of Intelligence manages the DHS Intelligence Fusion System, an unclassified web based network which enables the timely dissemination of intelligence reporting to over 14,000 law enforcement users worldwide.

In FY 2009 and FY 2010, the Office of Intelligence will continue to employ the Intelligence Requirement Intake System and requirements management process to support our customer's needs for intelligence products in line with the strategic objectives of ICE. As FY 2008 was the baseline year for collecting performance measures on requirements, ICE plans to increase the quantity of requirements satisfied by least 10 percent in FY 2009. This will, in part, be possible through fully staffing the Field Intelligence Groups (FIGs) – particularly in critical regions such as the Southwest border, expanding employment of IDocX, expanding the support of the International Intelligence Unit to ICE activities overseas, and leveraging information shared with other intelligence partners. By building upon our successes from last year, we will continue to meet our mission; ensuring that intelligence developed or received is disseminated to ICE executive management and operational units as it pertains to the objectives of the ICE strategic plan including, infrastructure protection, and the illegal movement of people, money, and cargo entering, exiting, transiting, or moving within the Nation's borders. In addition, ICE will continue to work with DOJ to ensure that each agency's collection and reporting

assets complement each other and that information is shared in an efficient and effective manner. Also, consistent with GAO's recent report recommendation, ICE will move expeditiously to assign people to OCEDTF's Fusion Center and the Special Operations Division. ICE will also take the actions necessary to become a full partner at the El Paso Intelligence Center (EPIC).

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Program Performance Justification
(Dollars in thousands)**

PPA: Detention and Removal – Custody Operations

	Perm		
	Pos	FTE	Amount
2008 Actual	5,168	5,073	1,771,153
2009 Enacted	5,664	5,578	1,830,287
2010 Adjustments-to-Base	10	77	60,383
2010 Current Services	5,674	5,655	1,890,670
2010 Program Change	39	21	45,923
2010 President's Budget	5,713	5,676	1,936,594
Total Change 2009-2010	49	98	106,306

U.S. Immigration and Customs Enforcement requests \$1.937 billion for this activity. This is a \$106.3 million increase over the FY 2009 Enacted Budget, of which \$60.4 million is for annualization of prior year funding, pay, and non-pay inflation. In addition, due to the unforeseen increases and adjustment to the detainee healthcare delivery systems and oversight requirements, this amount includes a one-time adjustment-to-base of \$36.2M for the Custody Ops PPA to maintain current bed space levels. The remaining \$45.9 million increase is for requested program increases associated with the M&A programs.

CURRENT SERVICES PROGRAM DESCRIPTION

Custody Operations provides safe, secure, and humane conditions of detention for aliens taken into custody or arrested by ICE and other law enforcement entities, such as the Office of the Border Patrol, and state, county, and local law enforcement jurisdictions within the United States.

ICE secures bed space capacity in numerous detention facilities, and monitors these facilities for compliance with National Detention Standards. These standards specify the living conditions appropriate for detainees and ensure that detainees are treated with dignity and respect, and that they receive the best possible care while they are housed at a facility. The Detention Facilities Inspection Group (DFIG), within the ICE Office of Professional Responsibility, monitors conditions where ICE detainees are held in order to assure that facilities utilized by ICE maintain appropriate conditions of confinement consistent with correctional industry standards and practices.

Additional detention facility oversight mechanisms to assure compliance with the National Detention Standards include: annual inspections and on-sight at all of our facilities, and ongoing quality assurance compliance monitoring at our largest facilities. Both the inspections and compliance monitoring are performed by outside contractors who maintain considerable detention facilities, programs, and services expertise.

ICE owns and operates seven secure detention facilities called Service Processing Centers (SPCs). They are located in: Aguadilla, Puerto Rico; Batavia, New York; El Centro, California; El Paso, Texas; Florence, Arizona; Miami, Florida; and Los Fresnos, Texas. ICE implemented a design-build approach to enhance the physical plan of SPCs and support facilities. With the addition of two administration

and processing complexes at the Krome SPC in Miami and the Port Isabel SPC in Texas, operational efficiency at these locations has greatly advanced due to improving internal logistics and meeting the national standards for conditions of confinement.

ICE utilizes seven contract detention facilities (CDFs), which are run by contractors solely for ICE. These facilities are located in: Aurora, Colorado; Houston, Texas; Tacoma, Washington; Elizabeth, New Jersey; Broward County, Florida; Pearsall, Texas; and San Diego, California. In addition, nationwide Inter-governmental Service Agreements (IGSAs), ICE contracts for additional bed space with state and local facilities. Further, ICE supplements detention capacity through an arrangement with the Federal Bureau of Prisons' (BOP) Federal Detention Center in Oakdale, Louisiana.

In recent years, ICE launched efforts to consolidate the detained population in select detention facilities based on careful analysis of immigration, geographical and legal requirements. To this end, in FY 2007, ICE moved forward with plans to consolidate its detention capacity across the country by building a system that will include facilities of 1,000 beds or greater located strategically across the United States. ICE opened the first of these facilities in Stewart County, Georgia. These facilities increase efficiencies due to the immediate proximity between the detainee and case management staff, attorneys, Executive Office of Immigration Review (EOIR), and removal locations. The plan included maximizing the utilization of existing facilities and excess detention capacity in an effort to reduce costs and activation time in each facility. ICE has continued to consolidate populations according to strategic geographic areas such as San Diego, Phoenix, San Antonio, Seattle, New York, and Houston.

Arrests are increasing due to the recent resource enhancements for immigration enforcement staff (e.g., Fugitive Operations, Criminal Alien Program, SC/CIRCA, Border Patrol) and the Department's commitment to maintaining an end to the "catch and release" of illegal aliens along the Southwest Border. Key to ICE's success in managing a growing detention population has been the creation of the ICE Detention Operations Coordination Center (DOCC) to manage detention and transportation resources on a national level. The national management of these resources has allowed ICE to support arrests in field offices with limited detention capacity by transporting cases to field offices with excess detention capacity. Also, ICE is working to determine how to best utilize various means of supervision to best utilize detention capacity.

ICE's overall detention strategy for procuring bed space has been through a combination of privately owned and-operated facilities, contract facilities, and inter-governmental service agreements with state and local facilities. ICE is currently reviewing its procurement practices to determine what efficiencies can be gained in purchasing bedspace. ICE plans to work with DOJ's Office of the Federal Detention Trustee to better leverage Federal buying power.

ICE is conducting a study that into the feasibility, cost-benefit, and potential transition of SPC bed space requirements to the private sector. ICE completed the first phase of the study, which consisted of a review of physical conditions and market values of the SPCs, development of a cost model, and development of strategic options along a spectrum from status quo to full privatization. Phase II continued and expanded the analysis begun in Phase I, and addressed specific privatization issues, high level cost and benefits, and transition requirements on an individual facility basis. ICE is currently reviewing the Phase II results to determine appropriate next steps. ICE is currently evaluating whether it is in the best interest of the Federal government to own SPCs, and has requested a general provision allowing for the sale of the facilities.

Primary healthcare for alien detainees is managed by the Division of Immigration Health Services (DIHS), which became a component of DRO operations as of October 1, 2007. Through comprehensive health screening and the provision of direct patient care and managed care services to approximately 20,000 detainees, DIHS directly impacts the globalization of communicable disease and serves as a model for global health services delivery. A managed healthcare program is available system-wide to ensure adequate and appropriate care is provided to all detainees at the lowest possible cost.

The breadth of the responsibilities within the detention program requires a readiness to respond to a wide variety of emergency situations. As part of planning for a mass migration or disaster, the DRO Incident Response Unit has created contingency plans for DRO resources to remain readily available for deployment in the event of a natural disaster, terrorist attack, or mass immigration emergency and these plans are reviewed and modified based on lessons learned from recent occurrences.

Key Accomplishments

In FY 2008, DRO implemented several technology-driven resources to achieve greater program management efficiency. These include:

- The development of a customized bed space forecast model based upon transportation routes, arrest forecasts, and historical length of detention data and case type;
- The development of a tracking system to track acquisition and procurement information to better align ICE components and easily track key projects. Under this new system, OAO/DPAU stakeholders meet weekly to discuss acquisition and procurement projects, improving coordination between ICE Office of Acquisition Management and ICE DRO DMD.
- Institution of Special Response Teams (SRT) for field offices with dedicated Service Processing Centers (SPC) to ensure that each SPC has fully, operational well-trained SRT personnel. SRT have proven to be beneficial in responding to critical incidents, which poses a threat to the safety and security of the public, employees, detainees, or the integrity of the physical security at a facility. Additionally, SRTs can be used as a resource for law enforcement in support of national emergencies and security events.
- Initiating the second phase of the ICE study of the costs and benefits of consolidating contracts at all SPCs, including detention services, in accordance with A-76 efforts;
- Staffing Assessment/Credential Audit: This is both an accomplishment and an initiative. The DRO/Division of Immigration Health Services (DIHS) has made significant progress in hiring staff and decreasing existing vacancies at ICE site facilities. DIHS also conducted an internal desk audit on credentialing, which determined that all personnel were licensed in all facilities. This is a significant accomplishment because it reduced the risk to DIHS and ICE of adverse medical events and/or better responses to significant medical events; and
- Staffing Fulfillment: The initiative to achieve full staffing is a basic and important component to DIHS. DIHS is in the process of executing a hiring plan, which includes realistic priorities and timelines that span a calendar year. This will allow DIHS to be able to accept future commitments without sacrificing quality healthcare and service.

The Detention Standards Compliance Unit (DSCU) entered into an annual, detention compliance, inspection contract with Creative Corrections. Creative Corrections will conduct annual review of detention facilities housing ICE detainees and assist with program management, inspection schedules, reports, and an On-Site Detention Standards Compliance Contract with the Nakamoto Group. The Nakamoto Group will provide on-site compliance verification for detention facilities

housing ICE detainees, including an automated reporting function to allow DRO to monitor the current compliance status of any particular facility.

DCSU is currently in the final stages of modernizing ICE's National Detention Standards (NDS) to update agency policy regarding detention and bring ICE DRO practices in alignment with industry standards. The new standards are Performance-Based Standards (PBS), which focus on the *results* or *outcomes* the required procedures are expected to accomplish.

In FY 2008, medical examinations resulted in the detection of 175 cases of detainees with active tuberculosis, and 245 cases of other infectious diseases. Working with the countries of origin, DRO coordinated removals of 198 individuals with active and potentially active tuberculosis. By working with the countries of origin, it enabled officials to continue treatment of patients without interruption thus minimizing threats to public health domestically and globally and minimizing acquisition of drug-resistant and multi-drug-resistant tuberculosis.

In FY 2009, DRO will continue to enhance its efforts and capitalize on increasing efficiencies and successes and will:

- Continue to support the ending "catch and release" at the northern and southern U.S. borders;
- Continue to support state and local jurisdictions through the provision of detention space for detainees arrested by municipal law enforcement jurisdictions and brought to DRO custody;
- Continue its detention inspection program;
- Sustain American Correctional Association (ACA) accreditation for all DRO-operated facilities; and
- Support Secure Communities initiatives to identify and remove all criminal aliens amenable to removal in jails and prisons throughout the United States.

In FY 2010, Custody Operations will:

- Continue to support the ending "catch and release" at the northern and southern U.S. borders;
- Continue to support state and local jurisdictions through the provision of detention space for detainees arrested by municipal law enforcement jurisdictions and brought to DRO custody;
- Continue to support any additional bed space requirements generated by Secure Communities;
- As ICE's focus on criminal alien identification and removal intensifies, work to ensure current resources can strategically be focused on those efforts as well as specific SC/CIRCA appropriations;
- Create the Bed Space Tracking and Transportation (BST&T) system to increase the process efficiency of locating available beds and transporting detainees;
- Continue its detention inspection program; and
- Sustain American Correctional Association (ACA) accreditation for all DRO-operated facilities.

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Program Performance Justification
(Dollars in thousands)**

PPA: Detention and Removal Operations – Fugitive Operations

	Perm Pos	FTE	Amount
2008 Actual	656	482	224,403
2009 Enacted	736	732	240,643
2010 Adjustments-to-Base	1	3	4,567
2010 Current Services	737	735	245,210
2010 Program Change	5	3	5,967
2010 President’s Budget	742	738	251,178
Total Change 2009-2010	6	6	10,535

U.S. Immigration and Customs Enforcement requests \$251.2 million for this activity. This is a \$10.5 million increase over the FY 2009 Enacted Budget, of which \$4.6 million is for annualization of prior year funding, pay, and non-pay inflation. The remaining \$6.0 million increase is for requested program increases associated with the M&A programs.

CURRENT SERVICES PROGRAM DESCRIPTION

The National Fugitive Operations Program (NFOP) is responsible for reducing the fugitive alien population in the United States. At the end of FY 2008, there was an estimated 557,761 fugitive aliens at large in the United States, according to the DRO Deportable Alien Control System (DACs). As of March 31, 2009, there were 551,246 fugitive aliens-at-large. ICE works to reduce the fugitive alien population by using Fugitive Operations Teams (FOTs), which consist of:

- One Supervisory Detention and Deportation Officer (SDDO);
- Four Deportation Officers (DOs);
- One Immigration Enforcement Agent (IEA); and
- One Deportation and Removal Assistant (DRA).

DRO created the Fugitive Operation Support Center (FOSC) to enhance the efficiency and effectiveness of the NFOP. The FOSC reviews and updates ICE fugitive alien cases in the Enforce Alien Removal Module (EARM) provides comprehensive leads to the FOTs, closes cases as appropriate, and facilitates the overall efforts to arrest fugitives. As a component of the NFOP, the goal established for the FOSC is to eliminate 26,000 cases from the fugitive population each fiscal year.

The FOSC conducts analysis, screening, background checks, and related support activities for the vetting of ICE fugitive aliens. The FOSC then reconciles data from external government and private sources. A significant number of cases are closed as a result of data analysis performed at the FOSC, resulting in more focused FOT operations. After analyzing, vetting, and compilation, actionable information is disseminated to FOTs.

ICE is currently reviewing NFOP activities to determine how NFOP assets could better support the identification and removal of criminal aliens with continued Secure Communities interoperability

rollout. The activities performed by NFOP are very similar to those performed by SC Interoperability Response Agents.

Key Accomplishments

In FY 2008, DRO accomplished the following.

- There has been an approximately twelve percent increase in the total number of arrests made by ICE Fugitive Operations teams as compared to FY 2007;
- As of September 30, 2008, ICE's fugitive case backlog was 557,761 fugitive aliens, which is 36,995 fewer fugitives than the population recorded on October 1, 2007;
- By the end of FY 2008, 99 of the 104 funded Fugitive Operations teams (FOTs) were operational, conducting enforcement activities across the United States. Presently, all 24 DRO Field Offices have at least one operational FOT;
- In FY 2008, 25,938 fugitive aliens were arrested and another 8,219 non-fugitive aliens were arrested during FY 2008;
- Of the ICE fugitives arrested in FY 2008, 5,652 were criminal aliens. Of the non-fugitive arrests, 2,276 were criminal aliens; and
- In FY 2008, the FOSC resolved 55,418 fugitive cases through various means assisting in the reduction of the fugitive backlog.

In FY 2009 and FY 2010, Fugitive Operations will:

- Continue to conduct targeted fugitive alien operations to reduce the fugitive alien backlog as directed by Congress. Fugitive alien enforcement operations conducted by 104 FOTs will primarily target criminal aliens and those found to be a threat to community safety or national security;
- Through the use of technology and partnerships with law enforcement agencies, the FOSC will continue to enhance procedures to process and analyze EARM fugitive data;
- The FOSC Resolution Unit will continue to develop and augment procedures in an effort to analyze the nature and characteristics of the fugitive alien population. This effort will aid in reducing the reported number of fugitives by reconciling the records of those fugitive aliens who have left the country, adjusted their status, immigrated or were discovered incarcerated;
- As ICE's focus on criminal alien identification and removal intensifies, work to ensure NFOP can support the Secure Communities Program's targeting criminal aliens and fugitives; and
- The FOSC Leads Unit will continue to enhance and incorporate technologies such as the analysis of government and commercial databases to prepare leads on fugitive aliens for transmission to the field.

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
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Program Performance Justification
(Dollars in thousands)**

PPA: Detention and Removal Operations – Criminal Alien Program

	Perm		
	Pos	FTE	Amount
2008 Actual	1,053	933	199,850
2009 Enacted	1,016	1,007	208,571
2010 Adjustments-to-Base	2	4	5,345
2010 Current Services	1,018	1,012	213,916
2010 Program Change	7	4	8,215
2010 President's Budget	1,025	1,015	222,131
Total Change 2009-2010	9	8	13,560

U.S. Immigration and Customs Enforcement requests \$222.1 million for this activity. This is a \$13.6 million increase over the FY 2009 Enacted Budget, of which \$5.3 million is for annualization of prior year funding, pay, and non-pay inflation. The remaining \$8.2 million increase is for requested program increases associated with the M&A programs.

CURRENT SERVICES PROGRAM DESCRIPTION

The Criminal Alien Program (CAP) identifies criminal aliens incarcerated in federal, state, and local facilities and prepares them for immigration proceedings, ensuring that they are not released into the community. The identification and processing of incarcerated criminal aliens prior to their release into DRO's custody reduces the overall cost and burden to the federal government. CAP identifies criminal aliens through interviews at the facilities, matches those criminal aliens with a list of removal orders, and prepares to them for removal out of the country as soon as their criminal sentence is over. The program ensures the safety of our citizens as well as the national security of the United States by removing dangerous, often recidivist, criminal aliens before they engage in additional criminal activity.

A CAP team is made up of:

- One Supervisory Deportation Officer;
- One Deportation Officer;
- Six Immigration Enforcement Agents; and
- Two Deportation Assistants.

State and local correctional departments maintain independent data systems, and many do not track the immigration status of their prisoners. To resolve these issues, ICE is working with the states to receive their data and then compare the information given to the ICE immigration databases. In FY 2008, ICE received funding for an additional 30 CAP teams. ICE continued deployment of Video Teleconference (VTC) systems to CAP programs throughout the country. CAP will work to increase the number of charging document issued to individuals that are amenable to removal from the United States. ICE initiated a plan of action to implement interoperability with the U.S. Marshal Service to obtain electronic booking data. Matching this data against ICE databases will help the Bureau of Prisons

(BOP) to designate more efficiently and effectively foreign-born nationals in federal CAP sites where immigration hearings can be conducted via VTC or on site.

Key Accomplishments

In FY 2008:

- CAP issued over 210,000 charging documents. This exceeds the FY 2007 total of 164,296;
- 6,988 cases were presented to the U.S. Attorney's office for criminal prosecution. Of those, 5,374 cases were accepted;
- ICE strategically allocated 300 CAP funded positions (30 CAP teams) nationwide based on the risk based assessment;
- Deployed over 90 Video Teleconferencing units including eight Bureau of Prison sites; and
- CAP assisted in the deployment and expansion of Interoperability under the Secure Communities plan in 2008. The Secure Communities plan was approved by ICE leadership and is currently being implemented as a multi-phased, risk-based approach to identify and remove all criminal aliens amenable to removal in jails and prisons throughout the United States. As the operational partner of Secure Communities, CAP provides the required manpower to ensure successful operation of Interoperability.

In FY 2009, the Criminal Alien Program will:

- Continue to strategically allocate seven CAP teams nationwide.
- Continue the deployment of VTC systems to CAP programs throughout the country.
- Work to increase the number of charging documents issued to individuals that are amenable to removal from the United States.
- Increase the number of criminal prosecutions presented to the U.S. Attorney's Office.

In FY 2010, ICE will:

- Continue to increase efforts to identify criminal aliens incarcerated in federal, state, and local facilities, and the additional personnel will help to ensure that these criminals are not released into the community while preparing for immigration proceedings;
- Continue to increase the number of criminal prosecutions of violent recidivist criminal aliens;
- Continue to further the advancement of the Secure Communities Plan within the law enforcement community across the United States;
- As ICE's focus on criminal alien identification and removal intensifies, work to ensure current resources can strategically be focused on those efforts as well as specific SC/CIRCA appropriations; and
- Develop new advancements and best practices to ensure full screenings of institutional facilities.

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Program Performance Justification**

PPA: Detention and Removal Operations – Alternatives to Detention

	Perm		
	Pos	FTE	Amount
2008 Actual	175	110	55,740
2009 Enacted	186	184	66,599
2010 Adjustments-to-Base	0	3	1,259
2010 Current Services	186	187	67,858
2010 Program Change	1	1	1,516
2010 President's Budget	188	187	69,374
Total Change 2009-2010	2	3	2,775

U.S. Immigration and Customs Enforcement requests \$69.3 million for this activity. This is a \$2.8 million increase over the FY 2009 Enacted Budget, of which \$1.3 million is for annualization of prior year funding, pay, and non-pay inflation. The remaining \$1.5 million requested increases are for additional funding associated with the M&A programs.

CURRENT SERVICES PROGRAM DESCRIPTION

National security and public safety are ICE's first priorities. To that end, ICE detains all aliens who pose a threat to community safety or national security, and those ICE is required to detain under the Nation's immigration laws. The Alternatives to Detention (ATD) Program was created to enable ICE to maintain current detention levels, while monitoring aliens who are likely to comply with immigration proceedings, without detention. ATD is comprised of two primary programs: Enhanced Supervision/Reporting (ESR) Program, and the Intensive Supervision Appearance Program (ISAP). Also funded within the ATD program is a separate Bond Management Unit.

The ISAP is a program that provides community-based supervision services for aliens while in the removal process or who are awaiting removal from the United States. The program employs case specialists who closely supervise the enrolled aliens, utilizing a variety of tools to ensure successful completion of the program. ISAP relies on electronic monitoring devices (e.g., telephonic reporting, radio frequency and global positioning satellite monitoring), unannounced home visits, and required office visits. In addition, the contractor assists the enrollees in obtaining travel documents information and utilizes community-based organizations to provide services such as housing, health, and employment services for those participants authorized to work.

ISAP provides services within 12 locations: Baltimore, MD; Delray Beach, FL; Denver, CO; Kansas City, MO; Los Angeles, CA; Miami, FL; New York, NY; Orlando, FL; Philadelphia, PA; Portland, OR; St. Paul, MN; and San Francisco, CA.

ISAP currently has a maximum participant limit of 6,000, of which, over 5,800 aliens are currently participating. Since its inception, ISAP has served over 12,500 participants. In FY 2004, ISAP's compliance rate with the administrative order of removal was 80 percent. The program currently reports an overall compliance rate with administrative removal orders of 91 percent.

The ESR is similar to ISAP in that supervision specialists closely supervise aliens utilizing electronic monitoring, residence verification, home visits, in-person reporting, and travel document information

collection. ESR is distinct from ISAP in that it requires fewer home visits, in-person reporting¹, and does not incorporate community-based organizations referral requirements. The contractor also provides support during large-scale operations. The Electronic Monitoring (EM) component requires the officers in the field to enroll the alien participant into the program and to respond to violation notifications. EM technologies available for use are telephonic reporting, radio frequency and global positioning satellite (GPS) monitoring.

ESR provides services within the 24 DRO Field Offices and three Sub-Offices (Charlotte, NC; Hartford, CT; and Orlando, FL). The current maximum participant limit for ESR 7,000 and there are currently over 6,600 active participants enrolled.

EM has no participant limit and is available nationwide and there are currently over 5,000 participants.

The Bond Management Unit (BMU), also funded within the Alternatives to Detention Program, is responsible for developing and implementing uniform bond policies and procedures. BMU provides uniform guidance to DRO field offices and ensures that bond related issues are addressed and resolved in a timely manner. BMU maintains liaison with the Debt Management Center (DMC), Burlington Finance Center, DOJ Attorneys and the Administrative Appeals Office (AAO) regarding bond-related litigation issues.

Key Accomplishments

In FY 2008:

- ATD increased its full-service participant slots by 667 percent; ISAP's participant slots were expanded from 1,800 to 5,000 and ESR added an additional 7,000;
- ESR and ISAP enrollments increased by 447 percent from the previous fiscal year at the same point in time (1,747 to 7,802);
- Implemented the Electronic Verification Information Process (eVIP). eVIP is a partnership between DRO and the Department of State's (DOS) Post Liaison Division's Visa Office, to expedite receipt of electronic alien departure verification information. The eVIP notice serves as evidence of departure by an alien from the United States. DOS foreign offices scan and electronically transmit departure verification documents directly to the BMU at VD-Bond-Verifications@dhs.gov;
- Experienced tremendous success with its Backlogged Bond Action Team (BBAT). This team assists field offices with backlogged bond cases. The team's objective is to update all backlogged bond cases so each field office has an up-to-date bond docket. In FY 2008, the BBAT has generated over \$30,563,105 dollars in Breached Bonds. These funds once deposited into the Breached Bond Detention Fund are utilized to fund detention beds. In 2008, BBAT has breached 7,531 bonds and canceled 2,072 bonds. The cancellations and breaches result in a savings of interest that is paid on the bonds by ICE; and

¹ The frequency of In-Person Office and Unannounced Home Visits range from two times per month to one time every other month.

- The BMU developed and implemented Uniform Bond Management Guidance. This guidance was distributed to field components in July of 2008 and provides important updated bond policies, procedures, and information.

In FY 2009, ICE:

- Solicited a new contract², which should be awarded by July of 2009³. The new contract will be similar to the current ISAP contract and will allow for staggered opening of ISAP programs nationwide as funding permits. The intention is to award the contract with initial offices beginning operations by September 2009. Expansion will continue into FY 2010 as dictated in the contract to reach coverage of all field and main sub-offices as funding permits during that year. The goal of this expansion is the successful transition of all current ESR, EM, and ISAP participant population to the new contract before September 20, 2009;
- Will continue the design and deployment of the eBONDS System. In FY 2008, BMU began working closely with OCIO and OAQ in aggressively pursuing the design, build, and deployment of the eBONDS Project. The eBonds application supports the Department of Homeland Security (DHS) bond management process and the Bond Management Information System (BMIS Web). The basic function of eBonds is to:
 - Reduce data entry costs by enabling customers to begin the bond process by providing the capability for surety companies to complete the I-352 Immigration Bond form using web-based technology;
 - Provide the capability to analyze and report on bond metrics associated with bond management and reduce the time spent on manually fulfilling report requests from field users; and
 - Develop a workflow dashboard for surety companies to view the status of active and historical bond processing.
- Provide the ability to enroll and update:
 - User information – names, roles, permissions, and associated digital signatures – for use by a third party Surety;
 - Surety contact information, including – managing agent, tax identification number, address, and telephone number; and
- Generate a PDF bond form documentation package, complete with a power of attorney form, I-352, and digital signature capability.

In FY 2010, Alternatives to Detention will:

- Conduct a feasibility study to implement “Kiosk-Type” technology nationwide. This initiative will assist the field office with the enormous task of supervising non-removable aliens who do not pose a risk to the community, by reducing face-to-face meetings with aliens to possibly save many man-hours to be used in other critical DRO mission areas; and
- Continue with the staggered opening of ISAP programs nationwide with the goal to increase coverage at 82 new locations and increase the participant capacity to 24,000.

² The contract will be awarded through the means of “full and open” competition as required by the Competition in Contracting Act (CICA), which was enacted as Title VII of the Deficit Reduction Act of 1984, Public Law 98-369.

³ The ISAP contract is set to expire on June 20, 2009. The final option year was exercised on June 21, 2008.

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Program Performance Justification
(Dollars in thousands)**

PPA: Detention and Removal Operations – Transportation and Removal Program

	Perm		
	Pos	FTE	Amount
2008 Actual	---	---	276,968
2009 Enacted	---	---	281,399
2010 Adjustments-to-Base	---	---	479
2010 Current Services	---	---	281,878
2010 Program Change	---	---	---
2010 President's Budget	---	---	281,878
Total Change 2009-2010	---	---	479

U.S. Immigration and Customs Enforcement requests \$281.9 million for this activity. This is a \$0.5 million increase over FY 2009 Enacted Budget, which is for annualization of prior year funding, pay, and non-pay inflation.

CURRENT SERVICES PROGRAM DESCRIPTION

The Transportation and Removal Program provides safe and secure transportation of aliens in ICE custody. It also prepares for and conducts removals from the United States, as ordered by an immigration judge.

The Removal Management Division formulates all DRO transportation and removal policy, conducts transportation and removal planning, defines and projects transportation and removal requirements, and oversees and supports Field Office Directors' (FODs) execution of transportation and removal funding. The division carries out its responsibilities through four supporting units: (1) Travel Document Unit; (2) Removal Coordination Unit; (3) Flight Operations Unit located in Kansas City, Missouri; and (4) Case Management Unit, including oversight of the DRO Cuban Unit and Post Order Custody Review (POCR) operations.

The **Travel Document Unit (TDU)** conducts diplomatic and liaison activities in order to remove persons from the United States through the procurement of travel documents. The TDU works with the Office of International Affairs and the Department of State on initiatives to compel greater cooperation from several countries that routinely refuse to accept or unreasonably delay the repatriation of their nationals. Another key initiative of the TDU has been to develop, implement, and deploy the electronic Travel Document system (eTD) to all Field Offices and to some foreign governments for the issuance of travel documents.

The **Removal Coordination Unit (RCU)** is comprised of two major components: Centralized Ticketing, and the Detention Operations Coordination Center (DOCC). Centralized Ticketing is responsible for the coordination and support of escorted and unescorted removal operations conducted by the field offices. The DOCC is responsible for maximizing the use of ICE detention space throughout the United States by maintaining an efficient process of utilizing commercial air travel for escorted and unescorted removals. RCU accomplishes this through the management of assigned

contract personnel and the oversight of multiple contract service providers by requesting country clearances through both the Secure Message and Routing Terminal cabling system and the Department of State's electronic Country Clearance system and coordinating the travel support service.

The DOCC is charged with maximizing detention space by maintaining capacity equilibrium as best as possible among detention locations by facilitating the goal that no alien amenable to removal proceedings will be released from DRO custody due to a lack of detention space.

The Mexican Interior Repatriation Program (MIRP) is managed by the RCU. The U.S. border with Mexico between the states of Arizona and Sonora, Mexico, has accounted for some of the highest levels of illegal immigration into the United States in the past eight years. The United States and Mexico, by joint accord, designated the Tucson Sector's western corridor as a "high risk" area under the bi-national Border Safety Initiative. In FY 2008, two flights a day departed Tucson, Arizona and arrive in Mexico City seven days a week for 70 days. The 2008 MIRP lasted from July 21 through September 28.

The **Flight Operations Unit (FOU)**, located in Kansas City, MO, manages all DRO mass airlift operations through a combination of ICE chartered aircraft and partnership with the Justice Prisoner and Alien Transportation System (JPATS). In conducting its DHS mission of transporting aliens with a removal order, the FOU oversees domestic and foreign scheduling of all DRO managed aircraft based on the operational requirements of the 24 field offices along with coordination with each respective receiving country and ICE Attaché office. The FOU also coordinates the procurement of ICE charters involved with the removal of aliens to Central Asia, the Pacific Rim, Africa, and the Middle East.

The **Case Management Unit (CMU)** has ensured compliance with applicable custody review regulations, thereby reducing adverse litigation and limiting DRO's liability in court actions. The Field Oversight Program, developed by the CMU, monitors and oversees case management operations of detained aliens under a final order of removal. This program has ensured that field offices follow up on custody reviews, travel document requests, and take appropriate case management actions in the cases of detained aliens.

The Transportation and Removal Program also includes case management activities. Aliens apprehended for violation of immigration law must be processed expeditiously and in accordance with laws and regulations.

The **Executive Information Unit (EIU)** coordinates the development and deployment of the Detention and Removal Operations Modernization (DROM) investment along with the Office of the Chief Information Officer. DROM will improve technology and business processes to better manage, track, and report on the movement of aliens through the immigration enforcement lifecycle.

Key Accomplishments

In FY 2008:

- DRO continued to engage other government agencies and embassies to accelerate travel documents issuance for aliens pending removal from the United States. DRO continued to develop and expand the eTD system and worked to encourage other foreign governments to use the system; the FOU operated seven charters outside of the Americas returning 495 alien passengers to Albania, Cambodia, Egypt, Indonesia, Jordan, Morocco, Nigeria, Pakistan, Philippines, Palestinian Authority, and Liberia while also supporting the policies of “catch and return” and increased interior enforcement operations. The FOU moved nearly 200,000 aliens, domestic and foreign; by increasing the number of ICE chartered aircraft and simultaneously augmenting JPATS aircraft.
- DRO implemented the Case Management Unit (CMU). The CMU implemented case management efficiencies, such as weekly and monthly reporting requirements and expanded field office site visits, to ensure field office compliance with regulations and procedures. The CMU successfully developed and ensured successful implementation of the November 2007 policy entitled Parole of Aliens Found to have a ‘Credible Fear’ of Persecution or Torture.
- DRO implemented the “Weekly Inventory List of Detained Cases” (WILDC) report in March. Through the first quarter of FY 2009, CMU has reviewed 26,068 detained cases through the WILDC, resulting in the identification of deficient cases in EARM. DRO has also implemented the monthly report, which replaces the quarterly report for better quality control.

In FY 2009, Transportation and Removals FOU will:

- Employ four ICE charter aircraft operating weekdays and Saturdays from San Antonio, Texas, (two aircraft) and Alexandria, Louisiana and Mesa, Arizona (one aircraft each) to support foreign removals;
- Use the San Antonio, Texas ICE chartered aircraft as a long-range platform capable of supporting special charter missions to South America, Eastern Europe, Africa, Middle East and Pacific Rim;
- Use JPATS contract aircraft to support shorter-range domestic movements with four airplanes—two each located in Alexandria, Louisiana and Phoenix, Arizona; and
- Place IEAs and Division of Immigration Health Services (DIHS) medical personnel on all DRO-managed aircraft, both foreign and domestic.

In FY 2010, Transportation and Removals FOU will:

- Continue to expand CMU activities; and
- Develop a strategic air plan for DRO flight operations based on a mission needs statement, operational requirements document, concept of operations plan, and an acquisition strategy that supports increased enforcement activity, decreased detention time, and increased removal operations.

Department of Homeland Security
Immigration and Customs Enforcement
Secure Communities –
A Comprehensive Plan to Identify and Remove Criminal Aliens
Program Performance Justification
(Dollars in thousands)

PPA: Comprehensive Plan to Identify and Remove Criminal Aliens

	Perm		
	Pos	FTE	Amount
2008 Actual	8	4	19,623
2009 Enacted	45	41	160,714
2010 Adjustments-to-Base	473	474	10,330
2010 Current Services	518	516	171,044
2010 Program Change	84	42	40,802
2010 President’s Budget	601	558	211,846
Total Change 2009-2010	557	516	51,132

U.S. Immigration and Customs Enforcement requests \$211.8 million for this activity. This is an increase of \$51.1 million over the FY 2009 Enacted Budget, of which \$10.3 million is for annualization of prior year funding, pay, and non-pay inflation. The remaining \$40.8 million increase is for requested program increases associated with the M&A programs and the Secure Communities Enhancement.

CURRENT SERVICES PROGRAM DESCRIPTION

In FY 2008, Congress provided ICE with \$200 million to “improve and modernize efforts to identify aliens convicted of a crime, sentenced to imprisonment, and who may be deportable, and remove them from the United States once they are judged deportable.” Before the funds could be expended, Congress asked for a plan to modernize the policies and technologies used to identify and remove aliens.

On March 24, 2008, ICE submitted Secure Communities: A Comprehensive Plan to Identify and Remove Criminal Aliens (SC/CIRCA) to Congress. SC/CIRCA sets out a comprehensive plan to improve community safety by transforming the way the Federal Government cooperates with state and local law enforcement agencies to identify, detain, and remove all criminal aliens held in custody. Once implemented, SC/CIRCA will revolutionize immigration enforcement by using technology to share information between law enforcement agencies and by applying risk-based methodologies to focus resources on assisting all local communities in the removal of those criminal aliens representing the greatest threat to community safety.

To meet its stated mission, SC/CIRCA sets four goals along with a number of operational objectives that will move ICE toward achievement of those goals. The SC/CIRCA goals are:

- **Strategic Goal 1** – Identify and process criminal aliens amenable for removal while in federal, state and local custody;

- **Strategic Goal 2** – Enhance current detention strategies to ensure no removable criminal alien is released into the community due to a lack of detention space or an appropriate alternative to detention;
- **Strategic Goal 3** – Implement removal initiatives that shorten the time criminal aliens remain in ICE custody prior to removal, thereby maximizing the use of detention resources and reducing cost; and
- **Strategic Goal 4** – Maximize cost effectiveness and long-term success through deterrence and reduced recidivism of criminal aliens returning to the United States.

In the FY 2009 DHS Appropriations Act (P.L. 110-329) Congress appropriated an additional \$150 million for SC/CIRCA to meet the program’s goals. Congress further required ICE to utilize at least \$850 million of existing programs’ resources “to identify aliens convicted of a crime, and who may be deportable, and to remove them from the United States once they are judged deportable.” In FY 2009, ICE expects to obligate over \$1.4 billion of funds provided by Congress toward achievement of the four stated SC/CIRCA goals. ICE is currently reviewing how other current activities can better support the SC/CIRCA goals.

Key Accomplishments

In FY 2008, ICE accomplished the following activities aligned with meeting Secure Communities goals and objectives:

- Identified and issued charging documents on over 221,000 criminal aliens, representing greater than a 34 percent increase compared to FY 2007;
- Removed over 110,000 criminal aliens, representing greater than an 8% increase compared to FY 2007;
- Reduced criminal alien detention times by 5 percent to 45.6 days compared to FY 2007;
- Collaborated with U.S. Attorneys to initiate prosecutions against more than 6,500 violent, recidivist criminal aliens for felony violation of United States immigration law;
- Deployed 28 operational CAP teams, expanding ICE screening of foreign born criminals at all federal, all state and 13 percent of local prisons and jails (the remaining local prisons and jails make inquiries regarding foreign born detainees through 24x7 ICE call-in numbers);
- Developed prioritization criteria and an operational approach to roll out nationwide criminal alien screening over the next three to four years through biometric arrest information sent by law enforcement agencies to the DOJ;
- Began outreach to state and local Law Enforcement Agencies (LEAs) regarding Secure Communities goals and plans;
- Issued several procurements to improve the operational efficiency of ICE operational processes that identify, prioritize and conduct enforcement action against removable criminal aliens;
- Expanded the use of Institutional Removal Programs (IRP) to a total of 14 federal facilities, and approximately 50 state and local jails and prisons, significantly reducing ICE detention times for most criminal aliens processed through this program;
- Implemented a Case Management Unit (CMU) to standardize and streamline all detained case management processes with the goal of reducing average ICE detention times;
- Deployed a modernized system replacing ICE’s twenty-year old legacy mainframe detention and removal management system, improving operational efficiency; and
- Established an SC/CIRCA Program Management Office (PMO) reporting directly to the ICE Deputy Assistant Secretary for Operations.

In FY 2009, ICE will use over \$1.15 billion from ICE's base appropriation as well as an estimated \$255 million in SC/CIRCA appropriations to:

- Maintain existing criminal alien enforcement efforts ;
- Continue outreach to the national law enforcement community to communicate SC/CIRCA goals and objectives and strengthen information sharing partnerships for identifying and removing criminal aliens;
- Deploy an additional seven operational CAP teams to expand ICE screening for criminal aliens to additional local jails and prisons;
- Deploy biometric identification capability (integration of DOJ and DHS biometric databases) to more than 50 priority nationwide jurisdictions. Deployments will cover over 29 percent of the estimated nationwide number of criminal alien arrests.
- Expand ICE's operational capacity for completing threat assessments and alien status determinations on suspected criminal aliens by hiring 85 additional Law Enforcement Support Center (LESC) personnel and by improving IT systems supporting criminal alien identifications;
- Establish 24x7 operational response capability by reassigning current vacancies to hire 178 Interoperability Response Agents;
- Pilot methods to identify and apprehend at-large criminal aliens, whether fugitives or not, based upon threat to the community by hiring 26 enforcement agents;
- Aggressively prosecute violent, recidivist criminal aliens in coordination with U.S. Attorney offices, thus deterring removed criminal aliens from re-entering the country, by reassigning current vacancies to hire 62 additional Violent Criminal Alien Section agents;
- Increase ICE's capacity to process greater numbers of criminal alien removal cases by hiring 173 removal case management personnel;
- Procure Video Teleconferencing equipment for 170 priority locations to support Secure Communities, including additional Institutional Removal Programs at jails and prisons (where criminal aliens are processed for removal before entering ICE custody) and to expand the geographic area that CAP teams can cover when conducting interviews and other criminal alien screening/identification activities;
- Initiate development of systems to track the exact location of criminal aliens from the time they enter ICE custody until the time they are removed from the United States, improving officer safety and intelligence gathering efforts on detainees among other benefits;
- Initiate development of enterprise-wide bed space management and transportation management systems to make more efficient use of these limited and expensive ICE resources; and
- Add detention beds, additional removal transportation capacity and related costs to support the removal of greater numbers of criminal aliens taken into ICE custody.

In FY 2010, SC/CIRCA will maintain expanded operational capacity funded in FY 2008 and 2009. Using approximately \$75 million of remaining funds from the \$150 million provided by Congress to SC/CIRCA through the FY 2009 Appropriation, ICE will:

- Continue moving toward nationwide identification, apprehension and removal of all Level 1 (those convicted of violent felonies and major drug crimes) criminal aliens in accordance with the SC/CIRCA strategic plan, program goals and program objectives by extending criminal alien biometric identification capabilities to over 140 counties containing over 50% of the nation's estimated criminal alien population, to include all counties that touch the Southwest border;
- Increase the number of criminal aliens identified during FY 2010 to an estimated 450,000, more than doubling the number identified in FY 2008;

- Increase the number of violent Level 1 criminal aliens identified during FY 2010 to an estimated 38,000;
- Increase the number of Level 1 criminal aliens removed during FY 2010 to an estimated 13,000 (removal of Level 1 criminal aliens is expected to significantly lag identification due to extended incarceration sentences that many must serve prior to their removal); and
- Continue submitting a greater number of violent criminal aliens who repeatedly enter the United States illegally to U.S. Attorneys for aggressive prosecution under felony immigration charges.
- Work with other ICE programs to determine how existing activities and capacity can better support SC/CIRCA goals.

As a result, Secure Communities - in cooperation with Federal, state and local law enforcement agencies - will provide a safeguard to American communities by removing those criminal aliens from the United States that represent the greatest threats to community safety and by deterring their re-entry through aggressive prosecution of recidivists.

IV. Program Justification of Changes

**Department of Homeland Security
Immigration and Customs Enforcement
Salaries and Expenses
Justification of Resources Above Guidance**
(Dollars in Thousands)

Program Increase: Office of State and Local Coordination (OSLC) - ICE ACCESS

Strategic Goal(s) & Objective(s): ICE Strategic Goal 2: (Strategic): Prevent the Unlawful Exploitation of the Nation’s People and Institutions by those Violating Immigration Laws within the Homeland.

PPA: Management and Administration

Program Increase: Positions 28 FTE 15 Dollars \$11,600

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	406	406	51,533	458	458	85,453	490	490	99,653
Program Increase	52	27	33,920	32	16	14,200	28	15	11,600
Budget Request	458	433	85,453	490	474	99,653	517	504	111,253

Description of Item

This request will provide funding for the OSLC to manage and oversee outreach activities for the ICE ACCESS programs. This includes: Customs Cross-Designation (Title 19) Training, Border Enforcement Security Task Forces (BESTs), Asset Forfeiture/Equitable Sharing, Document and Benefit Fraud Task Forces, Cross-Designation (Title 8) – 287(g) Program, Law Enforcement Support Center (LESC), Operation Community Shield, Operation Firewall, The Criminal Alien Program (CAP), Fugitive Operations, Operation Predator, and Secure Communities.

Personnel Costs (\$3.038 million)

- \$2.775 million of this increase will fund 25 positions within OSLC to facilitate increased program activities including:
 - Three Liaison Officer Positions within the ICE ACCESS Program (OTD) (GS-0301-12/14);
 - Six Program Managers for the OSLC Program, (Operations) (GS-0340-13/15);
 - Four Program Management & Support Staff; Mission Support OSLC HQ (GS-0342-13/14);
 - One Mission Support Specialist to support the OSLC Program (GS-0301-13/15);
 - Two Supervisory Management and Program Analysts at OSLC HQ (GS-0343-13/14)
 - Two Program Analysts in the Office of Professional Responsibility (GS-0343-13/14);

- Three Program Analysts (Management Oversight Branch) for the OSLC program (GS-0343-12/14);
 - Two Budget/Financial Analyst position at the OSLC (GS-0560-13/14); and
 - Two Administrative Program Support Specialists (OSLC) (GS-0343-9/12).
- \$0.263 million will fund three mission support personnel: one Attorney, one IT Specialist, and one Contracting Specialist.

Non-Personnel Costs (\$8.562 million)

- \$0.959 million of this request will fund initial training and training travel for 150 state and local officers and annual refresher training for 400 previously trained state and local law enforcement officers;
- \$1.2 million will fund approximately seven PCS moves to permanently staff the OSLC;
- \$1.185 million will fund contract extensions, to support the OSLC program;
- \$1.8 million will fund information technology assistance for participants in the 287(g) program and continuation of ICE ACCESS;
- \$3.241 million will fund detention bed space for an estimated additional 550 detained aliens;
- \$0.104 million will fund human resources contract support; and
- \$0.073 million will fund facilities costs for new employees.

Justification

On December 3, 2007, ICE created the Office of State and Local Coordination (OSLC) to better serve State and local law enforcement agencies (LEAs) by being a central point of contact for the LEAs. OSLC works to develop and facilitate partnerships with state and local LEAs through the ICE ACCESS program. ICE established the ICE ACCESS program in August 2007 in response to widespread interest from local LEAs who requested assistance through the 287(g) Program. Through ICE ACCESS, agents and officers meet with LEAs, assess local needs to accurately develop specific partnerships, and draft appropriate plans of action through agreements – which could be participation in the 287(g) program or another program within ICE.

One of the main programs overseen by OSLC is the 287(g) Program. This program has significant operational components within other ICE programs – primarily the Office of Detention and Removal Operations (DRO) and the Office of Investigations (OI). Because of this, the OSLC serves as one point of contact for the State and local LEAs to develop consistent and efficient partnerships instead of multiple ICE program POCs.

Since its creation, OSLC has functioned by utilizing personnel temporarily assigned from DRO and OI. To solidify a competent core group and organizational structure of operations and support management staff, OSLC is seeking this proposed enhancement. Providing full-time resources for this program will dramatically strengthen interaction with State and local LEAs and provide necessary oversight into the execution of program activities. In addition to funds and positions to stand up this division, this enhancement request also seeks funds and positions to further increase the supporting divisions that are impacted by the growth of the OSLC.

As of March 31, 2009, OSLC has established 67 Memoranda of agreement and has trained over 951 Law Enforcement officers in 23 States under the 287(g) Delegation of Immigration Authority Program.

ICE OSLC is expected to focus on the detention-based 287(g) program model and consider expansion to requesting agencies where the program is expected be mutually beneficial to ICE OSLC and the LEA, and to have a significant impact against the criminal alien element. With current trend data, OSLC is expected to increase MOAs at a level of 26 to 33 MOAs per year.

The FY 2010 budget request reflects a revision to the current staffing model. The Office of Training and Development is in need of permanent training funds to facilitate and maintain proper training levels for the OSLC – 287(g) program. In addition, OSLC HQ Operations will need to assign staff permanently, including mission support positions, within its office, rather than being staffed by detailees from other parts of ICE. ICE is also requesting additional staff positions in support of OSLC for the Office of Professional Responsibility (OPR), for upcoming and expected audits. OSLC is also requesting one Program Analyst; this revision will allow the program to further enhance the support of the removal process and dedicate staff to the oversight of service provider compliance within ICE detention standards.

In addition, OSLC is requesting funding for initial training, training travel, and annual refresher training for over 400 state and local law enforcement officers.

The program serves as a force multiplier for immigration enforcement by providing ICE training, certification, and supervision of state and local law enforcement officers. These officers will perform immigration-related enforcement functions with a focus on targeting criminal aliens, fraudulent document vendors, illegal aliens working in sensitive critical infrastructure positions, and violent sexual offenders.

In FY 2006, 89 officers were trained; 422 in FY 2007; 357 in FY 2008; and 45 as of March 2009.

This enhancement will provide for additional ICE oversight of the 287(g) program and increase the number of field audits conducted by OPR to 24 along with increasing the following activities up to:

- Aliens Identified for Removal – 71,500
- State and Local Officers Trained – 400
- Create core group of HQ staff to support the 287(g) and ICE ACCESS
- Create dedicated field supervisors in six most needed areas

With an increase in operational staff, equivalent increases in key mission support staff are required to cover critical functions (e.g., legal, acquisitions, information technology, investigations, financial, training, facilities, and EEO work). Such mission support costs have been included in this program increase, consistent with ICE and DHS workforce models. For example, ICE follows the DHS cost-to-spend preferred goal of 1.9 percent for acquisitions, which correlates with the need for one FTE for every \$8 million of additional contract award obligations, and, based on a facilities cost model, every new employee equates to an additional need for 300 square feet of workspace. This has resulted in the additional personnel and non-personnel costs above.

Impact on Performance (Relationship of Increase to Strategic Goals)

This initiative supports the DHS Goal #1 “Protect our Nation from Dangerous People” – Objective 1.2 – “Protect Our Interior and Enforce Immigration Laws.” This initiative also supports state and local law enforcement by aggressively investigating all aspects of local criminal behavior with a nexus to illegal immigration.

**Department of Homeland Security
Immigration and Customs Enforcement
Salaries and Expenses
Justification of Resources Above Guidance**
(Dollars in Thousands)

Program Increase: Co-location

Strategic Goal(s) & Objective(s): Strengthen and Unify DHS Operations and Management

PPA: Headquarters Management and Administration

Program Increase: Positions 26 FTE 13 Dollars \$92,000

Funding Profile

	FY 2008 EOY Proj. Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	0	0	0	0	0	\$0	2	2	2,200
Program Increase	0	0	0	2	1	\$7,000	26	13	92,000
Budget Request	0	0	\$0	2	1	\$12,300	28	15	94,200

Description of Item

This request funds the second year of the ICE-wide co-location strategy to consolidate ICE personnel and operations scattered across multiple buildings in 55 metropolitan areas, resulting in improved operational efficiencies and long-term cost savings. The Secretary has made ICE co-location a top Department priority, noting that failure to consolidate ICE's Legacy INS and Customs facilities since the merger impedes its effectiveness and efficiency as well as efforts to build a cohesive unified agency.

The FY 2006 House Congressional Appropriations Committee Report 109-79 cited "...ICE's need to co-locate all of ICE's legacy personnel... Physical co-location is needed to unify personnel and manage a cohesive workforce... within a significantly shorter period than five to seven years." In 2008, ICE identified 237 locations in 55 U.S. metropolitan areas suitable for co-location. Of these cities, ICE identified 27 possible prospectus-level (two in Northern Virginia) projects and 29 non-prospectus-level projects.

Given the imminent expiration of 72 percent of ICE leases by 2014, representing 475 leases in 3.9 million square feet of space, this initiative represents a unique opportunity. Even with the recent downturn in the real estate market, renewing existing leases would come at a steep cost, while failing to address integration issues or the many shortcomings with existing office space. Co-location offers the best strategy for containing future growth in lease costs, with additional savings through consolidated administrative and security functions. The Administration's commitment to environmentally friendly office buildings, fully reflected in this project, will result in lower energy and water usage.

ICE is currently evaluating whether it is in the best interest of the Federal government to own its SPCs, and has requested a general provision allowing for the sale of the facilities. If such sales are deemed to be in the best interest of the Federal government, ICE requests availability of the proceeds for additional support of the co-location plan.

Approach

To develop the plan, ICE engaged a real estate consultant and worked closely with GSA. The approach to determine suitable locations included creating and analyzing alternatives for each city, including cost and operational needs. ICE and GSA's strategy would pursue consolidation based on need and the timing of existing lease expirations. It recommends a preferred acquisition strategy for each city based on federal space availability and market conditions.

As part of the development of the ICE Co-location Plan, an analysis of five acquisition alternatives was developed for each city and incorporated into ICE's Co-location Plan:

1. GSA Inventory: This preferred alternative would house ICE in existing GSA-owned buildings.
2. Market Inventory: The next most preferred alternative would locate ICE in existing space in each city.
3. Federal Construction: In the relatively small number of cities where the first two options are not feasible, new buildings would be developed for ICE but the buildings would be federally owned and operated.
4. Inventory Consolidation: This alternative would have ICE consolidate in space it already leases.
5. Special: In rare cases, special circumstances require a customized solution which is not easily captured in any of the above alternatives.

The analysis included a financial summary of the alternatives showing the cash flow for estimated tenant costs, construction costs, and full service rent based on the size of the consolidation and the consolidation year. The consolidation year was selected by examining operational needs, expiring leases, current projects, and program needs to determine the most efficient year to co-locate in a city.

A preferred acquisition solution for each city was selected from among the alternatives based on cost estimates for each and local real estate conditions.

Personnel Cost (\$2.123 million)

The request would fund:

- Twenty-six new GS-13 personnel to provide full-time staff for asset management initiatives(\$2.123 million). Since the co-location plan is temporary in nature, ICE determining how contract staff can support the initiative, likely reducing the number of full-time staff included in the request.

Non-Personnel Costs (\$89.877 million)

- The remainder of the increase would be used to acquire and occupy office space and secure facilities that meet ICE mission needs and law enforcement requirements. Based on the Plan, ICE has identified 55 cities that will require co-location over a multi-year period.
- Given the long-term nature of the effort, and higher net cost that will result from any lease option ICE pursues, the plan is based on a consistent need for recurring funds each year. The FY 2010

funds will be used to implement 13 non-prospectus projects of various sizes each with an anticipated completion timeline of one to three years.

- Funds will be used for interior construction (“build-out” costs), voice and data cabling and other initial requirements of new office space, outfitting expenses for special spaces such as holding cells and security features.
- In addition, this increase would also fund human resources contractor support to hire the 26 positions (\$0.104 million) .

Justification

The Budget requests \$92.000 million and 26 positions (13 FTE) to achieve co-location of 351 leases in 55 U.S. metropolitan areas to support operational effectiveness.

- This funding would allow ICE to fund 13 non-prospectus projects in FY 2010.

1	El Centro	CA
2	Portland	OR
3	Spokane	WA
4	Columbus	OH
5	Reno	NV
6	Jacksonville	FL
7	Albuquerque	NM
8	Salt Lake City	UT
9	Orlando	FL
10	Raleigh	NC
11	Greenville	SC
12	Oklahoma City	OK
13	Charleston	SC

- The FY 2010 funding will allow ICE to consolidate 59 leases in 48 locations to 13.
- ICE has revised its co-location plan to prioritize the schedule of projects based on several factors, including operational needs, building condition and over-crowding and under the current plan and dependent on prospectus approvals.
- In light of current real estates market conditions, ICE is working with GSA to determine if the markets in the proposed 55 cities can now meet ICE’s operational needs. That analysis may increase the number of projects ICE can complete with these resources.

ICE Leases

Prior to undertaking the co-location effort, ICE conducted an assessment of its current leased inventory and analyzed its approach to meeting its space needs. ICE currently has 655 (6.4M SF) leases. This assessment illustrated that over the next five years (through 2014) 475 leases (72%) will expire impacting 3.9M SF. The Co-location Plan will reduce 351 leases of these leases (248 locations) to 55.

For example:

- In Houston, TX, ICE is currently housed in eight different locations with the Office of Investigations in six of those eight locations.
- In Phoenix, AZ, ICE is currently housed in six different locations with the Office of Investigations and Detention and Removal in four of those six locations.

- In Burlington, VT, ICE is currently housed in seven different locations with the Office of Investigations in five of those seven locations.
- In New York, NY, ICE is currently housed in seven different locations with the Office of Investigations in four of those seven locations.
- In El Paso, TX, ICE is currently housed in seven different locations with the Office of Investigations in four of those seven locations.
- In San Francisco, CA, ICE is currently housed in nine different locations with the Office of Investigations in three of those nine locations.
- In San Antonio, TX, ICE is currently housed in five different locations with the Office of Investigations in three of those five locations.

This consistent inefficiency across ICE's real property portfolio directly affects operations.

ICE Rent

ICE will realize a significant annual increase in its rent over the next five years. The average rental rate for the majority of leases set to expire is approximately \$25.40 per SF. The median market rental rate is \$36.75 per SF resulting in a 31% increase per SF when the existing leases are renewed. If ICE remains in its current existing space and renews its existing leases, ICE will incur an estimated \$60 million increase in lease costs over the next 5 years. Co-location would enable ICE to strategically implement new space, consolidate offices, reduce costs, and improve operational efficiencies across its leased portfolio.

ICE Growth and Current Initiatives

The ICE mission is to protect national security by enforcing our national customs and immigration laws and is the largest investigative agency in the Department of Homeland Security. In an effort to keep up with the growing need for security on the nation's border, over the course of the past four years, ICE's federal staffing increased 4,372 FTEs through March 2009. This growth does not reflect the additional FTE requested in the FY 2010 Budget.

The growth in personnel associated with increased enforcement initiatives has strained existing ICE infrastructure, but will be mitigated by the right sizing inherent to co-location.

The cost to build out specialty space, such as holding cells and processing areas, costs on average \$300 per square foot. It is important that this type of space not be duplicated in metro areas. Co-location is based on shared space among all of the ICE programs for these types of spaces.

Co-location addresses operational inefficiencies, barriers to building one ICE culture, and other deficiencies in the many older buildings where federal employees are presently located. It also supports efforts to raise the morale of ICE's employees. In addition to funding the build-out of ICE space, the plan would also update IT infrastructure.

American Recovery Act

ICE is dedicated to working in concert with GSA to target Federal buildings as viable co-location solutions in several cities in an effort to preserve the integrity of existing Federal Buildings and

collocate at the lowest cost possible. The American Recovery Act will modify existing Federal space making it more efficient and environmentally sound. ICE shares the commitment with GSA to increase green construction, reduce dependence on fossil fuels, and promote transparency in government projects. In addition, as part of the Co-location Plan, ICE has included a Leadership in Energy and Environmental Design (LEED) Silver rating goal for all its facilities. ICE is currently conducting feasibility studies on Federal Building Solutions to co-locate in the following cities which represent 25 percent of the total plan:

- Detroit
- Columbus
- Raleigh
- Orlando
- Tampa
- Los Angeles
- San Francisco
- San Diego
- Chicago
- Baltimore
- Austin
- St Louis
- Boston
- Newark

Real Property Management System

In addition, the request includes \$5 million for a real property management system. This system will allow ICE to better track the total cost of occupancy; manage and save on utility costs; provide for business continuity and disaster recovery; ensure regulatory compliance; and enforce standards and procedures. The management and implementation plans for ICE's real property portfolio are currently being managed in disparate and non-integrated MS Access databases and Excel spreadsheets. An up-graded integrated Real Property Management System (RPMS) will streamline ICE reporting and compliance, provide project management and tracking tools, enable strategic portfolio management and will be an essential part of co-location management. This system will allow ICE to understand the total cost of occupancy; manage and save on utility costs; provide for business continuity and disaster recovery; ensure regulatory compliance; and enforce standards and procedures. An up-to-date real property management system will help ICE justify its space requests to OMB and Congress and can be used to help programs manage, obligate, and track their space and property needs.

The system could also integrate a physical description of all facilities (e.g., square feet, structure type, and location), other real and personal property data, financial spreadsheets, integrated scheduling programs, Geographic Information Systems (GIS), Computer Aided Design (CAD) plans, technical material specifications, energy usage records, and repair parts lists. The up-graded RPMS through the facilities management portion of the program could also create an automated schedule for major mechanical repair events including condition assessment calculating maintenance and operational costs warning of impending operational failure of critical assets.

In addition, the RPMS will facilitate the tracking of critical data elements to enable deliverance of required real property data to in a timely manner. The RPMS will also enable ICE to better analyze its

real property portfolio and improve ICE's customer service by allowing customers to directly access their own real property data and view analytical reports of their individual portfolios; removing a step in the current process improving both customer service and efficiency.

Impact on Performance (Relationship of Increase to Strategic Goals)

This initiative supports DHS Goal #5: Strengthen and unify DHS Operations and Management as it will allow ICE to unify personnel and manage a cohesive workforce. In addition, ICE will realize reduced costs and operational efficiencies. Current conditions are having a negative impact on information sharing capabilities and processing and on overall operational efficiency. Without co-location efforts, higher rent and overhead costs for lease administration on multiple facilities and leases will continue.

**Department of Homeland Security
Immigration and Customs Enforcement
Salaries and Expenses
Justification of Resources Above Guidance**
(Dollars in Thousands)

Program Increase: Detention Facility Inspection Group (DFIG) and Management Inspection Unit (MIU) Field Inspections Program

Strategic Goal(s) & Objective(s): ICE Strategic Goal 5 (Enabling): Achieve management and operational excellence by optimizing the effectiveness and efficiency of the workforce, business processes, and technology

PPA: Headquarters Management and Administration

Program Increase: Positions 50 FTE 25 Dollars \$12,400

Funding Profile:

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	325	308	51,314	376	360	65,832	414	398	\$73,428
Program Increase	51	26	8,000	38	19	7,100	50	25	\$12,400
Budget Request	376	334	\$59,314	414	379	\$72,932	464	423	\$85,828

Description of Item

This program increase will support the ICE Office of Professional Responsibility (OPR) Detention Facility Inspection Group (DFIG) and Management Inspection Unit (MIU) Field Inspections Program.

Personnel Costs

\$8.815 million is requested to fund:

- 25 GS-14 Special Agents at a cost of \$4.448 million for DFIG operations deployment in field offices
- 21 positions for MIU at a cost of \$4.029 million:
 - nine GS-14 Special Agents;
 - eight GS-14 Management Program Analysts;
 - two GS-14 Criminal Research Specialist;
 - two GS-7 Management Program Technicians; and
- \$.338 million for four mission support personnel: two Attorneys, one Legal Assistant, and one IT Specialist.

Non-Personnel Costs

\$3.585 million of the program increase is requested to fund:

- \$1.950 million for Permanent Change of Station (PCS) for 13 Special Agents (\$150,000 each). OPR is requesting PCS costs in the first year since OPR agents are hired from the current ranks of the ICE officer corps and often must move in the first year of duty. Of this amount \$1.45 million is non-recurring;
- \$0.823 million for one-time, non-recurring facility build out and new lease requirements associated with DFIG;
- \$0.104 million for human resources contractor support; and
- \$0.708 million for facilities costs for new employees.

Justification

This program increase is required to support the ICE Office of Professional Responsibility (OPR) Detention Facility Inspection Group (DFIG) and Management Inspection Unit (MIU) Field Inspections Program. The DFIG conducts independent inspections of all ICE detention facilities to ensure that the facilities comply with ICE National Detention Standards. This initiative will enable ICE to increase the number and scope of the inspections, and will improve the welfare, safety, and living conditions of ICE detainees and the safety of ICE employees. This increase for the detention inspection program is paramount to ensuring effective management of the current and projected increase in the ICE detainee population.

Currently, DFIG is administered and operated from ICE headquarters in Washington, D.C. This program increase supports the deployment of the 25 Special Agents to OPR offices near DRO field offices. These agents will assiduously dedicate themselves to executing DFIG functions that ensure compliance with standards at DRO detention facilities.

The MIU conducts reviews of all domestic and foreign ICE programs. During the inspections process, MIUs examine internal controls and identify areas where these controls are circumvented, as well as ensure compliance with established guidelines, policies, and procedures. This program increase will augment personnel who conducted the inspections by 21 from a current staff of six.

With an increase in operational staff, equivalent increases in key mission support staff are required to cover critical functions (e.g., legal, acquisitions, information technology, investigations, financial, training, facilities, and EEO work). Such mission support costs have been included in this program increase, consistent with ICE and DHS workforce models. For example, ICE follows the DHS cost-to-spend preferred goal of 1.9 percent for acquisitions, which correlates with the need for one FTE for every \$8 million of additional contract award obligations, and, based on a facilities cost model, every new employee equates to an additional need for 300 square feet of workspace. This has resulted in the additional personnel and non-personnel costs above.

Impact on Performance (Relationship of Increase to Strategic Goals)

This program increase is expected to improve ICE's management of its program operations and detention facilities by producing: (1) an increase in the number and scope of facility inspections conducted; (2) a decrease in the number and frequency of reported violations of ICE National Detention Standards; and (3) a decrease in the number of violations of civil rights and civil liberties cases investigated.

The resources will strengthen ICE's accountability, enhance the effectiveness and efficiency of ICE, improve compliance, and develop internal controls for ICE programs. With these resources, the annual inspection rate is expected to increase by 75 percent - from 72 to 126 investigations/inspections - with an ultimate goal of inspecting each detention facility used by ICE every four years.

**Department of Homeland Security
Immigration and Customs Enforcement (ICE)
Salaries and Expenses
Program Justification of Changes
(Dollars in Thousands)**

Program Increase: **Southwest Border Enforcement Initiative**

Strategic Goal(s) & Objective(s): ICE Strategic Goals:

- 1: Protect Our Nation from Dangerous People
- 2: Protect Our Nation from Dangerous Goods

DHS Strategic Goals:

- 1.1 Achieve Effective Control of Our Borders
- 2.4 Prohibit the Introduction of Illicit Contraband while Facilitating Trade
- 5.2 Advance Intelligence and Information Sharing

PPA: Multiple

Program Increase: Positions 349 FTE 176 Dollars \$70,000

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level									
Program Increase							349	176	\$70,000
Budget Request							349	176	\$70,000

Description of Item

The Southwest Border Enforcement Initiative is intended to enhance national security by expanding activities to control our borders. At the highest level, this initiative helps prevent the movement of people, money, and materials across the Southwest border that could harm the Nation and its people. Plans include increasing enforcement staffing to combat a wide variety of illegal activities threatening the Southwest border, improving cooperative efforts with the Mexican government, reinforcing intelligence operations in the region, and establishing another Border Violence Intelligence Cell to collect, analyze, and disseminate vital information to the field and the intelligence community. These efforts are intended to lessen the risk of increased criminal activity, weapons and arms smuggling, victimization of smuggled aliens, and the entry of terrorists, criminals, and gang members from Mexico.

Office of Investigations (208 positions, \$48.743 million)

This request will fund 208 Office of Investigation positions needed to support the Southwest Border Enforcement Initiative, a key homeland security priority. The Southwest Border Enforcement Initiative will allow ICE to identify criminal activities and eliminate vulnerabilities that pose a threat to our nation's borders, as well as enforce economic, transportation and infrastructure security. By protecting our Nation and border security, ICE further expands efforts to eliminate the potential threat of terrorist acts against the United States.

Personnel Costs

\$34.877 million of this request will fund 208 OI positions:

- 24 GS-1811-14 Supervisory Special Agents/ASAC/DSAC;
- 125 GS-1811-7/13 Special Agents;
- One GS-1801-5/7/9 Seized Property Specialist;
- Eighteen GS-1801-13/14 Criminal Research Specialists;
- Two GS-1397-7/14 Forensic Document Examiners;
- Fifteen GS-1802-5/7 Investigative Assistants;
- Eight GS-0301-13 Mission Support Specialists;
- Eight GS-0343-14 Management and Program Analysts;
- Two GS-0072-7/13 Fingerprint Specialists;
- Two GS-1301-9/14 Physical Scientists;
- One GS-0101-13 Professional Victim Assistant; and
- Two GS-1801-13 Technical Enforcement Officers.

Non-Personnel Costs

The remaining \$13.866 million in non-personnel resources will fund travel, training, and other costs as indicated below. This initiative secures the Southwest Border of the United States and mitigates the risk associated with the foreign nationals operating outside and within the United States seeking to exploit border vulnerabilities. In addition, non-personnel costs for facilities seek to expand existing and create new operational facilities along the Southwest Border to adequately support the increase in personnel resources.

Office of International Affairs (12 positions, \$4.925 million)

OIA requests \$4.925 million for the Southwest Border Enforcement Initiative. This initiative will fund 11 Criminal Investigators along Mexico's northern border in high-risk locations and 1 Contracting Specialist to provide mission support. The Criminal Investigators will assist in reinforcing and strengthening Office of Investigations (OI) operations along the U.S. southwest border. These agents will:

- Enhance interagency and interdisciplinary efforts between ICE and Mexico
- Increase ICE's efforts to identify, disrupt and dismantle transnational criminal organizations and networks
- Increase the number of priority cases originating in Mexico
- Increase leads and intelligence information and domestic and host country enforcement actions
- Increase coordination with Mexico to target and reduce vulnerabilities and criminal organizations that threaten our security.

Without this enhancement, there is a risk of increased criminal activity, weapons and arms smuggling, victimization of smuggled aliens, and the entry of terrorists, criminals, and gang members from Mexico. This request also includes travel costs, will increase cooperation with our foreign counterparts, and improve intelligence sharing.

Personnel Costs

\$1.607 million of this request will fund:

- Eleven Criminal Investigators (Overseas), GS-13, for northern border of Mexico operations to be deployed to Attaché and Consulate offices in Mexico; and
- One Contracting specialist.

With an increase in operational staff, proportionate increases in key mission support staff are required to perform critical functions. Included in this initiative is \$.082 million for one Contracting Specialist

Non-Personnel Costs

\$3.318 million of this request will fund:

- Continuing support to the Attaché and consulate offices, which support the investigative component of criminal investigators preventing the criminal organizations along the northern border of Mexico. This funding will support operational travel, increased work with foreign counterparts, training, intelligence sharing, interdiction, and investigation of transnational crimes.

Office of Intelligence (90 positions, \$9.688 million)

ICE is requesting \$6.888M for 90 Intelligence Officers to reinforce intelligence operations along the Southwest Border at existing Southwest Border Field Intelligence Groups (FIGs), current and projected Border Enforcement Security Task Forces (BESTs) along the Southwest Border and at the Border Violence Intelligence Cell (BVIC) based at the El Paso Intelligence Center.

BVIC facilitates timely information sharing with state, tribal, local, foreign and other federal law enforcement activities, and serves as the focal point for analyzing all-source intelligence, referring leads to the Border Enforcement Security Task Force (BEST) Groups and ICE Attaché Mexico offices to seamlessly support investigation of the criminal networks that span the Southwest border. BEST Groups, ICE Attaché offices, the U.S.-vetted Government of Mexico Arms Trafficking Group, through the BVIC exchange cross-border weapons-related intelligence.

This enhancement will improve ICE's capability to develop pre-operational intelligence reports, strategic intelligence products, and post-operational impact assessments. These products will enable the enforcement resources of the Department, ICE, and partner agencies to have the maximum impact possible to protect the Homeland, stem Southwest Border violence, and uphold public safety.

The requested Report Writers will ensure that information collected by ICE is appropriately shared with the United States Intelligence Community. ICE information can fill in gaps in intelligence reporting and enable the United States to uncover previously unknown connections between terrorist or other criminal organizations. Proper reporting, which includes recognition of the source of the information, serves to promote secure borders by integrating domestic, border, and international intelligence.

The intelligence support provided to the Southwest Border will also include expanded liaison to the United States Intelligence Community, improved document exploitation capabilities for ICE field offices, improved trend and pattern analysis used to build forecast models, and greater ability to inform the overall enforcement focus along the Southwest Border on law enforcement execution and vital resource management issues.

ICE is also requesting \$2.8 million to acquire and install part of the DHS Homeland Security Data Network (HSDN) collateral network in ICE domestic field offices. This funding will cover nine prioritized ICE field locations and will enhance access to classified materials by BEST Groups operating along the Southwest Border.

Personnel Costs

\$6.888 million of this increase will fund 90 positions within Intel (Intelligence Officers, Intelligence Research Specialists, Intelligence Assistants, Criminal Investigators, Management and Program Analysts, and Supervisors):

- 40 GS 9-12 junior-level positions;
- 40 GS 13 mid-level positions; and
- Ten GS 14 senior-level positions.

Non-Personnel Costs

\$2.800 million to acquire and install nine Homeland Security Data Network (HSDN) collateral networks in ICE domestic field offices along the Southwest Border.

The BVIC will provide intelligence support to BEST in order to confront many of the contributing factors to acts of violence along our Nation's borders. One contributing factor of significant concern is southbound weapons smuggling from the United States into Mexico. This enhancement will improve ICE's capability to develop pre-operational intelligence reports, strategic intelligence products, and post-operational impact assessments required. These products will enable the enforcement resources of the Department and ICE to have the maximum impact possible to protect America and uphold public safety.

The requested Report Writers will ensure that information collected by ICE is appropriately shared with the U.S. Intelligence Community. ICE information can fill in gaps in intelligence reporting and enable the United States to uncover previously unknown connections between terrorist or other criminal organizations. Proper reporting - that includes recognition of the source of the information - serves to promote secure borders by integrating domestic, border, and international information and intelligence.

The intelligence support provided to the Southwest Border Enforcement Initiative will also include expanded liaison to the U.S. Intelligence Community, improved media exploitation capabilities for ICE field offices, improved trend and pattern analysis used to build forecast models, and greater ability to steer the overall enforcement focus along our borders.

Expansion of HSDN capability requested will dramatically improve ICE's ability to transmit classified information at the Secret level. Secret-level computer-to-computer communication is a critical tool of enforcement operations that target threats to our Nation's borders.

Mission Support

Personnel Costs

\$3.045 million of this request will fund 39 positions:

- Eleven Attorneys;
- Seven Legal Assistance and Support Positions;
- Two Personnel Security Positions;
- Six IT Specialist Positions;
- Three Contracting Specialists;
- Two Asset Management Portfolio Lead Positions;
- One EEO Specialist Position;
- One Financial Management Specialist Positions;
- Three Accounting Technician Position; and
- Three Training Positions.

Non-Personnel Costs

\$3.599 million of this request will fund:

- Human Resources Contract support; and
- Facility costs for new employees.

Justification

Office of Investigations

BEST

ICE OI is requesting funding for 90 GS-1811-7/13 Special Agents, 18 GS-1811-14 Supervisory Special Agents, 10 GS-1801-13/14 Criminal Research Specialists, 10 GS-1802-5/7 Investigative Assistants, 6 GS-0301-13 Mission Support Specialists, 7 GS-0343-14 Management and Program Analysts, 1 GS-1801-5/7/9 Seized Property Specialist, and 1 GS-1801-13 Technical Enforcement Officer to further support the Border Enforcement Security Task Forces (BEST). In addition, OI is requesting \$3.500 million in non-personnel costs facilities to house the BEST entities, training for U.S. and Government of Mexico (GoM) personnel, the contingent of foreign law enforcement officers, and the purchase of computer equipment for intelligence and data-mining purposes. BEST is a critical cornerstone of the Secure Border Initiative program. BEST integrates federal, foreign, state and local law enforcement efforts in the field that are focused on the identification, disruption and dismantling of cross-border criminal organizations. Interdiction efforts will prevent smuggling and illegal entry of persons, with a priority on terrorist groups, gang members, and criminal aliens. Investigative efforts will target human smuggling, contraband smuggling, weapons smuggling, money laundering, bulk cash smuggling, criminal gangs, critical infrastructure protection, identity theft and benefit fraud, and any other vulnerabilities that pose a threat to public safety or national security.

Financial

To augment investigations along the Southwest Border, ICE OI is requesting 5 GS-1811-7/13 Special Agents, 1 GS-1811-14 Supervisory Special Agent, 1 GS-1801-13/14 Criminal Research Specialist and 1 GS-1802-5/7 Investigative Assistant to focus its financial investigations program on crimes associated with national security and critical infrastructure investigations. ICE aggressively pursues the financial component of every investigation. ICE supports many long-standing initiatives concerning national

security: money-laundering, bulk cash smuggling, unlicensed money service businesses, and corrupt foreign officials, all of which pose threats to national security and critical infrastructure.

Arms and Strategic Technology Investigations (ASTI)

ICE is requesting funding for 5 GS-1811-7/13 Special Agents, 1 GS-1811-14 Supervisory Special Agent, 1 GS-1801-13/14 Criminal Research Specialist, and 1 GS-1802-5/7 Investigative Assistant. One GS-1811-14 Supervisory Special Agent will be assigned to Southwest Border BESTs. One GS-1811-7/13 Special Agent will be assigned to the BEST in El Paso, TX, 1 GS-1811-7/13 Special Agent will be assigned to the BEST in San Diego, CA, 1 GS-1811-7/13 Special Agent will be assigned to the BEST in Laredo, TX, 1 GS-1811-7/13 Special Agent will be assigned to the BEST in Rio Grande Valley, TX and 1 GS-1811-7/13 Special Agents will be assigned to the BEST in Tucson, AZ.

In addition, ICE is requesting non-personnel costs totaling \$200,000 to effectively respond to and support the task of investigating the illegal smuggling of weapons from the United States into Mexico. \$50,000 in funding will support training U.S. and GoM personnel. \$125,000 will support the purchase of computer equipment for exploitation of intelligence (computer media, pocket litter, etc). \$13,000 will pay for Project Shield America (industry outreach). \$12,000 will pay for media-related support (initiative publications, posters, and newspaper/television/ Internet advertisements to foster greater awareness of the initiative). ICE, in partnership with federal, state, and international law enforcement officials, expanded its ongoing Border Crimes Initiative to include the creation of Border Enforcement Security Task Forces (BESTs) in five locations along the U.S. southern border. ICE is initiating an expansion of "Operation Armas Cruzadas," which focuses on the synchronization of key elements in order to comprehensively identify and disrupt illicit trans-border activities that support weapons smuggling networks. The initiative implements numerous parallel activities that enhance timely exploitation of the 3I cycle - Interdiction, Investigation and Intelligence - by both the Department of Homeland Security (DHS) and Government of Mexico (GoM) law enforcement agencies.

Asset Forfeiture

ICE is requesting 5 GS-1811-7/13 Special Agents, 1 GS-1811-14 Supervisory Special Agent, 1 GS-1801-13/14 Criminal Research Specialist, and 1 GS-1802-5/7 Investigative Assistant to store and maintain seized property and evidence related to national security and critical infrastructure cases along the Southwest Border. Illicit proceeds are gained by organizations utilizing undocumented workers at Ports of Entry and/or In-Bond warehouses and are used to sustain criminal activity and to fund other criminal endeavors. Asset forfeiture laws allow ICE agents to seize and forfeit the illicit proceeds and other criminally derived assets from critical infrastructure cases.

Assist U.S. Attorney's Office (AUSA) Liaisons

This request funds five GS-1811-7/13 Special Agents for liaison positions at the Assistant U.S. Attorney (AUSA) offices along the Southwest border. The ICE OI liaison to the U.S. Attorney's Office will be responsible for managing any task or issue, and enhancing relationships at the U.S. Attorney's Office relating to ICE investigative authorities or activities. The ICE liaison will facilitate the presentation of other OI cases for intake by advising ICE agents and supervisors about prosecution guidelines.

With respect to the U.S. Attorney's Office's expedited "fast track" program to prosecute previously deported aliens with significant criminal histories, the agent liaison will coordinate and handle intake of such matters. Additionally, the liaison will support fellow ICE agents who request support with matters at the U.S. Attorney's Office, the grand jury, or the District Court.

Forensic Document Laboratory (FDL)

The ICE FDL is requesting 1 GS-1801-13/14 Criminal Research Specialist, 2 GS-1397-7/14 Forensic Document Examiners, 2 GS-1301-9/14 Physical Scientists and 2 GS-0072-7/13 Fingerprint Specialists and \$1.9 million in general expense funding for very specialized and expensive forensic examination equipment to support the Southwest Border Enforcement initiative. The FDL plays a pivotal role by directly supporting investigations involving documents or requiring fingerprint examination services, forensic examinations, and provides expert testimony concerning examinations. Many of the programs covered by this initiative, including BEST, ASTI, Financial, Human Rights Violators Center, Human Smuggling and Trafficking, and Worksite, use the services of the FDL to support their investigations.

Human Smuggling and Trafficking

ICE is requesting 8 GS-1811-7/13 Special Agents, 2 GS-1811-14 Supervisory Special Agents, one GS-1801 13/14 Criminal Research Specialist, one GS-1802-5/7 Investigative Assistant, one GS-0301-13 Mission Support Specialist and one GS-0343-14 Management and Program Analyst to assist critical infrastructure and national security violations that involve smuggling or trafficking in aliens or some other form of worker exploitation. In addition, ICE is requesting non-personnel costs totaling \$747,000 (\$122,000 for staff travel; \$125,000 for document translation costs; and \$500,000 for training for field investigators) to fund human smuggling and trafficking investigations.

Human Smuggling and Trafficking Center (HSTC)

ICE is requesting 1 GS-1811-7/13 Special Agent, 1 GS-1801-13/14 Criminal Research Specialist, 1 GS-0301-13 Mission Support Specialist, and \$750,000 to expand the HSTC in accordance with Section 7202 of the Intelligence Reform and Terrorism Prevention Act of 2004. Criminal organizations that smuggle aliens and facilitate the illegal international movement of people create the pipeline that supplies the flow of illegal aliens across the Southwestern border. The HSTC is a multi-agency organization representing the Departments of Homeland Security, Justice and State as well as the Intelligence Community and is designed to focus the U.S. Government's efforts to dismantle human smuggling and trafficking organizations. The HSTC has the unique capability to pull together elements from the diplomatic, prosecutorial, law enforcement and intelligence arenas to have a seamless and coordinated government approach to combating the illegal movement of people into the United States along the Southwestern border.

Identity and Benefit Fraud (IDBF)

ICE is requesting 5 GS-1811-7/13 Special Agents, 1 GS-1811-14 Supervisory Special Agent, 1 GS-1801-13/14 Criminal Research Specialist and 1 GS-1802-5/7 Investigative Assistant to assist national security and critical infrastructure efforts by targeting identity and benefit fraud along the Southwest Border. IDBF presents a national security vulnerability by which illegal aliens, to possibly include terrorists and other persons who pose a risk to public safety, can not only gain entry into the United States but also remain here under a guise of legitimacy.

Title 3

ICE is requesting 1 GS-1811-7/13 Special Agent, one GS-1801-13 Technical Enforcement Officer and \$5 million in non-personnel costs to financially support Title 3 operations. The \$5 million in non-personnel costs will fund court authorized intercepts. The personnel requested would administer the Title 3 National contract, facilitate security clearances of monitors, review and process funding requests, process Title 3 applications, coordinate the Title 3 training seminar, administer Title 3 equipment upgrades, maintenance, and call data.

ICE Title 3 intercepts are an integral tool in many successful criminal investigations. ICE Title 3 investigations include violations of narcotics, child pornography, child sex tourism, human trafficking and smuggling, technology transfer, financial investigations and gang related crimes.

Victim Witness Assistance

ICE is requesting one GS-0301-13 Professional Victim Assistant to increase the Victim Witness Assistance program along the Southwest Border. ICE employs a Victim Assistance Coordinator at ICE headquarters to oversee and manage the ICE Victim Assistance Program. However, ICE does not presently have full-time Victim Assistance Coordinators in field offices. Victims come from a variety of ICE investigations, including human trafficking, child sex tourism, child exploitation, child pornography, telemarketing, pharmaceutical fraud, identity theft, human rights abuse and genocide, and crimes occurring in 8,800 federal buildings.

Office of International Affairs

This initiative expands and reinforces the ICE efforts to protect America by upholding the security and safety of the public along the U.S. southwest border, specifically by expanding the law enforcement presence overseas along Mexico's northern border in high-risk locations. By adding investigators who will be supported from existing attaché and consulate offices, OIA will be able to sustain operations where investigations have rapidly increased and the need for cross-border investigative support has been identified. This initiative will fund experienced investigators conducting operations along the northern Mexico border based from three existing offices along the Mexican border and Mexico City. These efforts will increase support to a number of key homeland security priorities, including preventing cross-border crime and associated violence; increasing the ability to engage in bi-lateral interdiction, investigation, and intelligence-sharing activities with the Government of Mexico; and disrupting and dismantling trans-border criminal networks engaged in the smuggling of weapons, aliens, and contraband.

The comprehensive approach of the Southwest Border Enforcement Initiative will further allow ICE to identify criminal activities and eliminate vulnerabilities that pose a threat to our nation's borders, as well as address the public safety threat of criminal organizations operating from Mexican border communities and ultimately to eliminate the potential threat of terrorist acts against the United States.

The OIA Southwest Border Initiative will address four key areas:

U.S.-Mexico Border Enforcement

OIA has developed a comprehensive initiative that will partner with Mexico to increase investigations and operations along the U.S. southwest border and increase the law enforcement capabilities of Mexican agencies to combat the threat posed to public safety from the criminal organizations running rampant in Mexican border cities. The increased level of cross-border crime increases the need for OIA to strengthen partnerships and conduct joint investigations to combat the criminal organizations.

Global Trafficking in Persons (G-TIP)

In support of the Initiative to Combat Trafficking in Persons, OIA will expand the efforts of the Global Trafficking in Persons (G-TIP) Project to train Mexican, law enforcement entities and Non Governmental Organizations to conduct or support trafficking investigations. In FY 2008 over 552 foreign law enforcement personnel were trained and OIA assisted the Government of Mexico in rescuing 18 victims of human trafficking. OIA will further develop the project to combat the abuses and exploitation of human trafficking groups. OIA agents will work in conjunction with ICE's Victim-Witness Program to develop full time victim-witness coordinators for trafficking cases, and conduct

anti-trafficking projects.

Bulk Cash Smuggling

OIA special agents rely on a unique combination of historical expertise, laws, authorities, and innovative techniques, which they bring to the arena of financial crime investigations. The OIA International Bulk Cash Smuggling (BCS) program will include a comprehensive strategy for training, technical assistance, and interdiction operations in order to accomplish relevant ICE goals and strategic priorities. The BCS program would provide operational and training support to Mexico. It would also provide the international component for the Office of Investigations (OI) Hands Across the World Initiative and other financial investigations related to BCS with an overseas nexus. In FY 2007, OIA conducted BCS investigations in Mexico that resulted in \$55 million in seizures.

Financial Crimes

To increase investigations along the Southwest Border, OIA will aggressively pursue the financial component of every investigation. ICE has many long-standing and recently implemented enforcement initiatives concerning national security: money-laundering, bulk cash smuggling, unlicensed money service businesses, and corrupt foreign officials, all of which pose threats to national security and critical infrastructure.

Office of Intelligence

Border Violence Intelligence Cell

The initial cadre of four intelligence analysts was established at the BVIC in January 2008 taken from existing staff in order to respond to the upsurge of violence plaguing both sides of the U.S.-Mexico border with the objective of providing strategic and tactical intelligence support to government-wide efforts to target this violence. The BVIC also developed investigative leads for the BEST teams and supported Mexican law enforcement agencies investigating the murders of Mexican Officials. BVIC, along with the Alcohol Tobacco and Firearms (ATF) weapons desk, serves as ICE's central point for analyzing all-source intelligence and trends in firearms smuggling. In December 2008, BVIC in conjunction with DHS intelligence components, produced a strategic assessment of southbound weapons smuggling that guided increased weapons investigation and interdiction operations along the Southwest Border.

In FY 2009, the ICE Office of Intelligence surged 26 positions to the Southwest Border, this enhancement will capitalize on momentum established by these analysts in addressing Southwest Border issues, and build on the relationships, practices, and intelligence gathered by the initial, surge group.

ICE Intelligence has adopted a customer requirements system for ICE components to notify Intel of their required intelligence services. This system requires that requesting offices within ICE submit formal requirements via this system for action by the ICE Office of Intelligence. These requirements are all in support of ICE strategic objectives. FY 2008 was the first year of operation using this system that is currently operating throughout the United States and is accessible by OI, FPS, DRO, and other ICE field components like BEST. It is anticipated that the quantity of requirements will more than double in FY 2009 and increase in the out years as ICE components become more familiar with its operation and available intelligence services fostered by the ease of use of the customer requirements system.

Based on requirements levied during FY 2008 in response to violence along the Southwest Border, and the fact that requirements levies will at least double in FY 2009 based on requirements levied year-to-date, ICE Intelligence has sufficient BVIC staffing to meet a small portion of current customer requirements related to the issue of South West Border violence. The additional requested staff are needed to support current BEST and other Southwest Border enforcement requirements and to begin supporting requirements from other ICE, DHS, and other related requirements for Southwest Border issues. In addition, ICE will continue to work with DOJ to ensure that each agency's collection and reporting assets complement each other and that information is shared in an efficient and effective manner.

Impact on Performance (Relationship of Increase to Strategic Goals):

BEST, ASTI Financial Investigations, Southwest Border Facilities, ASTI, Asset Forfeiture, AUSA, FDL, Human Smuggling and Trafficking, HSTC, IDBF, Title III, and Victim Witness Assistance all promote DHS strategic objective 1.1 of the DHS Strategic Plan "Achieve Effective Control of Our Borders" and is aligned to the ICE Strategic Plan Goal 1 — Objective 1.1 – "Prevent the movement across U.S. borders of people, money and materials that could harm the Nation and its people — Prevent terrorist and other criminal organizations from launching illegal activities from other countries." This Southwest Border Enforcement Initiative also supports SBI in its goal of "Build a strong compliance and enforcement system for law abiding employers" by working to aggressively investigate all aspects of those employers who make it their business practice to work with smuggling and trafficking organizations to induce the illegal entry and knowingly hiring of undocumented aliens within critical infrastructures and Ports of Entry. In addition, the increases for FY 2009 will allow ICE to address critical infrastructure vulnerabilities through a holistic investigative approach leveraging Title 8 and export enforcement authorities as well as analytical capabilities unique to ICE.

ICE Office of Intelligence's contribution to the South West Border Violence initiative - BVIC - is an entity working in direct support to the other operational components of ICE targeting growing violence on the South West Border, and satisfies the intelligence requirements of those customers so engaged.

The requirements levied by BEST and other ICE and DHS components are a critical part of their efforts to achieve ICE strategic goals, involving violence along the South West Border. Intel is able to support these ICE strategic goals through its response to these customer requirements.

OIA interdiction efforts will prevent smuggling and illegal entry of persons, with a priority on terrorist groups, gang members, and criminal aliens. Investigative efforts will target human smuggling, contraband smuggling, weapons smuggling, money laundering, bulk cash smuggling, criminal gangs, critical infrastructure protection, identity theft and benefit fraud, and any other vulnerabilities that pose a threat to public safety or national security.

By end of FY 2008, FIGs will have received over 59 requirements, of which they will be able to meet about 20, leaving approximately 29 requirements unmet relating to various strategic objectives that relate to border violence. Without the additional requested staff, these specific requirements for information critical to law enforcement identified by OI and other components will go unmet. The lack of this required information is expected to impact the effectiveness of investigations as important information needs go unmet. The demand for support is also expected to grow keeping inline with the trend experienced by the Office of Intelligence since implementing a requirements-driven approach to providing intelligence support in support of its customers.

The Southwest Border Enforcement Initiative fosters coordinated enforcement with foreign law enforcement counterparts, other DHS and federal law enforcement agencies and entities to optimize ICE's enforcement efforts and benefits other ICE entities including the Office of Investigations and Detention and Removal Operations by supporting investigations, generating intelligence, and decreasing potential detention and repatriation costs of aliens subsequent to their arrival.

By denying access to terrorists to the United States via visas, this initiative supports the DHS Goal to Protect Our Nation from Dangerous People by (1) preventing movement across the border of people that could harm the United States and its people, and (2) reducing cross-border crime and associated violence. This initiative also supports ICE strategic goals: (1) to prevent the movement across U.S. borders of goods, money, and materials that could harm the Nation and its people; (2) to mitigate risks to national security at home and abroad; and (4) to ensure integration of enforcement support and intelligence services into operations. This initiative is a key component in the Department's commitment to improve border enforcement, the Secure Border Initiative. This initiative also promotes ICE Strategic Plan Goal 1 "Prevent the movement across U.S. borders of people, money, and materials that could harm the Nation and its people" – Objective 1.1 – "Prevent terrorist and other criminal organizations from launching illegal activities from other countries."

Southwest Border Analysts and Reports Officers: The additional 90 Intelligence Research Specialists and Reports Officer positions will be able to fulfill at least 180 more intelligence requirements, which is 12 percent of the expected total annual amount of unaddressed requests for FY 2009.

BVIC: The first ICE Office of Intelligence contribution to the South West Border Violence initiative – BVIC - is an entity working in direct support to the other operational components of ICE and other Federal, Foreign, Tribal, State and Local partner agencies targeting growing violence on the Southwest Border, and satisfies the intelligence requirements of those customers so engaged. Because of the emphasis on information sharing as part of the BVIC's mission, this enhancement will allow for more than doubling the throughput of intelligence products to law enforcement and intelligence community partners.

HSDN: will allow for classified connectivity at nine additional customer sites located along the Southwest Border allowing for classified information sharing along the Southwest Border in a more timely, and secure manner as classified connectivity was not enjoyed at these sites previously. Expansion of HSDN capability will dramatically improve ICE's ability to transmit classified information at the Secret level. Secret-level computer-to-computer communication is a critical tool of enforcement operations that target threats to our Nation's borders.

Performance impacts of this request include:

- Increase in initiation of investigative priority cases originating in Mexico of approximately 100 cases;
- Increased generation of leads and intelligence information, and related domestic and host country enforcement actions;
- Identification of trends and tactics of criminal networks and organizations, potential terrorists and other criminal organizations; and
- Increased working relationships, training, and coordination with the Government of Mexico to combat transnational criminal organizations.

**Department of Homeland Security
Immigration and Customs Enforcement
Salaries and Expenses
Justification of Resources Above Guidance**

(Dollars in Thousands)

Program Increase 1: Secure Communities –
A Comprehensive Plan to Identify and Remove Criminal Aliens

Strategic Goal(s) & Objective(s): Strategic Goal 1: Protect our Nation from Dangerous People
PPA: Secure Communities/CIRCA –

Program Increase: Positions 92 FTE 46 Dollars \$39,100

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level						0	472	472	159,300
Program Increase	0	0	200,000	0	0	150,000	92	46	39,100
Budget Request	435	43	200,000	435	239	150,000	564	518	198,400

Description of Item

In FY 2008, Congress provided ICE with \$200 million, available for two years, to “improve and modernize efforts to identify aliens convicted of a crime, sentenced to imprisonment, and who may be deportable, and remove them from the United States once they are judged deportable.” In response, ICE published the SC/CIRCA Strategic Plan. This plan describes how ICE will better identify criminal aliens and prioritize them for removal by strengthening state and local partnerships, improving interagency information sharing, leveraging emerging technologies, and improving the efficiency of ICE operations. In FY 2009, Congress appropriated an additional \$150 million, available for two years, for SC/CIRCA to meet the program’s goals. Congress further required ICE to utilize at least \$850 million of existing programs’ resources “to identify aliens convicted of a crime, and who may be deportable, and to remove them from the United States once they are judged deportable.” In FY 2009, ICE expects to obligate over \$1.4 billion of its Salaries and Expenses appropriation toward criminal alien enforcement efforts.

The initial focus of Secure Communities enforcement improvements is to move from biographic (name-based) to biometric (fingerprint-based) identification of criminal aliens. Use of biometrics leads to faster, more reliable, more efficient identifications that find criminal aliens earlier in the criminal justice process (at arrest versus at incarceration). By extending screening to the point of arrest, ICE will identify and remove greater numbers of violent criminal aliens, including those who committed past violent crimes and have been arrested again on minor charges. In many cases, such criminal aliens would have never been screened within jails participating in ICE’s Criminal Alien Program and would have been released back into our communities. Through biometric identification, ICE will apprehend and remove these criminal aliens.

In FY 2008, ICE successfully concluded seven pilot deployments that use newly developed information sharing capabilities between DHS and DOJ biometric databases to screen arrested individuals for criminal alien status. This enabled ICE to begin a three to four year project to fully activate biometric criminal alien identification technology nationwide. In FY 2009, ICE expects to complete deployments within counties containing an estimated 20% or more of the nation's criminal alien population potentially totaling over 7,431 new locations which will result in an estimated 3,671,300 new transactions. To continue deploying biometric identification technology in FY 2010, ICE requests \$11.8 million in personnel costs to make 80 new hires and \$24.5 million in non-personnel costs to continue ongoing information technology investments.

Personnel Costs (\$12.742 million, 92 positions)

ICE requests \$11.796 million to hire 80 new enforcement personnel who will identify suspected criminal aliens through improved information sharing within the national law enforcement community, determine subjects' alien status and threat to our communities based upon criminal record severity, prioritize ICE enforcement actions against the highest threat removable criminal aliens, and assist in the removal of apprehended criminal aliens.

- The 80 new enforcement personnel include:
 - Sixteen Deportation Officers (GS-1801-12)
 - Eight Supervisory Detention and Deportation Officers (GS-1801-12)
 - 48 Immigration Enforcement Agents (GS-1801-8)
 - Eight General Positions (GS-1802-12)

In addition, ICE requests \$.946 million for twelve support positions, including three Attorneys, one Legal Assistant, one Personnel Security Specialist, two IT Specialists, three Contract Specialists, one Asset Management Portfolio Lead, and one Accounting Specialist.

Non-Personnel Costs (\$26.358 million)

ICE requests \$24.493 million to continue ongoing information technology investments to automate alien status determinations, threat prioritization, and workflow management to improve efficiencies within ICE criminal alien identification, prioritization and removal processes.

In addition, ICE requests \$1.865 million for facility costs for new employees and \$.208 for human resources contract support.

Justification

Extend Biometric Identification Coverage to over 50 percent of the Estimated Criminal Alien

Population: ICE requests \$11.796 million and 80 new permanent positions to continue activating biometric criminal alien identification technologies in counties across the nation. ICE estimates that this funding level, in conjunction with any carry over of Secure Communities' FY 2009 two-year appropriation, will cover the costs associated with apprehending, detaining and removing greater numbers of criminal aliens identified by screening over 50 percent of the estimated nationwide criminal alien population. Added personnel will be responsible for numerous enforcement activities, including:

- Determining threat level and alien status of suspected criminal aliens;
- Interviewing suspected criminal aliens who cannot be biometrically identified, such as those who are in the country illegally without having been previously encountered by DHS;

- Issuing detainers with local law enforcement agencies to take custody of criminal aliens upon their release by the arresting agency;
- Apprehending criminal aliens prior to their release back into the community;
- Referring violent criminal aliens who have repeatedly violated immigration law to U.S. Attorneys for prosecution;
- Conducting removal proceedings against criminal aliens; and
- Removing criminal aliens.

Improve Efficiency of Criminal Alien Identifications, Prioritizations and Removals: ICE will use \$24.493 million to further automate processes (listed below) critical to identifying, prioritizing and removing criminal aliens from the United States after they are biometrically identified. By establishing the identity of a subject to enable further research on information held in DHS and other law enforcement systems, biometric identification is the first step in locating and removing criminal aliens. After biometric identification, ICE must then effectively determine the subject’s alien status, the subject’s severity of criminal history for use in enforcement prioritization, and the enforcement resources that are available to take actions against the highest threat criminal aliens. Each additional step requires more extensive IT automation support in order to handle the greatly expanded volume of subjects that ICE must research as biometric identification capabilities expand to cover over 50% of the criminal alien population. The IT automation projects, already initiated through prior SC/CIRCA appropriations, that ICE will continue funding are:

- *Automated Support of Alien Status Determinations* – By automating alien status determination research, ICE will reduce average determination times while also increasing their accuracy. This will allow ICE to effectively handle an expected several-fold increase in determination requests as ICE extends biometric identifications of criminal aliens towards full nationwide coverage;
- *Automated Threat Prioritization* – By gaining access to greater numbers of law enforcement partner systems containing relevant threat information (e.g. crime records, incarceration records, probation and parole compliance records, local gang task force repositories, etc.), ICE will more accurately identify additional Level 1 criminal aliens. This will enhance ICE’s ability to prioritize criminal aliens based upon threat to the community so that we put available resources to the most effective use for protecting our nation’s citizens; and
- *Automated Workflow Management* – By automating resource and workflow management across the enterprise, ICE will be able to more effectively prioritize enforcement resources toward removing the highest threat criminal aliens and ICE will make more efficient use of its available resources to remove greater numbers of criminal aliens within given resource constraints.

Impact on Performance (Relationship of Increase to Strategic Goals)

ICE established and executed the SC/CIRCA plan in direct response to a Congressional mandate to “to identify aliens convicted of a crime, and who may be deportable, and to remove them from the United States once they are judged deportable”. In addition, SC/CIRCA explicitly addresses one of the Secretary’s top priorities to effectively share mission information with federal, state, local, and tribal homeland security partners in ways that most effectively enhance the security of our homeland and its citizens. By linking local law enforcement arrests, convictions and criminal records with ICE alien status determinations and taking prioritized action against identified criminal aliens, SC/CIRCA targets the most violent, dangerous aliens for removal from the streets of our communities. These enforcement efforts remove individual threats to community safety, disrupt criminal organizations and ultimately improve the safety and well-being of our citizens in direct alignment with DHS Strategic Goal 1 – Protect our Nation from Dangerous People.

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries & Expenses
Justification of Resources Above Guidance**

(Dollars in Thousands)

Program Increase: Data Center Migration

Strategic Goal(s) & Objective(s): 5 Strengthen and Unify DHS Operations and Management
PPA: Salaries & Expenses

Program Increase: Positions 4 FTE 4 Dollars \$33,850

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	0
Program Increase							4	4	\$33,850
Total Request	0	0	\$0	0	0	\$0	4	4	\$33,850

Description of Item

This funding request is targeted at migrating data center operations, active online data, and other IT assets from two Department of Justice (DOJ) data centers and multiple processing centers, including some enterprise-level applications hosted at the ICE headquarters facilities, to two new DHS data centers. The Data Center Migration project also involves disaster recovery planning; ICE intends to achieve migration while ensuring near continuous operations of mission-critical IT systems through contingency infrastructure, planning, and testing, to provide systems and data integrity that align with the DHS goal of ensuring that two new DHS Data Centers support fully redundant IT systems.

To complete the data center migration scope directed by DHS, maximize economies of scale, and ensure compatibility of infrastructure, ICE intends to purchase the equipment for both data centers simultaneously.

The Data Center Migration FY 2010 funding request of \$33.85 million includes the following:

Personnel cost (\$0.33) million

- Four Contracting Specialists.

Non-personnel costs (\$33.52 million)

- Migrate ICE non-mainframe production from DOJ to DHS Data Centers (\$22.7 million)
- Modernize ICE IT Disaster Recovery - Implement modernized contingency solution at DHS Data Center 1 (Stennis) to support ICE production systems hosted at DHS Data Center 2 (EDS) (\$9.65 million)
 - Complete ICE modernized contingency solution planning (\$1.4 million)

- Implement ICE modernized contingency solution (*\$6.1 million*)
- Execute equipment functionality testing and conduct enterprise-wide DR exercises of ICE IT infrastructure (*\$2.15 million*)
- DCM Planning and Oversight Team (\$1.17 million)

Justification

FY 2010 data center consolidation funding will be used to continue ongoing system and application migration to the two existing DHS Enterprise Data Centers. The Data Center consolidation efforts will standardize IT resource acquisitions across components, streamline maintenance and support contracts, resulting in an enhanced DHS IT security posture, improved information sharing with stakeholders, and increased operational efficiencies over time. The Data Center Migration activity will be managed through the Working Capital Fund.

The Data Center Migration project consolidates ICE IT enterprise-level infrastructure (equipment, maintenance, operational, and logistics support processes) to DHS data centers in accordance with DHS directives, and provides load-balancing between mirrored primary and secondary data centers for increased survivability, common operating environments, integrated logistics support processes, and the reduction of redundant skill sets by consolidating data center operations.

The following benefits are derived from the DCM Project:

- Increased efficiency and cost-effectiveness by creating a common operating environment by not needing multiple environments.
- Integrated support processes by having fewer Data Centers to support with manpower or financial aid.

Impact on Performance (Relationship of Increase to Strategic Goals)

The Data Center Migration initiative will increase infrastructure reliability; enhance disaster recovery capability; and improve survivability through mirrored primary and secondary sites with load balancing for upgraded performance.

In compliance with DHS goals, the Data Center Migration (DCM) Project focuses on transition of data center operations from multiple facilities to the new DHS consolidated data centers. The DCM Project evaluates potential data center consolidation alternatives, conducts necessary inventories of ICE IT data center infrastructure and services, develops detailed plans for execution, and provides management and oversight of ICE data center migration to the DHS consolidated data center infrastructure. The migration of disparate and complex ICE data center infrastructure is necessary to ensure compliance with the DHS Enterprise Infrastructure Program consolidation effort; provide survivability of the data center, a common operating environment, and integrated logistics support processes.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Justification of Proposed Changes in Appropriation
Salaries and Expenses
Appropriation Language**

For necessary expenses for enforcement of immigration and customs laws, detention and removals, and investigations; and purchase and lease of up to 3,790 (2,350 for replacement only) police-type vehicles; \$[4,927,210,000]5,348,000,000, of which not to exceed \$7,500,000 shall be available until expended for conducting special operations under section 3131 of the Customs Enforcement Act of 1986 (19 U.S.C. 2081); of which not to exceed \$15,000 shall be for official reception and representation expenses; of which not to exceed \$1,000,000 shall be for awards of compensation to informants, to be accounted for solely under the certificate of the Secretary of Homeland Security; of which not less than \$305,000 shall be for promotion of public awareness of the child pornography tipline and anti-child exploitation activities; of which not less than \$5,400,000 shall be used to facilitate agreements consistent with section 287(g) of the Immigration and Nationality Act (8 U.S.C. 1357(g)); and of which not to exceed \$11,216,000 shall be available to fund or reimburse other Federal agencies for the costs associated with the care, maintenance, and repatriation of smuggled aliens unlawfully present in the United States: *Provided*, That none of the funds made available under this heading shall be available to compensate any employee for overtime in an annual amount in excess of \$35,000, except that the Secretary, or the designee of the Secretary, may waive that amount as necessary for national security purposes and in cases of immigration emergencies: *Provided further*, That of the total amount provided, \$15,770,000 shall be for activities in fiscal year 2009 to enforce laws against forced child labor, of which not to exceed \$6,000,000 shall remain available until expended[: *Provided further*, That of the total amount available, not less than \$1,000,000,000, of which \$150,000,000 shall remain available until September 30, 2010, shall be available to identify aliens convicted of a crime, and who may be deportable, and to remove them from the United States once they are judged deportable: *Provided further*, That the Secretary, or the designee of the Secretary, shall report to the Committees on Appropriations of the Senate and the House of Representatives, at least quarterly, on progress implementing the preceding proviso, and the funds obligated during that quarter to make that progress: *Provided further*, That the Secretary shall prioritize the identification and removal of aliens convicted of a crime by the severity of that crime: *Provided further*, That of the total amount provided, not less than \$2,481,213,000 is for detention and removal operations, including transportation of unaccompanied minor aliens[: *Provided further*, That of the total amount provided, \$6,800,000 shall remain available until September 30, [2010]2011, for the Visa Security Program[: *Provided further*, That none of the funds provided under this heading may be used to continue a delegation of law enforcement authority authorized under section 287(g) of the Immigration and Nationality Act (8 U.S.C. 1357(g)) if the Department of Homeland Security Inspector General determines that the terms of the agreement governing the delegation of authority have been violated: *Provided further*, That effective April 15, 2009, none of the funds provided under this heading may be used to continue any contract for the provision of detention services if the two most recent overall performance evaluations received by the contracted facility are less than 'adequate' or the equivalent median score in any subsequent performance evaluation system:

Provided further, That the Secretary shall submit to the Committees on Appropriations of the Senate and the House of Representatives, not later than January 5, 2009, a plan for nationwide implementation of the Alternatives to Detention program that identifies: (1) the funds required for nationwide program implementation; (2) the timeframe for achieving nationwide program implementation; and (3) an estimate of the number of individuals who could be enrolled in a nationwide program: *Provided further*, That nothing under this heading shall prevent U.S. Immigration and Customs Enforcement from exercising those authorities provided under immigration laws (as defined in section 101(a)(17) of the Immigration and Nationality Act (8 U.S.C. 1101(a)(17))) during priority operations pertaining to aliens convicted of a crime]. (Department of Homeland Security Appropriations Act, [2009]2010.)

B. FY 2009 to FY 2010 Budget Change

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
 FY 2009 to FY 2010 Budget Change
 (Dollars in Thousands)

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual	16,644	15,902	4,639,175
FY 2009 Enacted	18,879	18,278	4,927,210
Adjustments-to-Base			
Transfers to and from other accounts			
Transfer from Automation Modernization.....	18	18	39,100
Transfer from Construction.....	9	9	---
Total Transfers.....	<u>27</u>	<u>27</u>	<u>39,100</u>
Increases			
Annualization of prior year funding.....	1	333	17,620
Annualization of 2009 pay raise.....	---	---	21,159
2010 pay increase.....	---	---	34,402
GSA Rent.....	---	---	4,059
Non-pay inflation excluding GSA Rent.....	---	---	---
Annualization of Secure Communities.....	472	472	159,300
Annualization of detention beds.....	---	---	36,200
Total Increases.....	<u>473</u>	<u>805</u>	<u>272,740</u>
Decreases			
Two-year availability for Secure Communities (non-emergency).....	---	---	(150,000)
Total Decreases.....	<u>---</u>	<u>---</u>	<u>(150,000)</u>
Total Adjustments-to-Base	500	832	161,840
2010 Current Services	19,379	19,110	5,089,050
Program Changes			
Program Increases/(Decreases)			
Secure Communities.....	92	46	39,100
Office of State and Local Coordination.....	28	15	11,600
Detention Facilities Inspection Group.....	50	25	12,400
Southwest Border Enforcement.....	349	176	70,000
- Investigations.....	237	119	54,000
- International Affairs.....	13	7	5,100
- Intelligence.....	99	50	10,900
Co-Location of ICE Facilities.....	26	13	92,000
Data Center Migration.....	4	4	33,850
Total Program Changes.....	<u>549</u>	<u>279</u>	<u>258,950</u>
2010 Request	19,928	19,389	5,348,000
2009 to 2010 Total Change	1,049	1,111	420,790

C. Summary of Requirements

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
 Summary of Requirements
 (Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	16,644	15,902	\$4,639,175
2009 Enacted	18,879	18,278	4,927,210
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	27	27	39,100
Increases	473	805	272,740
Decreases	---	---	(150,000)
Total Adjustments-to-Base	500	832	161,840
2010 Current Services	19,379	19,110	5,089,050
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	549	279	258,950
2010 Total Request	19,928	19,389	5,348,000
2009 to 2010 Total Change	1,049	1,111	420,790

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Legal Proceedings	1,292	1,280	240,145	2	10	6,619	35	18	13,003	1,329	1,307	259,768	37	27	19,622
2 Domestic Investigations	9,259	8,842	1,696,150	14	232	64,614	271	138	123,278	9,544	9,212	1,884,042	285	370	187,892
3 International Investigations	222	202	110,780	1	2	1,594	13	7	6,626	237	210	119,000	15	9	8,221
4 Visa Security Program	77	62	28,202	0	10	3,521	1	0	591	77	73	32,313	1	11	4,111
5 Intelligence	383	351	63,720	(4)	16	3,128	93	47	13,029	472	413	79,876	89	62	16,156
6 DRO - Custody Operations	5,664	5,578	1,830,287	10	77	60,383	39	21	45,923	5,713	5,676	1,936,594	49	98	106,306
7 DRO - Fugitive Operations	736	732	240,643	1	3	4,567	5	3	5,967	742	738	251,178	6	6	10,535
8 DRO - Criminal Alien Program	1,016	1,007	208,571	2	4	5,345	7	4	8,215	1,025	1,015	222,131	9	8	13,560
9 DRO - Alternatives to Detention	186	184	66,599	0	3	1,259	1	1	1,516	188	187	69,374	2	3	2,775
10 DRO - Transportation and Removal Program	---	---	281,399	---	---	479	---	---	---	---	---	281,878	---	---	479
11 Comprehensive Identification and Removal of Criminal Aliens	45	41	160,714	473	474	10,330	84	42	40,802	601	558	211,846	557	516	51,132
Total	18,879	18,278	\$4,927,210	500	832	\$161,840	549	279	\$258,950	19,928	19,389	\$5,348,000	1,049	1,111	\$420,790

D. Summary of Reimbursable Resources

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
 Summary of Reimbursable Resources
 (Dollars in Thousands)

Collections by Source	FY 2008 Actual			2009 Revised Estimate			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
DHS - CIS	---	---	3,287	---	---	4,906	---	---	4,906	---	---	---
DOJ	---	---	760	---	---	787	---	---	787	---	---	---
USTD CBP/TREASURY/ASSET FORFEITURE	---	---	36,693	---	---	33,982	---	---	33,982	---	---	---
DHS CUSTOMS & BORDER PATROL	---	---	29,755	---	---	57,905	---	---	57,905	---	---	---
DHS FEDERAL LAW ENFORCEMENT TRAINING CTR	---	---	80	---	---	60	---	---	60	---	---	---
Department of State	---	---	5,055	---	---	2,676	---	---	2,676	---	---	---
DHS-WCF	---	---	22,720	---	---	25,091	---	---	25,091	---	---	---
DHS Federal Air Marshal Service	---	---	---	---	---	20	---	---	20	---	---	---
CIA	---	---	2	---	---	---	---	---	---	---	---	---
Executive Office of the President	---	---	56	---	---	---	---	---	---	---	---	---
US VISIT	---	---	436	---	---	167	---	---	167	---	---	---
FEMA	---	---	190	---	---	194	---	---	194	---	---	---
OPS	---	---	380	---	---	---	---	---	---	---	---	---
USCG	---	---	112	---	---	---	---	---	---	---	---	---
NASA	---	---	---	---	---	---	---	---	---	---	---	---
DHS S&T	---	---	19	---	---	---	---	---	---	---	---	---
Total Budgetary Resources	---	---	\$99,544	---	---	\$125,787	---	---	\$125,787	---	---	\$0

Obligations by Program/Project Activity	FY 2008 Actual			2009 Revised Estimate			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Personnel Compensation and Benefits, Services, and Other Costs	120	99	7,934	120	120	25,285	120	120	25,285	---	---	---
Headquarters Managed IT Investment	---	---	2,797	---	---	6,592	---	---	6,592	---	---	---
Legal Proceedings	1	---	---	1	1	118	1	1	118	---	---	---
Domestic Investigations	189	152	24,707	189	189	65,884	189	189	65,884	---	---	---
International Investigations	20	11	935	20	20	8,078	20	20	8,078	---	---	---
Intelligence	---	---	8,285	---	---	---	---	---	---	---	---	---
DRO - Custody Operations	10	---	---	10	10	3,269	10	10	3,269	---	---	---
Total Obligations	340	262	\$44,658	340	340	\$109,227	340	340	\$109,227	---	---	\$0

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2008 Actual	2009 Enacted	FY 2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	1,185,384	1,221,566	1,334,649	113,084
11.3 Other than full-time permanent	26,474	27,133	29,933	2,800
11.5 Other Personnel Compensation	302,746	311,648	338,088	26,440
11.8 Special Service Pay	424	438	464	25
12.1 Benefits	585,363	604,272	658,634	54,361
13.0 Benefits - former	---	---	---	---
Total, Personnel Comp. & Benefits	\$2,100,391	\$2,165,058	\$2,361,768	\$196,711
Other Object Classes:				
21.0 Travel	253,149	267,485	277,780	10,295
22.0 Transportation of things	17,411	18,903	20,336	1,433
23.1 GSA rent	218,079	224,005	244,378	20,373
23.2 Other rent	2,746	2,774	3,077	302
23.3 Communications, utilities, & other misc. charges	31,742	32,806	35,531	2,725
24.0 Printing and reproduction	216	232	250	18
25.1 Advisory and assistance services	168,253	267,516	315,241	47,726
25.2 Other services	537,574	560,133	600,325	40,192
25.3 Purchases of goods & svcs. from Gov't accounts	72,134	74,438	80,580	6,143
25.4 Operation & maintenance of facilities	829,013	870,079	923,034	52,955
25.5 Research and development contracts	---	---	---	---
25.6 Medical care	83,979	87,256	92,220	4,963
25.7 Operation and maintenance of equipment	67,126	69,190	75,261	6,071
25.8 Subsistence and support of persons	860	885	923	37
26.0 Supplies and materials	81,014	84,307	90,615	6,308
31.0 Equipment	157,492	184,015	206,564	22,550
32.0 Land & structures	1,172	1,160	1,317	157
41.0 Grants/Subsidies/Contributions	341	344	382	38
42.0 Indemnity	3,115	3,230	3,520	290
43.0 Interest & dividends	---	---	---	---
44.0 Refunds	---	---	---	---
91.0 Unvouchered	13,368	13,395	14,900	1,504
99.0 Other	---	---	---	---
Total, Other Object Classes	\$2,538,784	\$2,762,152	\$2,986,232	\$224,079
Total, Direct Obligations	\$4,639,175	\$4,927,210	\$5,348,000	\$420,790
Unobligated balance, start of year	---	---	---	
Unobligated balance, end of year	---	---	---	
Recoveries of prior year obligations	---	---	---	
Total requirements	\$4,639,175	\$4,927,210	\$5,348,000	

F. Permanent Positions by Grade

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Permanent Positions by Grade**

Grades and Salary Ranges	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
	Pos.	Pos.	Pos.	Total
Total, SES	52	52	52	---
Total, EX	1	1	1	---
GS-15	767	767	768	1
GS-14	2,316	2,464	2,559	95
GS-13	5,097	5,422	5,575	153
GS-12	1,917	2,039	2,069	30
GS-11	1,147	1,220	1,331	111
GS-10	21	22	22	---
GS-9	2,836	3,017	3,219	202
GS-8	171	182	182	---
GS-7	2,362	2,513	2,798	285
GS-6	206	219	219	---
GS-5	697	741	913	172
GS-4	116	116	116	---
GS-3	24	24	24	---
GS-2	18	18	18	---
Other Graded Positions	62	62	62	---
Ungraded Positions	---	---	---	---
Total Permanent Positions	17,810	18,879	19,928	1,049
Unfilled Positions EOY	1,166	550	484	(66)
Total Perm. Employment EOY	16,644	18,329	19,444	1,115
FTE	15,902	18,278	19,389	1,111
Headquarters	1,788	1,888	1,964	76
U.S. Field	15,838	16,802	17,775	973
Foreign Field	184	189	189	0
Total Permanent Positions	17,810	18,879	19,928	1,049
Average ES Salary	\$ 157,751	\$ 162,806	\$ 167,690	\$ 4,884
Average GS Salary	\$ 77,530	\$ 81,116	\$ 82,660	\$ 1,545
Average GS Grade	11.01	11.18	10.90	(0.28)

G. Capital Investment and Construction Initiative Listing

**U.S. Immigration and Customs Enforcement
Salaries and Expenses**

Not applicable

H. PPA Budget Justifications

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Legal Proceedings
Funding Schedule
(Dollars in Thousands)

PPA: Legal Proceedings		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	108,154	117,693	127,310	9,617
11.3	Other than perm	4,228	4,601	4,977	376
11.5	Other per comp	2,185	2,378	2,572	194
11.8	Spec Srvc Pay	---	---	---	---
12.1	Benefits	31,339	34,103	36,889	2,787
13.0	Benefits-former	---	---	---	---
21.0	Travel	5,311	5,780	6,252	472
22.0	Transportation of things	572	623	674	51
23.1	GSA rent	11,396	12,401	13,415	1,013
23.2	Other rent	38	41	44	3
23.3	Communication, Utilities, and misc charges	1,703	1,853	2,004	151
24.0	Printing	163	177	192	14
25.1	Advisory & Assistance Services	29,769	32,395	35,042	2,647
25.2	Other Services	10,950	11,916	12,890	974
25.3	Purchase from Govt. Accts.	6,175	6,720	7,269	549
25.4	Operation & maintenance of facilities	24	26	28	2
25.5	Research & Development	---	---	---	---
25.7	Operation & maintenance of equipment	2,857	3,109	3,363	254
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	2,144	2,333	2,524	191
31.0	Equipment	3,135	3,411	3,690	279
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	538	586	633	48
Total, Legal Proceedings		\$220,681	\$240,145	\$259,768	\$19,622
Full Time Equivalent		1,124	1,280	1,307	27

PPA Mission Statement

ICE Legal Proceedings (also referred to as the Office of the Principal Legal Advisor or "OPLA") provides the legal advice, training, and services required to support the ICE mission while defending the immigration laws of the U. S. in the administrative and federal courts and is the legal representative for ICE. OPLA is the DHS legal component within ICE that is authorized to represent the Government in immigration proceedings that end up in immigration courts.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	145,906	\$158,775	\$171,748	\$12,974

Salaries and Benefits includes costs for 1,307 FTE. The FY 2010 request includes an increase of \$12,974,000 for pay raises, adjustments-to-base and 27 new hires.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	5,311	\$5,780	\$6,252	\$472

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel Regulations. The FY 2010 request includes an increase of \$472,000 for non-pay inflation and increased travel.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Transportation of Things	\$572	\$623	\$674	\$51

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request includes an increase of \$51,000.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
GSA rent	\$11,396	\$12,401	\$13,415	\$1,013

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request includes a projected increase of \$1,013,000 for space/rent costs.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Rent	\$38	\$41	\$44	\$3

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request includes a \$3,000 increase.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Communications, Utilities, and miscellaneous charges	\$1,703	\$1,853	\$2,004	\$151

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes a projected increase of \$151,000 pay and non-pay inflation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Printing	\$163	\$177	\$192	\$14

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 request includes an increase of \$14,000 for non-pay inflation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$29,769	\$32,395	\$35,042	\$2,647

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The increase in Advisory and Assistance Services from FY 2009 to FY 2010 is \$2,647,000.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$10,950	\$11,916	\$12,890	\$974

Other services increase include contractual services with non-Federal sources that are not otherwise classified under Object Class 25 includes an increase of \$974,000.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Purchases from Government Accounts	\$6,175	\$6,720	\$7,269	\$549

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request reflects a cost increase of \$549,000 higher than FY 2009 budget.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Operation & maintenance of facilities	\$24	\$26	\$28	\$2

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 request projects \$2,000 increase.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Research and Development	\$0	\$0	\$0	\$0

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 request includes an increase of \$0 in non-pay inflation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Operation & Maintenance of equipment	\$2,857	\$3,109	\$3,363	\$254

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request includes an increase of \$254,000.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Subsistence & Support of Persons	\$0	\$0	\$0	\$0

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal Government account for the board, lodging, and care of persons including prisoners. The FY 2010 request includes no changes.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$2,144	\$2,333	\$2,524	\$191

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The requested increase from FY 2009 to FY 2010 is \$191,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$3,135	\$3,411	\$3,690	\$279

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes an increase of \$279,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Land & Structures	\$0	\$0	\$0	\$0

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2010 request includes no changes.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$0	\$0	\$0	\$0

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2010 request includes no changes.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Insurance Claims and Indemnity	\$538	\$586	\$633	\$48

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2010 request reflects a \$48,000 increase.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Domestic Investigations
Funding Schedule
(Dollars in Thousands)

PPA: Domestic Investigations		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	619,834	625,346	694,619	69,273
11.3	Other than perm	20,438	20,620	22,904	2,284
11.5	Other per comp	145,702	146,998	163,282	16,284
11.8	Spec Srvc Pay	---	---	---	---
12.1	Benefits	302,482	305,172	338,977	33,806
13.0	Benefits-former	---	---	---	---
21.0	Travel	35,253	35,566	39,506	3,940
22.0	Transportation of things	2,556	2,579	2,865	286
23.1	GSA rent	120,881	121,956	135,465	13,510
23.2	Other rent	2,535	2,557	2,840	283
23.3	Communication, Utilities, and misc charges	8,761	8,839	9,818	979
25.1	Advisory & Assistance Services	66,136	66,724	74,115	7,391
25.2	Other Services	169,029	170,532	189,422	18,891
25.3	Purchase from Govt. Accts.	29,529	29,791	33,091	3,300
25.4	Operation & maintenance of facilities	585	590	655	65
25.5	Research & Development	---	---	---	---
25.6	Medical care	821	828	920	92
25.7	Operation & maintenance of equipment	33,931	34,232	38,025	3,792
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	24,121	24,336	27,032	2,696
31.0	Equipment	82,403	83,136	92,346	9,209
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	341	344	382	38
42.0	Indemnity	1,731	1,746	1,939	193
91.0	Unvouchered	14,133	14,258	15,838	1,579
Total, Domestic Investigations		\$1,681,200	\$1,696,150	\$1,884,042	\$187,892
Full Time Equivalents		7,605	8,842	9,212	370

PPA Mission Statement

In the Office of Investigations (OI), our broad Homeland Security mission is to defend the Nation by enforcing trade and immigration laws through investigations that target the people, money, and materials that support terrorist and other criminal activities. We work under that mandate by dividing our investigative effort into three broad investigative categories: National Security, Financial and Trade, and Smuggling and Public Safety. These three categories represent the general priorities we use to guide our efforts in our daily activities. Each priority can be broken down into many different sub-categories and, in fact, are operationally interrelated in a great many cases.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$1,088,456	\$1,098,136	\$1,219,782	\$121,647

Salaries and Benefits includes costs for 9,212 FTEs. The FY 2010 Request includes an increase of \$121,647,000 for pay raises, adjustments-to-base and 370 new hires.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$35,253	\$35,566	\$39,506	\$3,940

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 Request includes increases of \$3,940,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$2,556	\$2,579	\$2,865	\$286

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 Request includes increases of \$286,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$120,881	\$121,956	\$135,465	\$13,510

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 Request includes increases of \$13,510,000 for non-pay inflation and enhancements.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Rent	\$2,535	\$2,557	\$2,840	\$283

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 Request includes an increase of \$283,000 in non-pay inflation and enhancements.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$8,761	\$8,839	\$9,818	\$979

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 Request includes increases of \$979,000 in non-pay inflation and enhancements.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$66,136	\$66,724	\$74,115	\$7,391

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 10 request includes a \$7,391,000 increase in non-pay inflation and enhancements.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$169,029	\$170,532	\$189,422	\$18,891

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 Request includes a \$18,891,000 increase in non-pay inflation and enhancements.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$29,529	\$29,791	\$33,091	\$3,300

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 Request includes an increase of \$3,300,000 in non-pay inflation and enhancements.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$585	\$590	\$655	\$65

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes an increase of \$65,000 in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$0	\$0	\$0	\$0

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 Request includes no increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Medical Care	\$821	\$828	\$920	\$92

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2010 Request has an increase of \$92,000 in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$33,931	\$34,232	\$38,025	\$3,792

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes an increase of \$3,792,000 in non-pay inflation and enhancements.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Subsistence & Support of Persons	\$0	\$0	\$0	\$0

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. The FY 2010 Request includes no increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$24,121	\$24,336	\$27,032	\$2,696

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2010 request is for \$2,696,000 in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$82,403	\$83,136	\$92,346	\$9,209

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 Request includes increases of \$9,209,000 in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Land & Structures	\$0	\$0	\$0	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 Request includes no increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$341	\$344	\$382	\$38

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements. The FY 2010 Request is for \$38,000 in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Indemnity	\$1,731	\$1,746	\$1,939	\$193

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2010 Request includes an increase of \$193,000 in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Unvouchered	\$14,133	\$14,258	\$15,838	\$1,579

Unvouchered includes expenditures made lawfully for confidential purposes, including authorized payments made by law enforcement personnel to informants, which are not subject to detailed vouchering or reporting. The FY 2010 Request includes an increase of \$1,579,000 in non-pay inflation.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
International Investigations
Funding Schedule
(Dollars in Thousands)

PPA: International Investigations		2008	2009	2010	2009 to 2010
Object Classes:		Actual	Enacted	Request	Change
11.1	Perm Positions	22,332	26,030	27,962	1,932
11.3	Other than perm	308	358	385	27
11.5	Other per comp	5,828	6,794	7,298	504
11.8	Spec Srvc Pay	---	---	---	---
12.1	Benefits	19,223	22,407	24,069	1,663
13.0	Benefits-former	---	---	---	---
21.0	Travel	6,090	7,098	7,625	527
22.0	Transportation of things	4,777	5,569	5,982	413
23.1	GSA rent	4,103	4,782	5,137	355
23.2	Other rent	4	5	5	0
23.3	Communication, Utilities, and misc charges	1,178	1,373	1,475	102
25.1	Advisory & Assistance Services	1,407	1,640	1,762	122
25.2	Other Services	26,020	30,329	32,580	2,251
25.3	Purchase from Govt. Accts.	1,023	1,192	1,281	88
25.4	Operation & maintenance of facilities	6	7	8	1
25.5	Research & Development	---	---	---	---
25.7	Operation & maintenance of equipment	205	239	257	18
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	1,371	1,598	1,717	119
31.0	Equipment	1,548	1,804	1,938	134
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	---	---	---	---
91.0	Unvouchered	(384)	(448)	(481)	(33)
Total, International Investigations		\$95,040	\$110,780	\$119,000	\$8,221
Full Time Equivalents		227	202	210	9

PPA Mission Statement

Office of International Affairs (OIA) expands the investigative efforts of the Office of Investigations to over 50 foreign locations. The OIA represents the international assets of all ICE programs and collaborates with U.S. Citizenship and Immigration Services, U.S. Customs and Border Protection, and other DHS components. The OIA liaises with foreign governments and international partners to facilitate the enforcement of U.S. customs and immigration laws beyond our borders in an effort to interdict criminals and prevent or disrupt criminal activity. OIA also executes the operational mandate of Section 428 of the Homeland Security Act through ICE's Visa Security Program.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$47,691	\$55,589	\$59,714	\$4,125

Salaries and Benefits includes costs for 210 FTEs. The FY 2010 request includes an increase of \$4,125,000 in personnel compensation to support the Field Intelligence Groups (FIGs) and the Southwest Border Violence (SWBV).

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$6,090	\$7,098	\$7,625	\$527

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes a increase of \$527,000 to support the FIGs and SWBV.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$4,777	\$5,569	\$5,982	\$413

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 requests an increase of \$413,000 to support the FIGs and SWBV.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$4,103	\$4,782	\$5,137	\$355

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 Request includes an increase of \$355,000 in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Rent	\$4	\$5	\$5	\$0

The FY 2010 Request includes no increase in Other Rent.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$1,178	\$1,373	\$1,475	\$102

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes an increase of \$102,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$1,407	\$1,640	\$1,762	\$122

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 Request includes an increase of \$122,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$26,020	\$30,329	\$32,580	\$2,251

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request includes an increase of \$2,251,000 to support the FIGs and SWBV.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$1,023	\$1,192	\$1,281	\$88

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request includes an increase of \$88,000 in non-pay inflation from the prior year.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$6	\$7	\$8	\$1

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 request includes an increase of \$1,000 in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$0	\$0	\$0	\$0

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 Request includes no increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$205	\$239	\$257	\$18

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes an increase of \$18,000 in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Subsistence & Support of Persons	\$0	\$0	\$0	\$0

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal Government account for the board, lodging, and care of persons, including prisoners. The FY 2010 Request includes no increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$1,371	\$1,598	\$1,717	\$119

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2010 Request includes a \$119,000 increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$1,548	\$1,804	\$1,938	\$134

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes an increase of \$134,000 in support of the FIGs and SWBV.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Land & Structures	\$0	\$0	\$0	\$0

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements. The FY 2010 Request includes no increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$0	\$0	\$0	\$0

The FY 2010 Request includes no increase for grants.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Indemnity	\$0	\$0	\$0	\$0

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2010 Request includes no increase for indemnity.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Unvouchered	(\$384)	(\$448)	(\$481)	(\$33)

Unvouchered includes expenditures made lawfully for confidential purposes, including authorized payments made by law enforcement personnel to informants, which are not subject to detailed vouchering or reporting. The FY 2010 Request includes a decrease of \$33,000.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Visa Security Program
Funding Schedule
(Dollars in Thousands)

PPA: Visa Security Program		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	5,583	6,627	7,593	966
11.3	Other than perm	77	91	105	13
11.5	Other per comp	1,457	1,730	1,982	252
11.8	Spec Srvc Pay	---	---	---	---
12.1	Benefits	4,806	5,704	6,536	832
13.0	Benefits-former	---	---	---	---
21.0	Travel	1,522	1,807	2,071	263
22.0	Transportation of things	1,194	1,418	1,624	207
23.1	GSA rent	1,026	1,217	1,395	177
23.3	Communication, Utilities, and misc charges	294	349	400	51
25.1	Advisory & Assistance Services	352	418	478	61
25.2	Other Services	6,505	7,721	8,847	1,126
25.3	Purchase from Govt. Accts.	256	304	348	44
25.4	Operation & maintenance of facilities	2	2	2	0
25.5	Research & Development	---	---	---	---
25.7	Operation & maintenance of equipment	51	61	70	9
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	343	407	466	59
31.0	Equipment	387	459	526	67
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	---	---	---	---
91.0	Unvouchered	(96)	(114)	(131)	(17)
Total, Visa Security Program		\$23,760	\$28,202	\$32,313	\$4,111
Full Time Equivalents		57	62	73	11

PPA Mission Statement

The Visa Security Program (VSP) is the first line of defense in preventing terrorists and other criminals from gaining access to the United States through a legally obtained visa. The integration of experienced ICE law enforcement officers in the visa issuance process enhances this program as a counterterrorism tool through the generation of new watch list entries, “not yet known” terrorist or criminal suspects, valuable intelligence reports and investigative leads, and identification of patterns at high risk locations that traditional screening systems do not detect.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$11,923	\$14,152	\$16,215	\$2,063

Salaries and Benefits includes costs for 73 FTEs. The FY 2010 Request includes an increase of \$2,063,000 .

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$1,522	\$1,807	\$2,071	\$263

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 Request includes increases of \$263,000 in non-pay inflation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Transportation of Things	\$1,194	\$1,418	\$1,624	\$207

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 Request includes an increase of \$207,000.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
GSA rent	\$1,026	\$1,217	\$1,395	\$177

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 Request includes increases of \$177,000.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous charges	\$294	\$349	\$400	\$51

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 Request includes an increase of \$51,000 in non-pay inflation and annulization.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$352	\$418	\$478	\$61

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 Request includes an increase of \$61,000 in non-pay inflation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$6,505	\$7,721	\$8,847	\$1,126

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 Request includes increases of \$1,126,000 in non-pay inflation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Purchase from Government Accounts	\$256	\$304	\$348	\$44

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 Request includes an increase of \$44,000 in non-pay inflation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Operation & maintenance of facilities	\$2	\$2	\$2	\$0

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes no increase in operations & maintenance of facilities.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Research and Development	\$0	\$0	\$0	\$0

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 Request includes no increase in research and development.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Operation & Maintenance of equipment	\$51	\$61	\$70	\$9

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes an increase of \$9,000.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Subsistence & Support of Persons	\$0	\$0	\$0	\$0

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal Government account for the board, lodging, and care of persons, including prisoners. The FY 2010 Request includes no increase in subsistence & support of persons.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$343	\$407	\$466	\$59

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2010 request includes a \$59,000 increase in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$387	\$459	\$526	\$67

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 Request includes increases of \$67,000 in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Land & Structures	\$0	\$0	\$0	\$0

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements. The FY 2010 request includes no increase for land & structures.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$0	\$0	\$0	\$0

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2010 Request includes no increase for grants/subsidies/contributions.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Indemnity	\$0	\$0	\$0	\$0

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2010 Request includes no increase for indemnity.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Unvouchered	(\$96)	(\$114)	(\$131)	(\$17)

Unvouchered includes expenditures made lawfully for confidential purposes, including authorized payments made by law enforcement personnel to informants, which are not subject to detailed vouchering or reporting. The FY 2010 Request includes a \$17,000 decrease.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Intelligence
Funding Schedule
(Dollars in Thousands)

PPA: Intelligence		2008	2009	2010	2009 to 2010
Object Classes:		Actual	Enacted	Request	Change
11.1	Perm Positions	27,649	24,899	31,213	6,313
11.3	Other than perm	81	73	92	19
11.5	Other per comp	1,326	1,194	1,496	303
11.8	Spec Srvc Pay	---	---	---	---
12.1	Benefits	8,010	7,213	9,042	1,829
13.0	Benefits-former	---	---	---	---
21.0	Travel	1,586	1,428	1,790	362
22.0	Transportation of things	105	94	118	24
23.1	GSA rent	2,827	2,546	3,191	646
23.2	Other rent	30	27	34	7
23.3	Communication, Utilities, and Misc. charges	1,684	1,516	1,901	384
24.0	Printing	---	---	---	---
25.1	Advisory & Assistance Services	2,638	2,375	2,978	602
25.2	Other Services	12,832	11,556	14,486	2,930
25.3	Purchase from Govt. Accts.	1,169	1,053	1,320	267
25.4	Operation & maintenance of facilities	10	9	11	2
25.5	Research & Development	---	---	---	---
25.6	Medical care	---	---	---	---
25.7	Operation & maintenance of equipment	1,420	1,279	1,603	324
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	603	543	681	138
31.0	Equipment	8,176	7,363	9,230	1,867
32.0	Land & Structures	561	505	633	128
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	50	45	56	11
Total, Intelligence		\$70,756	\$63,720	\$79,876	\$16,156
Full Time Equivalents		288	351	413	62

PPA Mission Statement

Intelligence - Collect, analyze and share information on critical homeland security vulnerabilities that could be exploited by terrorist and criminal organizations. The Office of Intelligence focuses on data and information related to the movement of people, money and materials into, within and out of the United States to provide accurate and timely reporting to ICE leadership and field agents in support of enforcement operations. ICE's intelligence functions are managed by a highly trained team of professionals with expertise in data and threat analysis, languages, financial investigations, counterterrorism and a number of other areas. ICE intelligence professionals process information from a variety of sources to provide assessments of patterns, trends and new developments in a wide range of law enforcement areas. These include the following areas: Terrorism, Human Smuggling and Trafficking, Money Laundering and Financial Crime, Drug Smuggling, Criminal Aliens, Air and Marine Smuggling, Cyber Crimes, Identity Fraud and Document Fraud, and Arms Trafficking.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$37,066	\$33,380	\$41,843	\$8,464

Salaries and Benefits includes costs for 413 FTEs. The FY 2010 Request includes an increase of \$8,464,000 .

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$1,586	\$1,428	\$1,790	\$362

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 Request includes increases of \$362,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$105	\$94	\$118	\$24

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 Request includes an increase of \$24,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$2,827	\$2,546	\$3,191	\$646

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 Request includes an increase of \$646,000 in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Rent	\$30	\$27	\$34	\$7

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 Request includes an increase of \$7,000 in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$1,684	\$1,516	\$1,901	\$384

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 Request includes increases of \$384,000 in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$0	\$0	\$0	\$0

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

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$2,638	\$2,375	\$2,978	\$602

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 Request includes an increase of \$602,000 in non-pay inflation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$12,832	\$11,556	\$14,486	\$2,930

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 Request includes an increase of \$2,930,000.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Purchase from Government Accounts	\$1,169	\$1,053	\$1,320	\$267

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 Request includes an increase of \$267,000 in non-pay inflation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Operation & maintenance of facilities	\$10	\$9	\$11	\$2

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes an increase of \$2,000 in non-pay inflation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Research and Development	\$0	\$0	\$0	\$0

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 Request includes no increase for research and development.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Medical Care	\$0	\$0	\$0	\$0

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2010 Request has no increase in medical care.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$1,420	\$1,279	\$1,603	\$324

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes an increase of \$324,000 in operations & maintenance of equipment.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Subsistence & Support of Persons	\$0	\$0	\$0	\$0

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal Government account for the board, lodging, and care of persons, including prisoners. The FY 2010 Request includes no increase in subsistence & support of persons.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$603	\$543	\$681	\$138

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2010 Request includes an increase of \$138,000 in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$8,176	\$7,363	\$9,230	\$1,867

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 Request includes increases of \$1,867,000 for increased support along the Southwest border.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Land & Structures	\$561	\$505	\$633	\$128

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements. The FY 2010 Request includes a \$128,000 increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$0	\$0	\$0	\$0

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2010 Request includes no increase for grants/subsidies/contributions.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Indemnity	\$50	\$45	\$56	\$11

Insurance claims and indemnities include all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2010 Request includes an increase of \$11,000 in non-pay inflation.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
DRO - Custody Operations
Funding Schedule
(Dollars in Thousands)

PPA: DRO - Custody Operations		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	303,680	313,820	332,047	18,227
11.3	Other than perm	1,160	1,199	1,268	70
11.5	Other per comp	110,190	113,868	120,482	6,614
11.8	Spec Srvc Pay	424	438	464	25
12.1	Benefits	161,519	166,912	176,606	9,695
13.0	Benefits-former	---	---	---	---
21.0	Travel	13,955	14,421	15,259	838
22.0	Transportation of things	4,676	4,832	5,112	281
23.1	GSA rent	56,283	58,162	61,541	3,378
23.2	Other rent	138	143	151	8
23.3	Communication, Utilities, and Misc. charges	13,073	13,510	14,294	785
24.0	Printing	51	53	56	3
25.1	Advisory & Assistance Services	36,584	37,805	40,001	2,196
25.2	Other Services	155,504	160,696	170,030	9,334
25.3	Purchase from Govt. Accts.	19,579	20,233	21,408	1,175
25.4	Operation & maintenance of facilities	762,134	787,580	833,324	45,744
25.5	Research & Development	---	---	---	---
25.6	Medical care	67,434	69,685	73,733	4,047
25.7	Operation & maintenance of equipment	12,141	12,546	13,275	729
25.8	Subsistence & Support of persons	593	613	648	36
26.0	Supplies & materials	34,339	35,485	37,546	2,061
31.0	Equipment	18,069	18,673	19,757	1,085
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	17	18	19	1
91.0	Unvouchered	(391)	(405)	(428)	(23)
Total, DRO - Custody Operations		\$1,771,153	\$1,830,287	\$1,936,594	\$106,306
Full Time Equivalent		5,073	5,578	5,676	98

PPA Mission Statement

Immigration enforcement authorities apprehend potentially removable aliens. In many cases, these aliens must be detained while they go through immigration proceedings and until they are removed. Often the number of apprehensions exceeds the detention space available and DRO must prioritize which cases will be detained. Custody Operations provides safe, secure, and humane confinement for these aliens. It also ensures that aliens in ICE custody appear for their immigration hearings, and then for their subsequent removal.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$576,973	\$596,237	\$630,867	\$34,630

Salaries and Benefits includes costs for 5,676 FTEs. The FY 2010 Request includes an increase of \$34,630,000 for pay inflation and the annualization of prior year enhancements.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$13,955	\$14,421	\$15,259	\$838

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 Request includes increases of \$838,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$4,676	\$4,832	\$5,112	\$281

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 Request includes an increase of \$281,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$56,283	\$58,162	\$61,541	\$3,378

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 Request includes increases of \$3,378,000 in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Rent	\$138	\$143	\$151	\$8

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 Request includes an increase of \$8,000 in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$13,073	\$13,510	\$14,294	\$785

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 Request includes an increase of \$785,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$51	\$53	\$56	\$3

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 Request includes an increase of \$3,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$36,584	\$37,805	\$40,001	\$2,196

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 Request includes an increase of \$2,196,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$155,504	\$160,696	\$170,030	\$9,334

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 Request includes an increase of \$9,334,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$19,579	\$20,233	\$21,408	\$1,175

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 Request includes an increase of \$1,175,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$762,134	\$787,580	\$833,324	\$45,744

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes an increase of \$45,744,000 in non-pay inflation and adjustments-to-base.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$0	\$0	\$0	\$0

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 Request includes no increase in research and development.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Medical Care	\$67,434	\$69,685	\$73,733	\$4,047

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2010 Request includes \$4,047,000 in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$12,141	\$12,546	\$13,275	\$729

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes an increase of \$729,000 in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Subsistence & Support of Persons	\$593	\$613	\$648	\$36

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal Government account for the board, lodging, and care of persons, including prisoners. The FY 2010 Request includes an increase of \$36,000 in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$34,339	\$35,485	\$37,546	\$2,061

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2010 Request includes an increase of \$2,061,000 in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$18,069	\$18,673	\$19,757	\$1,085

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 Request includes increases of \$1,085,000 in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$0	\$0	\$0	\$0

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2010 Request includes no increase for grants/subsidies/contributions.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Indemnity	\$17	\$18	\$19	\$1

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2010 Request includes an increase of \$1,000 in non-pay inflation for indemnity.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Unvouchered	(\$391)	(\$405)	(\$428)	(\$23)

Unvouchered includes expenditures made lawfully for confidential purposes, including authorized payments made by law enforcement personnel to informants, which are not subject to detailed vouchering or reporting. The FY 2010 Request includes a decrease of \$23,000 in non-pay inflation.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
DRO - Fugitive Operations
Funding Schedule
(Dollars in Thousands)

PPA: DRO - Fugitive Operations		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	34,576	37,079	38,702	1,623
11.3	Other than perm	29	32	33	1
11.5	Other per comp	12,307	13,198	13,776	578
11.8	Spec Srvc Pay	---	---	---	---
12.1	Benefits	21,816	23,394	24,419	1,024
13.0	Benefits-former	---	---	---	---
21.0	Travel	3,882	4,163	4,345	182
22.0	Transportation of things	1,946	2,087	2,178	91
23.1	GSA rent	6,713	7,198	7,514	315
23.3	Communication, Utilities, and Misc. charges	2,397	2,571	2,683	113
24.0	Printing	---	---	---	---
25.1	Advisory & Assistance Services	5,596	6,001	6,264	263
25.2	Other Services	34,010	36,471	38,068	1,597
25.3	Purchase from Govt. Accts.	3,866	4,146	4,327	181
25.4	Operation & maintenance of facilities	55,847	59,889	62,510	2,622
25.5	Research & Development	---	---	---	---
25.6	Medical care	11,569	12,406	12,949	543
25.7	Operation & maintenance of equipment	4,649	4,986	5,204	218
25.8	Subsistence & Support of persons	21	23	24	1
26.0	Supplies & materials	6,909	7,409	7,734	324
31.0	Equipment	16,889	18,112	18,904	793
32.0	Land & Structures	602	646	674	28
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	779	836	872	37
Total, DRO - Fugitive Operations		\$224,403	\$240,643	\$251,178	\$10,535
Full Time Equivalents		482	732	738	6

PPA Mission Statement

The Fugitive Operations program locates and apprehends fugitive aliens in the United States. It strives to identify or apprehend all fugitives, creating a deterrent to potential absconders and increasing the integrity of the immigration enforcement process.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$68,728	\$73,702	\$76,929	\$3,226

Salaries and Benefits includes costs for 738 FTEs. The FY 2010 request includes an increase of \$3,226,000 to fund pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$3,882	\$4,163	\$4,345	\$182

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 Request includes a \$182,000 increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$1,946	\$2,087	\$2,178	\$91

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 Request includes a \$91,000 increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$6,713	\$7,198	\$7,514	\$315

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 Request includes a \$315,000 increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$2,397	\$2,571	\$2,683	\$113

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 Request includes a \$113,000 increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$0	\$0	\$0	\$0

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

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$5,596	\$6,001	\$6,264	\$263

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 Request includes a \$263,000 increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$34,010	\$36,471	\$38,068	\$1,597

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 Request includes a \$1,597,000 increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$3,866	\$4,146	\$4,327	\$181

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 Request includes an increase of \$181,000 in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$55,847	\$59,889	\$62,510	\$2,622

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes an increase of \$2,622,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$0	\$0	\$0	\$0

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 Request includes no changes.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Medical Care	\$11,569	\$12,406	\$12,949	\$543

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2010 Request includes a \$543,000 increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$4,649	\$4,986	\$5,204	\$218

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes an increase of \$218,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Subsistence & Support of Persons	\$21	\$23	\$24	\$1

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal Government account for the board, lodging, and care of persons, including prisoners. The FY 2010 Request includes an increase of \$1,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$6,909	\$7,409	\$7,734	\$324

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2010 Request includes a \$324,000 increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$16,889	\$18,112	\$18,904	\$793

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 Request includes a \$793,000 increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Land & Structures	\$602	\$646	\$674	\$28

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements. The FY 2010 Request includes a \$28,000 increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$0	\$0	\$0	\$0

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2010 Request includes no changes.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Indemnity	\$779	\$836	\$872	\$37

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2010 Request includes an increase of \$37,000.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
DRO - Criminal Alien Program
Funding Schedule
(Dollars in Thousands)

PPA: DRO - Criminal Alien Program		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	56,193	58,645	62,458	3,813
11.3	Other than perm	152	159	169	10
11.5	Other per comp	21,618	22,562	24,028	1,467
11.8	Spec Srvc Pay	---	---	---	---
12.1	Benefits	31,749	33,134	35,289	2,154
13.0	Benefits-former	---	---	---	---
21.0	Travel	4,256	4,442	4,731	289
22.0	Transportation of things	903	942	1,004	61
23.1	GSA rent	13,248	13,826	14,725	899
23.3	Communication, Utilities, and Misc. charges	2,184	2,279	2,428	148
24.0	Printing	---	---	---	---
25.1	Advisory & Assistance Services	5,534	5,775	6,151	375
25.2	Other Services	20,546	21,442	22,836	1,394
25.3	Purchase from Govt. Accts.	7,493	7,820	8,328	508
25.4	Operation & maintenance of facilities	6,444	6,725	7,162	437
25.5	Research & Development	---	---	---	---
25.6	Medical care	4,140	4,321	4,601	281
25.7	Operation & maintenance of equipment	8,937	9,327	9,934	606
25.8	Subsistence & Support of persons	5	5	6	0
26.0	Supplies & materials	7,608	7,940	8,456	516
31.0	Equipment	8,833	9,218	9,817	599
32.0	Land & Structures	8	8	9	1
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	---	---	---	---
Total, DRO - Criminal Alien Program		\$199,850	\$208,571	\$222,131	\$13,560
Full Time Equivalents		933	1,007	1,015	8

PPA Mission Statement

The Criminal Alien Program (CAP) ensures that aliens are not released back into the community before they are removed from the United States. Through the CAP, ICE officers interview incarcerated aliens to determine whether they are amenable to immigration proceedings. If a case receives a final order of removal, ICE officers will immediately take that alien into custody upon completion of his or her criminal sentence and then prepare that case for removal.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$109,712	\$114,500	\$121,944	\$7,444

Salaries and Benefits includes costs for 1,015 FTEs. The FY 2010 request includes an increase of \$7,444,000 in personnel compensation to fund CAP teams.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$4,256	\$4,442	\$4,731	\$289

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 Request includes an increase of \$289,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$903	\$942	\$1,004	\$61

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 Request includes an increase of \$61,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$13,248	\$13,826	\$14,725	\$899

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 Request includes an increase of \$899,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$2,184	\$2,279	\$2,428	\$148

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 Request includes an increase of \$148,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$0	\$0	\$0	\$0

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

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$5,534	\$5,775	\$6,151	\$375

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 Request includes an increase of \$375,000.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$20,546	\$21,442	\$22,836	\$1,394

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 Request includes an increase of \$1,394,000.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Purchase from Government Accounts	\$7,493	\$7,820	\$8,328	\$508

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 Request includes an increase of \$508,000 in non-pay inflation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Operation & maintenance of facilities	\$6,444	\$6,725	\$7,162	\$437

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes an increase of \$437,000 in non-pay inflation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Research and Development	\$0	\$0	\$0	\$0

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 Request includes no changes.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Medical Care	\$4,140	\$4,321	\$4,601	\$281

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2010 Request includes an increase of \$281,000.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Operation & Maintenance of equipment	\$8,937	\$9,327	\$9,934	\$606

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes an increase of \$606,000.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Subsistence & Support of Persons	\$5	\$5	\$6	1

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal Government account for the board, lodging, and care of persons, including prisoners. The FY 2010 Request includes an increase of \$1,000 increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$7,608	\$7,940	\$8,456	\$516

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2010 Request includes an increase of \$516,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$8,833	\$9,218	\$9,817	\$599

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 Request includes an increase of \$599,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Land & Structures	\$8	\$8	\$9	2

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements. The FY 2010 request includes a \$2,000 increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$0	\$0	\$0	\$0

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2010 Request includes no changes.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Indemnity	\$0	\$0	\$0	\$0

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2010 Request includes no changes.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
DRO - Alternatives to Detention
Funding Schedule
(Dollars in Thousands)

PPA: DRO - Alternatives to Detention		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	7,010	8,376	8,725	349
11.3	Other than perm	---	---	---	---
11.5	Other per comp	2,079	2,484	2,587	103
11.8	Spec Srvc Pay	---	---	---	---
12.1	Benefits	3,979	4,755	4,953	198
13.0	Benefits-former	---	---	---	---
21.0	Travel	480	573	597	24
22.0	Transportation of things	378	452	470	19
23.1	GSA rent	1,603	1,916	1,996	80
23.3	Communication, Utilities, and Misc. charges	227	271	283	11
24.0	Printing	---	---	---	---
25.1	Advisory & Assistance Services	1,245	1,487	1,549	62
25.2	Other Services	31,615	37,774	39,348	1,574
25.3	Purchase from Govt. Accts.	485	580	604	24
25.4	Operation & maintenance of facilities	8	10	10	0
25.5	Research & Development	---	---	---	---
25.6	Medical care	---	---	---	---
25.7	Operation & maintenance of equipment	2,383	2,847	2,966	119
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	1,666	1,990	2,073	83
31.0	Equipment	2,582	3,086	3,214	129
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	---	---	---	---
Total, DRO - Alternatives to Detention		\$55,740	\$66,599	\$69,374	\$2,775
Full Time Equivalents		110	184	187	3

PPA Mission Statement

The Alternatives to Detention program places low-risk aliens under various forms of intensive supervision rather than traditional detention as a cost-effective way to ensure their appearance for an immigration hearing or for removal. This program lowers the risk that aliens will be fugitives.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$13,068	\$15,614	\$16,265	\$651

Salaries and Benefits includes costs for 187 FTEs. The FY 2010 request includes an increase of \$651,000 in personnel compensation costs related to the Intensive Supervision Appearance Program.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$480	\$573	\$597	\$24

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 Request includes an increase of \$24,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$378	\$452	\$470	\$19

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 Request includes an increase of \$19,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$1,603	\$1,916	\$1,996	\$80

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 Request includes an increase of \$80,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$227	\$271	\$283	\$11

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 Request includes an increase of \$11,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$0	\$0	\$0	\$0

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

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$1,245	\$1,487	\$1,549	\$62

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 Request includes an increase of \$62,000.

	2008	2009	2010	2009 to 2010
	<u>Actual</u>	<u>Enacted</u>	<u>Request</u>	<u>Change</u>
Other Services	\$31,615	\$37,774	\$39,348	\$1,574

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 Request includes an increase of \$1,574,000.

	2008	2009	2010	2009 to 2010
	<u>Actual</u>	<u>Enacted</u>	<u>Request</u>	<u>Change</u>
Purchase from Government Accounts	\$485	\$580	\$604	\$24

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 Request includes an increase of \$24,000.

	2008	2009	2010	2009 to 2010
	<u>Actual</u>	<u>Enacted</u>	<u>Request</u>	<u>Change</u>
Operation & maintenance of facilities	\$8	\$10	\$10	\$0

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes no changes.

	2008	2009	2010	2009 to 2010
	<u>Actual</u>	<u>Enacted</u>	<u>Request</u>	<u>Change</u>
Research and Development	\$0	\$0	\$0	\$0

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 Request includes no changes.

	2008	2009	2010	2009 to 2010
	<u>Actual</u>	<u>Enacted</u>	<u>Request</u>	<u>Change</u>
Medical Care	\$0	\$0	\$0	\$0

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2010 Request has no changes.

	2008	2009	2010	2009 to 2010
	<u>Actual</u>	<u>Enacted</u>	<u>Request</u>	<u>Change</u>
Operation & Maintenance of equipment	\$2,383	\$2,847	\$2,966	\$119

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes an increase of \$119,000

	2008	2009	2010	2009 to 2010
	<u>Actual</u>	<u>Enacted</u>	<u>Request</u>	<u>Change</u>
Subsistence & Support of Persons	\$0	\$0	\$0	\$0

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal Government account for the board, lodging, and care of persons, including prisoners. The FY 2010 Request includes no changes.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$1,666	\$1,990	\$2,073	\$83

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2010 Request includes an increase of \$83,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$2,582	\$3,086	\$3,214	\$129

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 Request includes an increase of \$129,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Land & Structures	\$0	\$0	\$0	\$0

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements. The FY 2010 Request includes no changes.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$0	\$0	\$0	\$0

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2010 Request includes no changes.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Indemnity	\$0	\$0	\$0	\$0

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2010 Request includes no changes.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
DRO - Transportation and Removal Program
Funding Schedule
(Dollars in Thousands)

PPA: DRO - Transportation and Removal Program		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	---	---	---	---
11.3	Other than perm	---	---	---	---
11.5	Other per comp	---	---	---	---
11.8	Spec Srvc Pay	---	---	---	---
12.1	Benefits	297	301	302	1
13.0	Benefits-former	---	---	---	---
21.0	Travel	179,629	182,502	182,813	311
22.0	Transportation of things	303	307	308	1
23.1	GSA rent	---	---	---	---
23.2	Other rent	---	---	---	---
23.3	Communication, Utilities, and Misc. charges	241	245	245	0
24.0	Printing	---	---	---	---
25.1	Advisory & Assistance Services	5,947	6,042	6,053	10
25.2	Other Services	70,563	71,692	71,814	122
25.3	Purchase from Govt. Accts.	2,559	2,600	2,605	4
25.4	Operation & maintenance of facilities	2,390	2,428	2,432	4
25.5	Research & Development	---	---	---	---
25.6	Medical care	15	15	15	0
25.7	Operation & maintenance of equipment	551	560	561	1
25.8	Subsistence & Support of persons	240	244	245	0
26.0	Supplies & materials	1,865	1,894	1,898	3
31.0	Equipment	12,257	12,453	12,474	21
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
91.0	Unvouchered	111	113	113	0
Total, DRO - Transportation and Removal Program		\$276,968	\$281,399	\$281,878	\$479
Full Time Equivalents		---	---	---	---

PPA Mission Statement

The Transportation and Removals Management program provides safe and secure transportation of aliens in ICE custody as well as prepares for and conducts the removals of aliens from the United States, as ordered by an immigration judge.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$297	\$301	\$302	\$1

Salaries and Benefits includes costs for 0 FTEs. The 5 FTEs with T&R overseas functions are within the Custody Ops PPA. The FY 2010 request includes a \$1,000 increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$179,629	\$182,502	\$182,813	\$311

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 Request includes increases of \$311,000 in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$303	\$307	\$308	\$1

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 Request includes an increase of \$1,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$0	\$0	\$0	\$0

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 Request includes no changes.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Rent	\$0	\$0	\$0	\$0

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 Request includes no changes.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$241	\$245	\$245	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 Request includes no changes.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$0	\$0	\$0	\$0

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

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$5,947	\$6,042	\$6,053	\$10

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 Request includes a \$10,000 increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$70,563	\$71,692	\$71,814	\$122

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 Request includes a \$122,000 increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$2,559	\$2,600	\$2,605	\$4

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 Request includes an increase a \$4,000 increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$2,390	\$2,428	\$2,432	\$4

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes a \$4,000 increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$0	\$0	\$0	\$0

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 Request includes no changes.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Medical Care	\$15	\$15	\$15	\$0

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2010 Request includes no changes.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$551	\$560	\$561	\$1

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes an increase of \$1,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Subsistence & Support of Persons	\$240	\$244	\$245	\$0

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal Government account for the board, lodging, and care of persons, including prisoners. The FY 2010 Request includes no changes.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$1,865	\$1,894	\$1,898	\$3

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2010 Request includes a \$3,000 increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$12,257	\$12,453	\$12,474	\$21

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 Request includes a \$21,000 increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Land & Structures	\$0	\$0	\$0	\$0

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements. The FY 2010 Request includes no changes.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$0	\$0	\$0	\$0

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2010 Request includes no changes.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Unvouchered	\$111	\$113	\$113	\$0

Unvouchered includes expenditures made lawfully for confidential purposes, including authorized payments made by law enforcement personnel to informants, which are not subject to detailed vouchering or reporting. The FY 2010 Request includes no increase.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Comprehensive Identification and Removal of Criminal Aliens
Funding Schedule
(Dollars in Thousands)

PPA: Comprehensive Identification and Removal of Criminal Aliens		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	373	3,051	4,022	971
11.3	Other than perm	---	---	---	---
11.5	Other per comp	54	444	585	141
11.8	Spec Srvc Pay	---	---	---	---
12.1	Benefits	144	1,177	1,551	374
13.0	Benefits-former	---	---	---	---
21.0	Travel	1,185	9,704	12,791	3,087
23.1	GSA rent	---	---	---	---
23.2	Other rent	---	---	---	---
23.3	Communication, Utilities, and Misc. charges	---	---	---	---
24.0	Printing	---	---	---	---
25.1	Advisory & Assistance Services	13,047	106,854	140,850	33,996
25.3	Purchase from Govt. Accts.	---	---	---	---
25.4	Operation & maintenance of facilities	1,565	12,814	16,891	4,077
25.5	Research & Development	---	---	---	---
25.6	Medical care	---	---	---	---
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	45	370	488	118
31.0	Equipment	3,211	26,299	34,666	8,367
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	---	---	---	---
Total, Comprehensive Identification and Removal of Criminal Aliens		\$19,623	\$160,714	\$211,846	\$51,132
Full Time Equivalents		4	41	558	516

PPA Mission Statement

Secure Communities – A Comprehensive Plan to Identify and Remove Criminal Aliens (SC/CIRCA) sets out a comprehensive plan to improve community safety by transforming the way the federal government cooperates with state and local law enforcement agencies to identify, detain, and remove all criminal aliens held in custody.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$570	\$4,672	\$6,159	\$1,486

Salaries and Benefits includes costs for 558FTEs. The FY 2010 request includes an increase of \$1,486,000 in personnel compensation to support the Secure Communities/CIRCA.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$1,185	\$9,704	\$12,791	\$3,087

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes a \$3,087,000 increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$0	\$0	\$0	\$0

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request includes no changes.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Rent	\$0	\$0	\$0	\$0

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request includes no changes.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$0	\$0	\$0	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes no changes.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$0	\$0	\$0	\$0

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

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$13,047	\$106,854	\$140,850	\$33,996

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request includes a \$33,996,000 increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$0	\$0	\$0	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 Request includes no changes.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$0	\$0	\$0	\$0

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 Request includes no changes.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Medical Care	\$0	\$0	\$0	\$0

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2010 Request has no changes.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$0	\$3	\$4	\$1

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes an increase of \$1,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Subsistence & Support of Persons	\$0	\$0	\$0	\$0

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal Government account for the board, lodging, and care of persons, including prisoners. The FY 2010 Request includes no changes.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$45	\$370	\$488	\$118

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2010 Request includes an increase of \$118,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$3,211	\$26,299	\$34,666	\$8,367

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 Request includes a \$8,367,000 increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Land & Structures	\$0	\$0	\$0	\$0

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements w

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$0	\$0	\$0	\$0

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2010 Re

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Indemnity	\$0	\$0	\$0	\$0

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2010 Request includes an increase

I. Changes in Full Time Equivalent

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses
Changes in Full-Time Equivalents

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	14,519	15,902	18,278
INCREASES			
FY 2008 President's Budget Enhancements	261		
FY 2008 Congressional Add-Ons	475		
Annualization of FY 2008 Enhancements		736	
FY 2009 President's Budget Enhancements		157	
FY 2009 Congressional Add-ons		175	
Annualization of FY 2009 Enhancements			333
FY 2010 President's Budget Enhancements			279
Attrition Hiring	1,628	1,808	1,435
Sub-Total Increases	2,364	2,876	2,047
DECREASES			
Attrition Losses	981	500	936
Sub-Total Decreases	981	500	936
Year-end Actual/Estimated FTEs	15,902	18,278	19,389
Net Change from prior year base to Budget Year Estimate:	1,383	2,376	1,111

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Salaries and Expenses**

FY 2010 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	Increase / Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Personnel Compensation and Benefits, Service, and Other Costs	3,048	3,885	4,271	386
Headquarters Managed IT Investment	604	936	587	(349)
Legal Proceedings	3,562	3,812	3,651	(161)
Domestic Investigations	22,729	25,284	25,726	442
International Investigations	1,015	1,117	739	(378)
Intelligence	900	970	1,153	183
DRO - Custody Operations	14,513	16,672	15,850	(822)
DRO - Fugitive Operations	1,730	2,452	2,060	(392)
DRO - Criminal Alien Program	2,945	4,039	2,835	(1,204)
DRO - Alternatives to Detention	423	574	523	(51)
DRO - Transportation and Removal Program	---	---	---	---
Comprehensive Identification and Removal of Criminal Aliens	---	---	1,558	1,558
Federal Protective Service	2,753	3,683	3,727	44
Student Exchange and Visitor Program	146	157	1,177	1,020
Total Working Capital Fund	\$54,369	\$63,581	\$63,858	\$277

Department of Homeland Security

U.S. Immigration and Customs Enforcement

Automation Modernization



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. Immigration and Customs Enforcement Automation Modernization

I. Appropriation Overview

A. Mission Statement for Automation Modernization:

In FY 2008, the ICE Automation Modernization account was expanded to include Atlas (IT Infrastructure and Tactical Communications) as well as the following information technology (IT) transformational initiatives: Detention and Removal Operations Modernization (DROM) and TECS Modernization. In FY 2009, the Automation Modernization account was further expanded to include the Modernization of Financial System project. In FY 2010, the Automation Modernization account will again expand to include other IT transformational initiatives: ICE Law Enforcement Systems Modernization (which includes the TECS Modernization project) and Electronic Health Record (eHR). Aligning all IT modernization initiatives under the Automation Modernization appropriation will help ICE standardize IT investment management and delivery.

The Automation Modernization account will allow ICE to improve information sharing with the Department of Homeland Security (DHS) and among partner organizations, strengthen information availability, improve detainee tracking and preparation of travel documents, provide a fully secure IT environment, and enhance financial management and audit practices.

B. Budget Activities:

Atlas – IT Infrastructure

Atlas integrates enforcement capability rooted in a “One DHS” vision that includes sharing information, coordinating systems for identifying threats, forging DHS-wide standards, and weaving together networks. To this end, the Atlas program seeks to create and sustain a secure, scalable IT environment that supports ICE law enforcement programs.

These Atlas projects will improve infrastructure, consolidate and standardize IT equipment; improve the technology and functionality of IT products and services available to ICE employees; and ensure security of all equipment.

DRO Modernization (DROM)

This initiative will support the systems upgrades and improvements of Detention and Removal Operations (DRO) business processes for the detention and removal of illegal aliens from the United States, as well as support the requirements of the Secure Border Initiative (SBI). DROM will effect improvements in the areas of real-time dynamic data reporting, detainee management, management of detention beds and tracking detainees, bed-space availability management, and transportation management for detention and removals.

ICE Law Enforcement Systems Modernization

This initiative includes the following projects:

- **TECS Modernization**– This system will modernize the existing TECS functions that are specific to ICE. These include Investigative Case Management, Intelligence Reporting and Dissemination, Bank Secrecy Act data access, Money Laundering reporting and tracking, and Telephone Link analysis. TECS modernization is a joint U.S. Customs and Border Protection (CBP) and ICE initiative.
- **Mobile IDENT (Mobile Automated Biometric Identification System)** – This project gives ICE agents the ability to identify and process an individual in the field using mobile processing units. Currently, suspected illegal aliens are transported to brick and mortar facilities for fingerprint identification. Mobile IDENT decreases transportation costs and increases officer safety by reducing the number of instances of alien transport.
- **ICEPIC (ICE Pattern Analysis and Information Collection System)** - DHS is embarking on a Regional Sharing Service (RSS) initiative that will deploy the required information sharing technologies and operating policies in compliance with the Information Sharing Environment’s (ISE) architectural framework. The data exchange between ICEPIC and external agencies will be Global Justice XML Data Model (GJXDM) and National Information Exchange Model (NIEM) compliant. It will improve information sharing between ICE and other law enforcement agencies, including ICE’s state and local partners while ensuring confidentiality.
- **ICE ACCESS** – This initiative provides the resources to help ICE’s state and local partners in the ICE ACCESS program and will integrate ICE information on gangs with U.S. Department of Justice’s gang database.
- **LEISS (Law Enforcement Information Sharing System)** - ICE is the steward for DHS in the Law Enforcement-Shared Mission Community (LE-SMC) space and is responsible for development, coordination, and support of policies, procedures, and processes that facilitate the mission and DHS Secretary priorities for information sharing.
- **Border Enforcement Security Task Forces (BEST) Expansion** – This initiative will fund IT integration and information sharing for the Office of Investigation’s Border Enforcement Security Task Forces (multi-agency task forces with state, Federal, and local participation to combat border crime).
- **Intelligence Support** – This initiative will fund improvements to ICE’s information technology for its intelligence programs, including the migration of Data Analysis and Research for Trade Transparency System (DARTTS) and Cyber Crimes Center (C3) into the enterprise solution. In addition, this initiative will fund the maintenance of hardware and software for cyber-crime investigations, the National Child Victim Identification System (NCVIS), e-Crimes and Overt and Covert Networks and will also fund the upgrade of the Digital Forensic Lab.
- **International Affairs Modernization** – This initiative will fund the overdue modernization of the tools currently being used to screen visa applicants at consular offices overseas.

- **Forensic Document Lab** – This project will fund the expansion of the technology infrastructure for the FDL Automated Document Library System. The FDL provides tools and information to ICE agents performing criminal investigations. The modernization of the FDL will ensure applications and tools are available to the agents and improve information sharing capabilities. The modernization of the FDL will ensure the systems are incorporated into the enterprise.

C. Budget Request Summary:

ICE requests 36 positions, 19 FTEs, and \$110.0 million for FY 2010 to continue the modernization of its information technology and systems infrastructure for the following program initiatives as well as continue FY 2009 efforts. \$39.1 million as well as 18 current on-board positions have been transferred from Automation Modernization to Salaries and Expenses (S&E) to fund salaries and operations and maintenance (O&M) on Atlas infrastructure's three year refresh.

Enhancement Requests

ICE requests program enhancements for the Automation Modernization Account in the following key areas:

- Atlas Infrastructure (\$9.0 million): The request for Atlas Infrastructure will be used to plan, schedule develop, and implement the replacement of many legacy ICE local area networks; continue modernizing an additional 290 ICE sites with new file & print servers; complete the integration of 22 data collection systems into one database; and oversee the migration of ICE IT assets from the Department of Justice Data Centers to the DHS Data Centers.
- DRO Modernization (\$22.0 million): This request will be used to develop and deploy version one of the Detainee Location Tracking Module as part of the Bed Space and Transportation Management System, expand the ICE Data warehouse data capacity and reporting capability to support the DRO IT data, and expand Web Services to allow the Electronic Travel Document application to communicate with other internal or external applications.
- Law Enforcement Systems Modernization (\$40.0 million): This request funds a number of case management (including the TECS Modernization project), information sharing, and operational support service projects that will improve access to law enforcement information.
- eHR (\$20.4 million): This request will address the Division of Immigration Health Services infrastructure deficiencies and begin the design and development of an electronic health records system, which will allow real-time reporting of detainees' medical information.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
 Summary of FY 2010 Budget Estimates by Program/Project Activity
 (Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Automation Modernization	11	\$39,716	18	\$57,000	19	\$110,000	1	\$53,000	19	91,400	(18)	-\$38,400
							---	---	---	---	---	---
Subtotal, Enacted Appropriations and Budget Estimates	11	\$39,716	18	\$57,000	19	\$110,000	1	\$53,000	19	\$91,400	(18)	(\$38,400)
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	11	\$39,716	18	\$57,000	19	\$110,000	1	\$53,000	19	\$91,400	(18)	(\$38,400)

American Recovery and Reinvestment Act (ARRA)	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Appropriation			0	\$ 20,000								
.....PPA's												
Total			0	\$ 20,000								

The table above excludes ARRA funding of \$20.0M provided in P.L 111-5

III. Current Services Program Description by PPA

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
Program Performance Justification
(Dollars in thousands)

PPA: Automation Modernization

	Perm.		
	Positions	FTE	Amount
FY 2008 Actual	11	11	39,716
FY 2009 Enacted	18	18	57,000
FY 2010 Adjustments-to-Base	(18)	(18)	(38,400)
FY 2010 Current Services	-	-	18,600
FY 2010 Program Change	36	19	\$91,400
FY 2010 Request	36	19	110,000
Total Change 2009-2010	18	1	53,000

The table above excludes ARRA funding of \$20.0M provided in P.L 111-5

CURRENT SERVICES PROGRAM DESCRIPTION:

In FY 2009, the U.S. Immigration and Customs Enforcement (ICE) Automation Modernization account focuses on specific, discrete information technology (IT) activities that help ICE achieve its mission, including the Modernization of financial systems, Detention and Removal Operations Modernization (DROM), TECS Modernization, and Atlas IT Infrastructure and Tactical Communications.

Modernization of Financial Systems

This initiative supports ICE’s portion of the Department of Homeland Security (DHS) enterprise-wide initiative of consolidating financial systems. This initiative will support ICE’s migration to the new DHS financial system and will result in improved financial services and internal controls. This will help ICE achieve and sustain unqualified financial audit opinions and perform more effective financial management.

Detention and Removal Operations Modernization (DROM)

The DROM funding will support system upgrades and business process improvements to the ICE Office of Detention and Removal Operations, facilitating the detention and removal of illegal aliens from the United States. DROM will effect improvements in the areas of real-time dynamic data reporting, detainee management, management of detention beds and detainee tracking, bed-space availability management, and transportation management for detention and removals.

TECS Modernization

ICE will fund the modernization of the ICE portion of the DHS investigative case management system, TECS. TECS will provide greatly improved workflow processes; improve interoperability with DHS and other federal law enforcement agencies and homeland security

intelligence analysis and visualization toolsets; enhance quality law enforcement information sharing within DHS and external to DHS; and improve the collection of more consistent, timely, and accurate performance information on law enforcement activities and outcomes.

Atlas Infrastructure

The Atlas initiative was developed to address ICE's increasing requirement for a more robust IT infrastructure and to improve the technology and functionality of IT products and services available to ICE employees. Atlas consisted of eight major projects and 21 sub-projects.

By the end of FY 2008, eight sub-projects were completed: (DHS One Network (OneNet) Migration, E-Mail & Active Directory/Exchange (ADEX) Upgrade, Desktop Image Lab Transition, Project Management Training, Web Farm Upgrade, Streaming Video, Outside the Continental U.S. (OCONUS) Switch Upgrade, and Hardware Refresh). Prior to FY 2008, Atlas consisted of IT Infrastructure and Tactical Communications. In FY 2010, to better align with the strategic direction of the DHS CIO and to allow for more efficient management and oversight of ICE IT infrastructure modernization investments. These four major areas will continue in FY 2010 and include 8 sub-projects.

These projects are scheduled to be completed by FY 2015 and will allow ICE to improve information sharing within DHS and across ICE organizations, strengthen information availability, and provide a more fully secure IT environment.

Key Accomplishments

FY 2008 Accomplishments

In FY 2008, ICE expended \$30.7 million for the Automation Modernization program. ICE used \$15.0 million of these funds to complete several initial investments under Atlas IT Infrastructure. With the remaining \$15.7 million, the ICE Automation Modernization program initiated improvements to DROM, Mobile IDENT/ENFORCE, and TECS Modernization.

Because Automation Modernization was expanded to encompass multiple major initiatives, the ICE Office of the Chief Information Officer (OCIO) established a Program Executive Office (PEO) to standardize, streamline and coordinate IT program management planning and activities. In its capacity as an overarching governance division within OCIO, the PEO will perform portfolio management functions for all Automation Modernization activities, centralize common program management functions, and ensure alignment between major initiatives to avoid gaps or duplication of effort. Each major Automation Modernization initiative will maintain a distinct Program Management Office (PMO) and associated integrated project teams to execute PMO functions specific to that initiative within overarching PEO governance. This approach to program management will ensure alignment of initiatives to address each IT modernization requirement without duplication of effort; standardize practices and mitigate risks for all Automation Modernization activities; reduce program overhead costs by centralizing functions not specific to one initiative; and ensure stringent oversight of cost, schedule, and performance specific to each initiative.

Atlas –IT Infrastructure - ICE expended \$15 million to:

- Completed 4 Atlas sub-projects (Web Farm Upgrade, OCONUS Switch Upgrade, Streaming Video, and Hardware Refresh);
- Integrated 16 of 22 legacy systems into a single data warehouse, allowing ICE and its law enforcement partners to more easily share investigative and enforcement information;
- Worked with DHS OCIO and its integration partner to provide an ICE IT infrastructure footprint for use in the development of a planning and integration plan for the DHS Data Centers;
- Delivered the initial plan on the consolidation of DHS Data Centers;
- Replaced dated communications electronics at 51 foreign sites;
- Deployed streaming video to 70 major ICE offices nationwide;
- Deployed 2,582 printers and 12,941 desktop computers, completing an ICE-wide replacement of 18,314 desktops; and
- Securely retired and disposed of 24,530 legacy IT hardware items from ICE offices;
- Established a Single Sign-On framework for all ICE applications, including legacy mainframe systems.

DRO Modernization

ICE expended \$11.5 million to accomplish the following:

- Expanded the Electronic Travel Document (eTD) system to be capable of processing up to 25 countries targeted to participate with the eTD program, as well as created travel document request packages in the system for all non-participating countries;
- Developed and deployed eTD application to three of the 25 targeted countries (El Salvador, Guatemala, and Honduras), significantly reducing the average time necessary to process travel documents;
- Deployed ENFORCE Alien Removals Module (EARM) to replace the Deportable Alien Control System (DACS), and retired DACS as the DRO system of record;
- Expanded data sharing and integration with external agencies with the deployment of EARM and implemented an enterprise reporting system for the DRO Executive Information Unit;
- Released Request for Quotations (RFQs) for Bed Space, Transportation and Tracking (BST&T) contract(s); and

Mobile IDENT/ENFORCE

ICE expended \$2.2 million to develop portable IDENT for use in the positive identification and processing of aliens in remote places. These funds were used to accomplish the following:

- Developed portable IDENT to positively identify aliens, which is critical to the success of SBI interior enforcement initiatives and Temporary Workers Program (TWP) deployment;
- Upgraded services (including design, development, and deployment) of new and enhanced IT systems to build out the ENFORCE infrastructure necessary to support multiple law enforcement communities and initiatives (such as SBI), and facilitate integration efforts (such as the one between the Law Enforcement Service Center and the ICE Office of Investigations); and
- Processed aliens outside established ICE IDENT processing facilities, including jails, work sites, courts, and other locations requiring mobile capabilities.

TECS Modernization

- ICE expended \$2.0 million to upgrade services (including design, development, and deployment) of new and enhanced IT systems that were needed to build out the ENFORCE

infrastructure necessary to support multiple law enforcement communities; and facilitate integration efforts such as the one between the Law Enforcement Service Center (LESC) and the ICE Office of Investigations.

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FY 2009 – Projected Accomplishments

In FY 2009, Congress appropriated \$57.0M to further expand Automation Modernization activities including the Modernization of financial system initiative, TECS Modernization, Atlas (IT Infrastructure and tactical communications) and DROM. The Automation Modernization programs will achieve the following:

Modernization of Financial System (\$7.0M)

- Develop ICE requirements in support of the DHS Transformation and System Consolidation (TASC) initiative for the following:
 - user access controls with DHS Enterprise Solution;
 - transitioning from client-server to web-based access by users;
 - financial reporting (both for migration of existing reports, development of new ones); and
 - user testing of the DHS Enterprise Solution.
- Conduct a GAP analysis showing discrepancy between current system processing and the DHS Enterprise Solution, and propose resolution of discrepancies;
- Develop detailed requirements to address functionality within the current Federal Financial Management System (FFMS) that will either be migrated to, or require customization within, the DHS Enterprise Solution;
- Determine interface requirements with various Consumer off-the Shelf applications that comprise the DHS Shared Baseline; and
- Acquire ICE FedTraveler Services to support standardizing electronic travel (e-Travel) processing throughout DHS.

DROM (\$11.3M)

- Implement biometric finger scanning with a combination of fixed and mobile devices to positively identify and track detainees remotely, improve officer safety, and enhance mission effectiveness;
- Track detainees inside ICE managed facilities through the use of Radio Frequency Identification (RFID) technology;
- Develop the Detainee Location Tracking (DLT) and Central Reservation System (CRS) modules of the Bed Space, Transportation, and Tracking (BST&T) Management System;
- Expand ICE Data Warehouse data capacity and reporting capability to support DRO, and expand web services to allow the eTD application to communicate with other internal or external applications;
- Expand EARM to include the ENFORCE Apprehension and Detention Module, Fugitive Case Management System (FCMS) and Alternatives to Detention Program (ATDP);
- Complete planning and requirements definition for a DROM Document Management System and the Electronic Detainee Visitor Log (eVisitor) application;

TECS Modernization (\$15.7M)

- This investment includes the following:
 - Perform Project Management Office support services (\$2.0M)
 - Gather and define requirements (\$1.5M)
 - Establish development environment (\$1.7M)
 - Perform design and development activities (\$8.0M)
 - Develop high-level TECS architecture and design (\$2.0M)
 - Provide Enterprise Data Warehouse and decision support services (.3M)
 - Perform Independent Verification and Validation services (.2M)
- Establish an initial planning capability by securing project management office support to manage requirements and develop the business case;
- Initiate and utilize results of business requirements analysis to conduct a formal Alternatives Analysis and lay down the foundation for program execution;
- Develop TECS architecture and ICE high-level design, and establish an investigative case management development, integration and testing environment;
- Develop and assess the alignment of the program to the DHS Enterprise Architecture;
- Develop the Mission Needs Statement; and
- Award a contract for TECS Modernization design and development.

Atlas – IT Infrastructure and Tactical Communications (\$23.0M)

- Acquire equipment for mobile communications system and hub upgrades, and acquire Project 25 (P25) compliant tactical communications equipment to modernize tactical communications systems in the first of 20 ICE regions (Georgia, North and South Carolina);
- Incorporate two additional data collection systems into one database, allowing ICE and its law enforcement partners to more easily share information;
- Deploy a framework to access 20 different ICE IT applications with a single sign-on;
- Analyze data center alternatives for lower cost options (to be facilitated by DHS);
- Replace the primary web hosting platform for DHS data centers, and build IT infrastructure to provide seamless communications across heterogeneous platforms;
- Upgrade obsolete and failing file & print servers at 100 ICE sites;
- Institute enterprise audit log management for all major ICE systems;
- Acquire, integrate, and deploy one mobile law enforcement communications system and one wireless communications kit for ICE emergency/crisis response and special operations; and

FY 2010 - Projected Accomplishments

In FY 2010, ICE will further expand Automation Modernization activities to include the following initiatives: ICE Law Enforcement Systems Modernization (which includes TECS Modernization) and Electronic Health Records (eHR). ICE will also continue to develop current services projects that were started in FY 2009.

DROM

The major goal of DROM is to create an efficient system and a streamlined process to minimize the length of detention, increase bed utilization and increase removals of aliens ordered removed from the U.S. As a result, DROM projects will enable DRO personnel to better manage, track, and report on the movement of aliens through the immigration enforcement lifecycle.

The following are the FY 2010 projected accomplishments:

- Transition EARM into Full Operating Capability (FOC) status;
- Conduct operational analysis for EARM;
- Deploy BST&T DLT and CRS Modules, and achieve Initial Operating Capability (IOC) status;
- Begin development and integration of the final BST&T Module, the Transportation Management System (TMS);
- Continue expanding the eTD system as Memoranda of Understanding (MOUs) are executed for target countries to use eTD for issuing electronic travel documents; and
- Award development contracts for the DRO Document Management System and eVisitor Log.

Electronic Health Records (eHR) System

The Division of Immigration Health Services (DIHS) provides direct patient care at DRO facilities and oversees managed care services for detainees housed in state, local, and contract detention facilities. DIHS was part of the Department of Health and Human Services (HHS) until October 1, 2007, when it was transitioned to ICE DRO. Prior to 2007 DIHS provided health services through an interagency agreement between ICE and HHS.

ICE is currently assessing DIHS IT infrastructure and systems to ensure adherence with DHS IT standards and alignment with mission and program goals.

The following are the FY 2010 projected accomplishments:

- Award a contract for comprehensive certified EHR including several subsystems;
- Configure and develop interfaces, complete testing and beta testing, and initiate deployment of a eHR application to support ICE medical operations at DIHS-staffed detention facilities; and
- Initiate development and deployment of appropriate eHR capability to over 350 Intergovernmental Service Agreement (IGSA) and Contract Detention Facilities (CDF) housing ICE detainees.

ICE Law Enforcement Systems Modernization

The ICE Law Enforcement Systems Modernization initiative includes a number of case management, information sharing and operational support service projects that will improve ICE law enforcement personnel access to law enforcement information. The TECS modernization effort will support the investigative arm of ICE and update a 20-year-old legacy system, giving ICE improved capabilities for case management, money laundering tracking and reporting, telephone analysis, intelligence reporting and dissemination, Bank Secrecy Act data access, and statistical performance reporting. Critical to this project is the fact that the legacy system is part of a larger system maintained by CBP, which is undergoing fully funded and rapid modernization. Projected accomplishments for FY 2010 include:

- TECS Modernization – The completion the requirements definition phase and begin the design and development phase of specific projects. A development environment will be created to support the development efforts.
- Mobile IDENT – The development of the Mobil IDENT proto-type booking service and pilot the proto-type at three SAC offices for user acceptance and gap analysis.

- ICEPIC - The hardware upgrade and migration to the enterprise data center along with the creation of the COOP for 24-7 support. The support of the national rollout to all SAC and RAC offices.
- ICE ACCESS - This initiative will provide requirements gathering with local and state agencies and the U.S. Department of Justice for gang information sharing and data integration. A design strategy will be delivered to plan for the design and development of an integrated solution for the following year.
- Law Enforcement Information Systems Sharing – The completion enhancements for the sharing of images and photos and the continue rollout to five additional information sharing partners.
- Border Enforcement Security Task (BEST) Force Expansion – This initiative accomplishments will include gathering and analysis of the requirements and design for the modernization of BEST information technology.
- Intelligence Support –The requirements gathering and design for moving the Data Analysis & Research for Trade Transparency (DARTT) system into the enterprise environment. The requirements and design for the modernization of Cyber Crimes Center systems and National Child Victim Identification System (NCVIS).
- International Affairs Modernization –The requirements gathering and design of the OIA systems including Parole Case Tracking System (PCTS), Visa Security System (VSP), World Customs Organization Information Sharing (WCO) and Human Resources Dashboard (HRD).
- Forensic Document Lab –The requirements and design for the modernization of the information technology infrastructure and moving into the enterprise environment.

Atlas IT Infrastructure

The Atlas IT Infrastructure initiative will improve information-sharing across the DHS and ICE organizations; strengthen information availability; provide a fully secure IT environment; and improve workforce productivity. The following are projected FY 2010 accomplishments:

- Continue modernizing an additional 290 ICE sites with new file & print servers;
- Complete the integration of 22 data collection systems into one database, allowing ICE and its law enforcement partners to more easily share information;
- Deploy immediate security solutions to resolve immediate security vulnerabilities;
- Implement vulnerability scanning tools to quickly detect and respond to IT security breaches; and
- Oversee the migration of ICE IT assets from the Department of Justice Data Centers to the DHS Data Centers.

IV. Program Justification of Changes

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
Justification of Resources Above Guidance**

(Dollars in Thousands)

Program Increase 1: Electronic Health Records

Strategic Goal(s) & Objective(s): 5.1 Strengthen and Unify DHS Operations and Management

PPA: Automation Modernization

Program Increase: Positions 4 FTE 2 Dollars \$20,400

Funding Profile

	FY 2008 EOY Projected Actual			FY 2009 President's Budget			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$0,000
Program Increase							4	2	\$20,400
Total Request	0	0	\$0	0	0	\$0	4	2	\$20,400

Description of Item

ICE is requesting funds to address Division of Immigration Health Services (DIHS) infrastructure deficiencies and continue evaluating electronic health records system solutions. ICE is reviewing off-the-shelf systems and those currently deployed by other entities to determine how to best move forward with this important initiative.

The DIHS serves as the health authority for ICE on matters related to detainee health care. DIHS provides direct patient care at 24 facilities (housing approximately 50-60% of the detainee population) and authorizes managed care services to the remaining ICE detainees housed at over 350 contracted detention facilities without on-site DIHS staff nationwide. The detainee population has increased by more than 40 percent since 2004. In addition, the number of facilities that DIHS staffs is projected to expand from the current 24 sites at a rate of 2-4 sites per year based current projections from Detention and Removal Operations (DRO). This growth significantly increased the complexity of the DIHS role to provide effective and reliable health care service to ICE detainees in support of the ICE mission.

Personnel costs (\$.631 million, 4 Positions, 2 FTEs)

- 2 IT Specialists - \$.468 million
- 2 Contracting Specialists – \$.163 million

Non-personnel costs (\$19.769 million)

- The FY 2010 request for \$19.664 million will allow ICE to begin the design and development of a new enterprise-based Electronic Health Records (eHR) system, and will include the following:
 - Customization of software elements (\$6.88M) – customizes a paper-based system to an electronic system that incorporates business processes for the DIHS and DRO environment. This process allows for customizing existing ICE applications that would potentially interface with the current suite of Detention and Removal applications. Customization may also be required for interfaces with external medical sources to obtain historical health information and medical diagnostic results.
 - Hardware/software acquisitions (\$11.414M) – include software licenses, server support, application servers, and standard software and hardware implementation for the new environment.
 - Program support (\$1.37M) – provide project management office support for cost, schedule and performance oversight.

The eHR will provide the needed capability for DRO to increase the speed and efficiency of submittal and approval of treatment authorization requests (TARs), and interface with other Federal systems (e.g., ENFORCE, the Bureau of Prisons' Sentry, and Plexus) necessary to track detainees across multiple instances of detention.

- The request also includes \$.105 million for facilities for new personnel.

Justification

Currently, medical encounters of detainees are recorded in paper-based systems and disparate IT applications. The medical documentation systems within the DIHS-staffed facilities include medical documentation, a patient scheduling system, a pharmacy system, a treatment authorization system, and several statistics and utility applications. Some facilities are completely paper-based. The applications are not integrated and information is not readily available among sites. Also, a 2008 study found the current medical documentation system to be inadequate with numerous functional and performance problems, including poor response time. The current system lacks critical components currently available in Health Information Technology (HIT) certified by the federally-endorsed Commission on the Certification of Health Information Technology (CCHIT) and in compliance with other applicable HIT guidelines.

The current systems used to oversee the healthcare of the ICE detained population also cause duplication of work efforts, particularly in capturing and updating detainee information. Extensive effort is required to provide timely, complete information for diagnosis and treatment support and to ensure accountability (through double or triple checks of paper documents). This duplication of work efforts enhances the likelihood of human error, reduces the availability of

medical information to providers, and may delay of delivery of appropriate healthcare. Real-time reporting of medical information also remains unavailable to ICE, making it difficult to provide ICE with prompt access to comprehensive medical information on the ICE detained population and reliable history to the treating physician at the place and time of care.

Other challenges include:

- Ensuring accountability and integrity of paper documents for accurate reporting and audit purposes;
- Providing appropriate, timely information enterprise-wide to guide custody decisions; and
- Providing timely medical alerts to all ICE staff on significant medical conditions (e.g. diabetes, heart disease, tuberculosis).

To meet these challenges, ICE will begin the procurement of an electronic health records system. As a result of preliminary research, it is expected that ICE will be able to utilize an existing commercial-off-the-shelf (COTS) or government-off-the-shelf (GOTS) system with some customization. Upon successful implementation of this project, ICE expects:

- Improved services to detainees through faster and timely dissemination of information.
- Appropriate, accurate information to guide medical decisions is available at the time and place of care.
- Reduced health care costs resulting from inefficiency, medical errors, inappropriate care, and incomplete information.
- Improved coordination with DRO staff to ensure medical conditions (i.e. diagnosis and treatment decisions, special needs, and medical alerts) are factored into immigration case management.
- Increased process compliance through improved service delivery and clinical operations to reduce negative patient outcomes (e.g. medication errors, unexpected detainee deaths, and limited access to healthcare).
- Improved oversight and monitoring of compliance with rules, regulations, and standards, especially time-sensitive service requirements (e.g. intake screenings and physical examinations) through timely metrics reporting related to detainee health, as well as provider efficiency.
- Migration from paper-based medical systems to an electronic system, in compliance with the Paperwork Reduction Act.
- The capability for IGSA and CDF facilities to enter critical medical information on all detainees in ICE custody.

Impact on Performance (Relationship of Increase to Strategic Goals)

An eHR that is customized for the needs of detention facilities is necessary in order to maximize efficiencies, reduce medical errors and standardize the care provided to detainees.

HSPD-21 calls upon DHS to develop a National Strategy for Public Health and Medical Preparedness Strategy, which would include electronic health information systems to “incorporate flexibility and depth of data necessary to respond to previously unknown or

emerging threats to public health and integrate its data into the national bio-surveillance common operating picture as appropriate.” Establishing an ICE eHR system to track detainee health records will serve to support ongoing efforts to evaluate the ICE population from a public health perspective and ensure ICE is prepared to meet interoperability directives within the Federal medical organizations.

In a report by the DHS Office of Inspector General (OIG-08-52), the OIG made the recommendation to expedite all necessary discussion and resources to develop a comprehensive system of electronic health records for ICE detainees (Recommendation Number 10). The report also stated that maintaining a complete and current picture of the clinical operations of its facilities should become a priority for ICE and its detention partners.

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
Justification of Resources Above Guidance**

(Dollars in Thousands)

Program Increase 2: Detention and Removal Operations Modernization (DROM)

Strategic Goal(s) & Objective(s): 5.1 Strengthen and Unify DHS Operations and Management

PPA: Automation Modernization

Program Increase: Positions 14 FTE 7 Dollars \$22,000

Funding Profile

	FY 2008 EOY Projected Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$3,000
Program Increase							14	7	\$22,000
Total Request	4	2	\$11,500	4	4	\$11,300	14	7	\$25,000

Description of Item

The Office of Detention and Removal Operations Modernization (DROM) Program was established to oversee the systems upgrades and improvements of DRO business processes for the detention and removal of illegal aliens from the United States.

The DROM program is designed to improve:

- **real-time dynamic reporting on statistics and metrics** - for events from apprehension through the detention and removal process;
- **detainee management** – including the ability to identify the status of an individual alien’s case from apprehension to removal;
- **management of detention beds and detainees** - including the ability to track, count and manage detainees, including a system that stores all alien’s data for providing DRO personnel with necessary information to expedite the removal process;
- **bed-space availability management system** - to provide real-time visibility into the availability of beds by location, by relative likelihood of availability, by alien characteristic or classification, and to explore the capability of any potential system to make reservations and cancellations; and

- **transportation management** - for the scheduling and routing of detainees for detention and removal, and to improve fleet management and coordination of transportation events and needs.

The DROM investment provides funding of \$22.0 million to include 14 positions and be allocated as follows:

Personnel costs (\$1.345 million, 14 Positions, 7 FTEs)

- 11 IT Specialists - \$1.100 million
- 3 Contracting Specialists - \$.245 million

Non-personnel costs (\$20.654 million)

- Bed Space and Transportation System (BST&T) (\$11.842 million) – This system will create an automated bed space management process to track detainee movements and identify detainees during transfers through the use of mobile biometric identification devices. Funding will support development of the Transportation Management System module (TMS) as a deliverable. As part of the BST&T system, TMS addresses the DRO needs for improved transportation management. TMS will provide consistent automation of transportation transactions, provide decision support for complex moves, streamline communication and work flow, and provide the ability to measure and monitor transportation efficiency.
- Detention and Removal Document Management Automation (\$3.29 million) – The Document management system will provide a web-based user interface to allow authorized personnel to search and retrieve documentation associated with a case. It improves document management by scanning, classifying, converting to searchable text, indexing, and storing all incoming temporary file (T-File) documentation in a central document management system database. These documents include charging documents, court papers, birth certificates, transfer forms, and driver’s licenses. The deliverable for this will be a central document management system database with a web-based user interface.
- Detention and Removal Electronic Visitor’s Log (eVisitor’s Log) (\$1.22 million) – The development of the eVisitor’s Log deliverable will provide an automated audit trail of detainee visitors and the ability to immediately identify “wanted” individuals as they attempt to gain facility access. It will capture key information about the visitor, link the visitor to the respective detainee and adapt existing biometric screening services to conduct visitor background checks. As updated criminal history information becomes available, the system identity records can be updated automatically. Additionally, the system incorporates a visitation tracking application that will identify and track detention facility visitors.
- Systems Support (\$3.385 million) – The Project Management Office will continue providing support for consistent management processes and practices across all DROM projects in addition to standard programmatic administration of the

project cost, schedule, performance, and risks components of the DROM Program. Additionally, the existing ICE data warehouse will be expanded to accommodate new DRO enhancements in Enforce Alien Removal Module (EARM) and new data sources (e.g. BST&T). The expansion of support services is instrumental in providing DRO greater access to meaningful, accurate, and timely investigative data.

- Electronic Travel Document (eTD) (\$0.828 million) – These funds will provide an automated method of issuing travel documents with foreign consulates and DRO users. This will help to improve the removal process as ICE is able to obtain travel documents quickly from foreign consulates.
- Facility costs for new personnel (\$.085 million)

Justification

This initiative will support the systems upgrades and improvements of DRO business processes for the detention and removal of illegal aliens from the United States, as well as support the requirements of the Secure Border Initiative (SBI). DROM will effect improvements in the areas of real-time dynamic data reporting, detainee management, management of detention beds and tracking detainees, bed-space availability management, and transportation management for detention and removals. The DROM Investment provides solutions to improve DRO performance and provide enhanced operational capability in the following areas targeted for improvement:

- **Real-time dynamic reporting on statistics and metrics** for events from apprehension through the detention and removal process enhancing ability to monitor and control DRO operations (aggregate and individual aliens);
- **Case management**, providing DRO the ability to identify the status of an individual alien's case from apprehension to removal (e.g. awaiting credible-fear review, awaiting travel-document issuance) and identify an individual alien's case status to improve efficiencies in the removal process;
- **Management of detainees** to expedite the removal process by providing the capability to track the location of, count and manage detainees, including the DRO system that will store alien data (e.g., property management) for providing DRO personnel with necessary information;
- **Bed-space availability management system** that provides DRO real-time visibility into the availability of beds by location, by relative likelihood of availability, and by alien characteristic or classification, and integrated with a central reservation system to make reservations and cancellations to maximize efficiencies in identifying and assigning available beds, and to shorten the average duration for detention, thereby increasing throughput; and

- **Transportation management** for scheduling and routing detainees for detention and removal to improve fleet management, coordination of transportation events and needs, and monitor and evaluate transportation performance.

DROM is an integral part of augmenting existing booking and removal case management systems to address specific requirements called for in the Secure Communities (SC/CIRCA) Initiative Strategic Plan, such as automated detainer distribution, enhanced custody transfer coordination, and expanded use of electronic travel documents.

The DROM Program allows SC/CIRCA leveraging efficiencies generated through technology modernization projects. The DROM projects support the (SC/CIRCA) program by providing the automated systems necessary to ensure criminal aliens are not released into the community due to a lack of detention space or an appropriate alternative to detention.

Impact on Performance (Relationship of Increase to Strategic Goals)

The DROM project improves the process of apprehending, detaining, and removing illegal aliens. New systems built to support the booking process allow simultaneous, streamlined booking of multiple aliens. As a result, physical booking workflows will no longer have to mimic inefficient systems requirements and can instead focus on meeting more important business needs such as officer safety and improved speed. Along with major speed improvements, redesigned workflows also lead to significant quality and accuracy improvements. Data entry error rates concerning subject biographical information will decline as a result of process improvements made possible by new system capabilities and improvements.

The DROM project will improve ICE's ability to share immigration and detention data with other DHS and law enforcement components, including the U.S. Customs and Border Protection's Border Patrol and Office of Field Operations, U.S. Citizenship and Immigration Services, the FBI, the State Department, and the CIA. Ultimately, the DROM Program will include the capability to track and identify an individual alien throughout the apprehension, detention and removal process and will improve the management and oversight of detention bed and transportation resources.

DROM will also have a significant impact on ICE's interaction with state and local enforcement. State and local law enforcement authorities are becoming increasingly important DROM stakeholders due to the information shared from the detention and removals data through EARM. These authorities may identify, process, and when appropriate, detain immigration offenders they encounter during their regular, daily law-enforcement activity. DROM Enhancements enable ICE to provide more accurate and timely information which is crucial to the success of this program with state and local partners. This capability is key in allowing ICE to comply with Section 287(g) of the Immigration and Nationality Act aimed at multiplying the ICE forces through enhanced cooperation and communication with state and local law enforcement.

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
Justification of Resources Above Guidance**

(Dollars in Thousands)

Program Increase 3: ICE Law Enforcement Systems Modernization

Strategic Goal(s) & Objective(s): 5.1 Strengthen and Unify DHS Operations and Management

PPA: Automation Modernization

Program Increase: Positions 17 FTE 9 Dollars \$40,000

Funding Profile

	FY 2008 EOY Projected Actual			FY 2009 President's Budget			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$9,400
Program Increase							17	9	\$40,000
Total Request	0	0	\$4,200	5	3	\$15,700	17	9	\$49,400

Description of Item

The ICE Law Enforcement Systems Modernization (LESM) initiative includes a number of case management, information sharing and operational support service projects that will improve access to law enforcement information.

The ICE Law Enforcement Systems Modernization investment provides funding of \$40 million to include 17 positions and is allocated according to the following:

Personnel costs (\$2.334 million, 17 Positions, 9 FTEs)

- 2 GS-15 IT Specialists - \$0.275 million
- 10 GS-14 IT Specialists - \$1.651 million
- 5 Contracting specialists - \$.408 million

Non-Personnel Costs (\$37.666 million)

- TECS Modernization (\$16.400 million) – This system will modernize the existing TECS functions which are specific to ICE. These include Investigative Case Management, Intelligence Reporting and Dissemination; Bank Secrecy Act data access; Money Laundering reporting and tracking; and Telephone Link analysis. The

modernization of the functions will enhance ICE's ability to share law enforcement information with both federal and non-federal entities. TECS modernization is a joint CBP and ICE initiative. CBP commenced its modernization effort in FY 2005; ICE began its modernization effort in FY 2008. ICE must ensure that it is ready to move to the modernized system at the same time as CBP decommissions the existing TECS platform or ICE will be required to shoulder the entire Operations and maintenance costs of the legacy TECS platform (estimated to be between \$25 and \$40 million annually).

- Mobile IDENT (\$4.000 million) – This project will give ICE agents the ability to identify and process an individual in the field using mobile processing units. Currently suspected illegal aliens are transported to brick and mortar facilities for fingerprint identification (IDENT). Mobile IDENT decreases transportation costs and increases officer safety by reducing the number of instances of alien transport.
- ICEPIC/ICE ACCESS/LEISS/BEST Expansion:
 - ICEPIC (\$4.400 million) - The resource will provide an enterprise solution that will be rollout nationally to all SAC and RAC offices. The application will be migrated to the enterprise data center to provide 24-7 support. The creation of the COOP facility will provide failover for the application.
 - ICE ACCESS (\$2.000 million) – This initiative provides the resources to help ICE's state and local partners in the ICE ACCESS program and will integrate ICE information on gangs with U.S. Department of Justice's database.
 - LEISS (\$2.748 million) - ICE has the goal of connecting to 25 external information sharing partners in five year plan and these funds will provide support for the continue rollout to these partner and the plan of five partners per year.
 - BEST Expansion (\$2.000 million) – This initiative will fund IT integration and information sharing for the Office of Investigations' Border Enforcement Security Task Forces, multi-agency task forces with state, federal, and local participation to combat border crime.
- Intelligence Support (\$2.000 million) – These resources will fund improvements to ICE's information technology for its intelligence programs, including the migration of DARTTS and Cyber Crimes Center (C3) into the enterprise solution. In addition, it will fund the maintenance of hardware and software for cyber-crime investigations, the National Child Victim Identification System (NCVIS), e-Crimes and Overt and Covert Networks. Funding will also include conducting a GAP analysis on the existing systems to determine where modernization should be completed, including the Digital Forensic Lab.
- International Affairs Modernization (\$2.000 million) – The resources will fund the overdue modernization of the tools currently being used to screen visa applicants at consular offices overseas

- Forensic Document Lab (\$2.000 million) – This project will expand the technology infrastructure for the FDL's Automated Document Library System.
- Facility costs for new personnel (\$.118 million)

Justification

The ICE Law Enforcement Systems Modernization initiative includes a number of case management, information sharing and operational support service projects that will improve ICE law enforcement personnel's access to law enforcement information. The TECS modernization effort will support the investigative arm of ICE and update a 20-year-old legacy system, giving ICE improved capabilities for case management, money laundering tracking and reporting, telephone analysis, intelligence reporting and dissemination, Bank Secrecy Act data access, information sharing of subject record data, and statistical/performance reporting. The funding will secure a contract to perform requirements, design, and development for the integration of ICE-ACCESS and Information Sharing.

Approval of the LESM initiative will provide ICE with improved interoperability with DHS and other federal law enforcement and homeland security intelligence analysis toolsets; enhanced quality law enforcement information sharing within, and external to DHS; and improved collection of more consistent, timely, and accurate performance information on law enforcement activities and outcomes. It will expand the ability of DHS to collect data using federal standardized data formats and support investigators with a primary source for information sharing within the ISE (Information Sharing Environment) and national Law Enforcement (LE) community.

Impact on Performance (Relationship of Increase to Strategic Goals)

ICE will collaborate with CBP to define the Service Oriented Architecture (SOA) for the entire TECS/Case Management (CM) solution. The TECS/CM architecture will align with services defined in the DHS Enterprise Architecture (EA) Service Reference Model (SRM). The architecture will make maximum use of services previously created by other DHS and federal agencies, as well as ensure that new services developed by the TECS/CM program are reusable with DHS. Additionally, the ICE ACCESS project will enable the integration of ICE GANGS with DOJ, state and local agencies further improving information sharing efforts and providing increased officer safety.

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
Justification of Resources Above Guidance
(Dollars in Thousands)

Program Increase 4: Atlas IT Infrastructure

Strategic Goal(s) & Objective(s): 5.1 Strengthen and Unify DHS Operations and Management

PPA: Automation Modernization

Program Increase: Positions 1 FTE 1 Dollars \$9,000

Funding Profile

	FY 2008 EOY Projected Actual			FY 2009 President's Budget			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$3,200
Program Increase							1	1	\$9,000
Total Request	7	7	\$15,000	7	7	\$13,000	1	1	\$12,200

Description of Item

DHS must be able to share information with federal, state, local, and homeland security partners. Atlas activities planned in FY 2010 directly address ICE IT infrastructure gaps hindering the sharing, management, analysis, security and privacy of mission information. This initiative will improve information-sharing across the DHS and ICE organizations, strengthen information availability, provide a fully secure IT environment, improve workforce productivity, and migrate ICE infrastructure to the DHS One Network. Meeting these program goals will directly improve the quality, speed and extent to which ICE can enforce trade and immigration laws, control our borders, prevent terrorist acts, and respond to national emergencies.

The Atlas IT Infrastructure investment provides funding of \$9.000 million and is allocated according to the following:

Personnel Costs (\$0.082 million)

- 1 Contracting Specialist

Non-Personnel Costs (\$8.918 million):

- ICE Mission Information Data Warehouse (\$4.153 million) - The first of the major FY 2010 projects under this initiative will be in its fifth and final year of investment. Accordingly, most project risks will have already been addressed. This investment will provide a single access point for critical investigative information from several federal law enforcement systems to assist in immigration and criminal status determinations. The system will vastly reduce determination times by automating much of the current process where such determinations are manually assembled by getting information one system at a time. This increase in efficiency will enable ICE to handle the expected significant increase in determination requests that it will have to handle as it executes its strategic plan for identifying and removing all criminal aliens from the United States.
- Local Area Network (LAN) modernization (\$1.48 million) - The second major FY 2010 project, will be the planning, schedule development, and implementation of the pilot associated with the initiative to replace many legacy ICE LANs that do not have sufficient data transmission capabilities to successfully run applications that transfer significant amounts of data over the network (e.g., uploading and replaying voice, video and similar large investigation related files). Correcting this deficiency will be necessary to use certain software features planned under other Automation Modernization initiatives so that they can fully deliver stated performance improvements.
- Program Office Support (\$3.254 million) – The program office will continue to support the Atlas IT Infrastructure effort as well as continue to provide support for over \$93 million in other planned and on-going Atlas initiatives for: Cyber Security Modernization, Data Center Migration, and Tactical Communications. The program office will continue to address all external program reporting requirements, plan future program activities, and ensure program adherence to cost, schedule, and performance goals.
- Facility costs for new personnel (\$.029 million)

Justification

Atlas will use FY 2010 funding to achieve the following IT improvements:

- Automate inadequate reporting capabilities, such as the inability to identify a suspect's aliases, the failure to discover possible relationships among individuals and organizations that violate immigration and customs laws, and inability to uncover potential terrorist threats and plots. Atlas will drastically improve the quality, speed and extent to which ICE can investigate violations of law, prevent acts of terrorism, and remove detained aliens by completing a multi-year investment to integrate ICE data and share ICE data with other enforcement agencies, which is a cornerstone of ICE's portion in the national strategy to share law enforcement information and further the security of our homeland.
- Improve usability of other modernization efforts by working to replace existing poor performing local-area-network infrastructure at pilot sites, much of which is over 10 years old, with modernized, secure, high performance network infrastructure. This would replace obsolete hardware with current hardware that allows new equipment to be fully utilized. For example, the replacement switches and cabling will greatly enhance bandwidth so servers,

printers, and other networked devices can send and receive data faster, cutting wait time, and improving user productivity.

Atlas activities planned in FY 2010 address infrastructure deficiencies that must be corrected before other Automation Modernization programs can fully deploy planned capabilities. Without these investments:

- ICE will be unable to complete the foundation of its DHS-wide law enforcement data warehousing strategy, which is critical to support cost efficient expansion of ICE's enforcement mission through several related ICE and DHS IT modernization efforts;
- ICE will be unable to begin the effort to modernize local-area-networks often more than 10 years old, thereby leaving a major IT performance bottleneck in place that will limit the usability of other ICE IT modernization efforts;
- Ongoing Atlas Automation Modernization projects that rely on the current contractor program office support to perform required reporting, planning, procurement, and financial administration will experience delays and reduced performance, leading to increased cost.

Impact on Performance (Relationship of Increase to Strategic Goals)

The ICE data warehousing project improves sharing of investigative and enforcement data within ICE, with other DHS components and with other federal, state, local and tribal law enforcement partners. This project is a cornerstone of ICE's part in the national strategy to share law enforcement information.

The local-area-network modernization project will significantly boost performance of affected ICE IT systems. This will result in significant increases in productivity for ICE personnel at those locations.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Justification of Proposed Changes in Appropriation Salaries and Expenses
Appropriation Language

For expenses of immigration and customs enforcement automated systems, [57,000,000] **\$110,000,000**, to remain available until expended[: Provided, That of the funds made available under this heading, \$5,000,000 shall not be obligated until the Committees on Appropriations of the Senate and the House of Representatives receive an expenditure plan prepared by the Secretary of Homeland Security]. (Department of Homeland Security Appropriations Act, 2009.)

B. FY09 to FY10 Budget Change

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual	11	11	\$ 39,716
FY 2009 Enacted	18	18	\$ 57,000
Adjustments-to-Base			
Transfers to and from other accounts:			
Transfer 1.....	(18)	(18)	(39,100)
Total Transfers	(18)	(18)	(39,100)
Increases			
Annualization of prior year part year funding.....	---	---	---
Annualization of 2009 pay raise.....	---	---	700
2010 pay increase.....	---	---	---
GSA Rent.....	---	---	---
Non-pay inflation excluding GSA Rent.....	---	---	---
Total Increases	---	---	700
Total Adjustments-to-Base	(18)	(18)	(38,400)
2010 Current Services	---	---	18,600
Program Changes			
Program Increases/(Decreases)			
ATLAS Infrastructure.....	1	1	9,000
DROM.....	14	7	22,000
eHR.....	4	2	20,400
Law Enforcement Systems Modernization.....	17	9	40,000
.....	---	---	---
Total Program Changes	36	19	91,400
2010 Request	36	19	110,000
2009 to 2010 Total Change	18	1	53,000

The table above excludes ARRA funding of \$20.0M provided in P.L 111-5

C. Summary of Requirements

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
Summary of Requirements
(Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	11	11	\$39,716
2009 Enacted	18	18	57,000
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	(18)	(18)	(39,100)
Increases	---	---	700
Decreases	---	---	---
Total Adjustments-to-Base	(18)	(18)	(38,400)
2010 Current Services	---	---	18,600
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	36	19	91,400
2010 Total Request	36	19	110,000
2009 to 2010 Total Change	18	1	53,000

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Automation Modernization	18	18	\$57,000	(18)	(18)	(\$38,400)	36	19	\$ 91,400	36	19	\$110,000	18	1	\$53,000
										---	---	---	---	---	---
										---	---	---	---	---	---
Total	18	18	\$57,000	(18)	(18)	(\$38,400)	36	19	\$91,400	36	19	\$110,000	18	1	\$53,000

Note:

The table above excludes ARRA funding of \$20.0M provided in P.L 111-5

D. Summary of Reimbursable Resource

Not applicable

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2008 Actual	2009 Enacted	FY 2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$503	\$1,247	\$3,741	\$2,494
11.3 Other than full-time permanent				---
11.5 Other Personnel Compensation				---
11.8 Special Service Pay				---
12.1 Benefits	152	449	1,347	898
13.0 Benefits - former				---
Total, Personnel Comp. & Benefits	\$655	\$1,696	\$5,088	\$3,392
Other Object Classes:				
21.0 Travel		15	100	85
23.3 Communications, utilities, & other misc. charges		108	858	750
24.0 Printing and reproduction				---
25.1 Advisory and assistance services	14,399	20,451	38,494	18,043
25.2 Other services		110	390	280
25.3 Purchases of goods & svcs. from Gov't accounts	1,992	31	50	19
25.4 Operation & maintenance of facilities				---
25.5 Research and development contracts				---
25.6 Medical care				---
25.7 Operation and maintenance of equipment	2,016	27	2,700	2,673
25.8 Subsistence and support of persons				---
26.0 Supplies and materials		13	20	7
31.0 Equipment	20,654	34,549	62,300	27,751
43.0 Interest & dividends				---
44.0 Refunds				---
91.0 Unvouchered				---
99.0 Other	---	---		---
Total, Other Object Classes	\$39,061	\$55,304	\$104,912	\$49,608
Total, Direct Obligations	\$39,716	\$57,000	\$110,000	\$53,000
Unobligated balance, start of year	(26,700)	(26,700)	(26,700)	
Unobligated balance, end of year	26,700	26,700	26,700	
Recoveries of prior year obligations		---	---	
Total requirements	\$39,716	\$57,000	\$110,000	

The table above excludes ARRA funding of \$20.0M provided in P.L 111-5

F. Permanent Positions by Grade

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
Permanent Positions by Grade**

Grades and Salary Ranges	2008	2009	2010	2009 to 2010
	Actual Pos.	Enacted Pos.	Request Pos.	Change Total
Total, SES				---
Total, EX				---
GS-15	2	3	1	(2)
GS-14	6	12	18	6
GS-13	3	3	17	14
GS-12				---
GS-11				---
GS-10				---
GS-9				---
GS-8				---
GS-7				---
GS-6				---
GS-5				---
GS-4				---
GS-3				---
GS-2				---
Other Graded Positions				---
Ungraded Positions	---	---	---	---
Total Permanent Positions	11	18	36	18
Unfilled Positions EOY				---
Total Perm. Employment EOY				---
FTE	11	18	19	1
Headquarters	11	18	36	18
U.S. Field				---
Foreign Field				---
Total Permanent Positions	11	18	36	18
Average ES Salary	\$ 138,576	\$ 144,119	\$ 149,884	\$ 5,765
Average GS Salary	\$ 125,585	\$ 123,537	\$ 138,542	\$ 15,005
Average GS Grade	14.29	14.14	15.04	0.90

G. Capital Investment and Construction Initiative Listing

Not applicable

H. PPA Budget Justification

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
PPA
Funding Schedule
(Dollars in Thousands)

PPA: PPA Name	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
11.1 Perm Positions	\$503	\$1,247	\$2,741	\$1,494
12.1 Benefits	152	449	1,347	898
13.0 Benefits-former				---
21.0 Travel		15	100	85
22.0 Transportation of things				---
23.1 GSA rent				---
23.2 Other rent				---
23.3 Communication, Utilities, and misc charges		108	858	750
24.0 Printing				---
25.1 Advisory & Assistance Services	14,399	20,451	39,494	19,043
25.2 Other Services		110	390	280
25.3 Purchase from Govt. Accts.	1,992	31	50	19
25.4 Operation & maintenance of facilities				---
25.5 Research & Development				---
25.6 Medical care				---
25.7 Operation & maintenance of equipment	2,016	27	2,700	2,673
25.8 Subsistence & Support of persons				---
26.0 Supplies & materials		13	20	7
31.0 Equipment	20,654	34,549	62,300	27,751
32.0 Land & Structures				---
41.0 Grants/Subsidies/Contributions				---
42.0 Indemnity				---
91.0 Unvouchered				---
Total, Investigations - Operations	\$39,716	\$57,000	\$110,000	\$53,000
Full Time Equivalent	11	18	19	1

The table above excludes ARRA funding of \$20.0M provided in P.L 111-5

PPA Mission Statement

In FY 2010, ICE has included several information technology (IT) transformational initiatives into the Automation Modernization program: ICE Law Enforcement Systems Modernization, ATLAS Program – Infrastructure, Cyber Security Modernization, Tactical Communications, Detention and Removals Operations (DRO) Modernization program, and the replacement of ICE’s Financial System.

The Automation Modernization program will allow ICE to improve information sharing across the Department of Homeland Security (DHS) and ICE organizations, strengthen information availability, improve detainee tracking and preparation of travel documents, provide a fully secure IT environment, and enhance financial management and audit practices.

Summary Justification and Explanation of Changes

	Actual	Enacted	Request	Change
	0	0	0	0
Salaries and Benefits	\$655	\$1,696	\$4,088	\$2,392

Salaries and Benefits include costs of 13 new FTE's in FY 2010) to provide management and oversight for Automation Modernization programs. A \$2,392,000 increase is requested for 25 additional positions required to manage the increased number of programs funded through Automation Modernization..

	Actual	Enacted	Request	Change
Travel	---	15	100	85

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes a \$85,000 increase.

	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	---	108	858	750

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Includes Blackberry/pager/cellular phone (land line). The FY 2010 request includes a \$750,000 increase.

	Actual	Enacted	Request	Change
	0	0	0	0
Advisory and Assistance Services	14,399	20,451	39,494	19,043

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign government, State and local government, tribes, etc.) as well as from other units within the Federal Government. A \$19,043,000 increase is requested to support new Automation Modernization initiatives.

	Actual	Enacted	Request	Change
	0	0	0	0
Other Services	---	110	390	280

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. For Automation Modernization costs associated with payroll, recruitment, human resource services, background investigations, and permanent change of station (if required) are included. A \$280,000 increase is requested to support 25 new positions.

	Actual	Enacted	Request	Change
	0	0	0	0
Purchase from Government Accounts	1,992	31	50	19

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. For Automation, costs are associated with career development training for 25 positions. The FY 2010 request includes an increase of \$19,000.

	Actual	Enacted	Request	Change
	0	0	0	0
Operation & Maintenance of equipment	2,000	27	2,700	2,673

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. This request includes \$2,673,000 increase.

	Actual	Enacted	Request	Change
	0	0	0	0
Supplies & materials	---	13	20	7

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes a \$7,000,000 increase.

	Actual	Enacted	Request	Change
	0	0	0	0
Equipment	11,654	34,549	62,300	27,751

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. For Automation Modernization programs, costs are primarily associated with updated application hardware environments, off-the-shelf software licenses upon which to run modernized ICE applications, customized software to enhance existing ICE applications, and tactical communications equipment (including radios, infrastructure such as repeaters, fly-away communication kits and mobile law enforcement communications vans). The \$27,751,000 increase is requested to support the increased number of programs funded through Automation Modernization.

I. Changes in Full Time Equivalent

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Automation Modernization
Changes in Full Time Equivalent**

	FY 2008	FY 2009	FY 2010
BASE: Year-end Actual from Prior Year	9	11	11
INCREASES			
FY 2010 President's Budget Enhancements	2	7	19
Subtotal, Increases	2	7	19
DECREASES			
Adjustments-to-Base (Transfer to Salaries and Expenses Account)	-	-	(11)
Subtotal, Decreases	-	-	(11)
Year-end Actual / Estimated FTEs	11	18	19
Net Change from prior year SOY base to budget year EOY estimate:	2	7	8

Department of Homeland Security

U.S. Immigration and Customs Enforcement

Construction



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. Immigration and Customs Enforcement **Construction** **Appropriation Overview**

I. Appropriation Overview

A. Mission Statement for Construction:

The Construction Program provides housing, processing, medical, administrative, and support facilities needed to assist and meet the needs of Detention and Removal activities. The Construction account funds are available until expended.

B. Budget Activities:

The ICE Construction Program has the authority to plan, design, and construct: housing, and processing, medical, administrative, and support facilities not consistent with privatization to support the detention of aliens, as well as perform repair and alteration of existing structures.

C. Budget Request Summary:

ICE requests no additional funding for FY 2010. ICE will use carry-forward resources to perform necessary repairs of facilities and expenditures. The 9 current on-board positions will be transferred from Construction to Salaries and Expenses (S&E) to fund salaries and operations and maintenance (O&M) on existing ICE structures.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Construction**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Construction	9	\$39,536	9	\$5,000	---	\$0	(9)	(5,000)	---	---	(9)	-\$5,000
Subtotal, Enacted Appropriations and Budget Estimates	9	\$39,536	9	\$5,000	---	\$0	(9)	(\$5,000)	---	---	(9)	(\$5,000)
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	9	\$16,500	9	\$5,000	---	\$0	(9)	(\$5,000)	---	---	(9)	(\$5,000)

I. Current Services Program Description by PPA

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Construction
Program Performance Justification
(Dollars in thousands)

PPA: CONSTRUCTION

	Perm. Positions	FTE	Amount
FY 2008 Actual	9	9	39,536
FY 2009 Enacted	9	9	5,000
FY 2010 Adjustments-to-Base	(9)	(9)	(5,000)
FY 2010 Current Services	-	-	-
FY 2010 Program Change	-	-	-
FY 2010 Request	-	-	-
Total Change 2009-2010	(9)	(9)	(5,000)

ICE requests no new funding for this activity.

CURRENT SERVICES PROGRAM DESCRIPTION:

ICE relies on a mix of Service Processing Centers (SPCs) that it owns and operates, as well as more than 300 Inter-governmental Service Agreement facilities owned by State and local governments and contractor-owned and operated facilities to house individuals who have entered the United States illegally and are undergoing adjudication. At present, approximately 89 percent of the detainee population is housed at contractor or state or local government-owned and operated facilities, with the remaining 11 percent housed at seven ICE-owned SPCs. The SPCs are located in: Aguadilla, Puerto Rico; Batavia, New York; El Centro, California; El Paso, Texas; Florence, Arizona; Miami, Florida; and Los Fresnos, Texas.

The number of illegal alien detainees held in the DHS/ICE system has risen significantly in recent years, with a corresponding increase in the cost for housing and serving this population. Projections show this population continuing to grow for the foreseeable future, further burdening the ICE-owned and operated SPC facilities.

For this reason, ICE initiated a three-phased study to determine if some level of privatization of detention facilities would be cost-effective for ICE. Phase I of this study consisted of a review of physical conditions and market values of the SPCs, development of a cost model, and development of strategic options along a spectrum from status quo to full privatization. Phase I was completed in March 2007. The results of Phase I indicated that a privatization option (either ICE-owned/contractor-operated or contractor-owned/contractor-operated) showed sufficient promise in order to warrant proceeding with Phase II of the study. Phase II of the study has been completed. Phase II continued and expanded the analysis begun in Phase I, and addressed specific privatization issues, high level cost and benefits, and transition requirements on an individual facility basis. ICE is currently reviewing the Phase II results to determine appropriate next steps. ICE has included in the Budget a general provision that would allow the Secretary to sell surplus facilities if such sales are deemed to be in the best interest of the Federal government.

In FY 2008, ICE used the \$16.5 million Construction Program funding for alteration and repairs to existing ICE-owned SPCs based on priorities identified in the facility assessment completed in FY 2007.

In FY 2009, ICE is using carry-forward funding to maintain ICE-owned facilities.

In FY 2010, ICE will use carry-forward funding to maintain ICE-owned facilities.

IV. Program Justification of Changes

Not applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Justification of Proposed Changes in Appropriation Construction
Appropriation Language**

[For necessary expenses to plan, construct, renovate, equip, and maintain buildings and facilities necessary for the administration and enforcement of the laws relating to customs and immigration, \$5,000,000, to remain available until expended: Provided further, That none of the funds made available in this Act may be used to solicit or consider any request to privatize facilities currently owned by the United States Government and used to detain illegal aliens until the Committees on Appropriations of the Senate and the House of Representatives receive a plan for carrying out that privatization.] (Department of Homeland Security Appropriations Act, 2009.)

B. FY 2009 to FY 2010 Budget

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Construction
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual	9	9	39,536
FY 2009 Enacted	9	9	5,000
Adjustments-to-Base			
Decreases			
Adjustments-to-Base.....	(9)	(9)	(5,000)
Other construction.....	---	---	
Total Decreases.....	(9)	(9)	(5,000)
Total Adjustments-to-Base.....	(9)	(9)	(5,000)
2010 Current Services.....	---	---	---
2010 Request.....	---	---	---
2009 to 2010 Total Change.....	(9)	(9)	(5,000)

C. Summary of Requirements

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Construction
Summary of Requirements
(Dollars in Thousands)**

FY 2008 Actual
FY 2009 Enacted
Adjustments-to-Base
Increases
Total Adjustments-to-Base
2010 Current Services
2010 Total Request
2009 to 2010 Total Change

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-base			2010 Program Change			2010 Request		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Construction	9	9	\$5,000	(9)	(9)	(\$5,000)				---	---	---
Total	9	9	\$5,000	(9)	(9)	(\$5,000)	---	---	\$0	---	---	\$0

D. Summary of Reimbursable Resources

Not applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Construction**

Summary of Requirements by Object Class
(Dollars in Thousands)

Object Classes	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$ 310	\$325	\$ -	\$ (325)
11.5 Other Personnel Compensation	0	0	\$ -	\$ -
12.1 Benefits	49	50	\$ -	\$ (50)
Total, Personnel Comp. & Benefits	\$359	\$375	\$0	(\$375)
Other Object Classes:				
21.0 Travel	---	---	---	---
23.3 Communications, utilities, & other misc. charges	---	---	---	---
25.1 Advisory and assistance services	---	---	---	---
25.2 Other services	2,125	925	---	(925)
25.3 Purchases of goods & svcs. from Gov't accounts	---	---	---	---
25.4 Operation & maintenance of facilities	37,052	3,700	---	(3,700)
25.7 Operation and maintenance of equipment	---	---	---	---
32.0 Land & structures				
Total, Other Object Classes	\$39,177	\$4,625	\$0	(\$4,625)
Total, Direct Obligations	\$39,536	\$5,000	\$0	(\$5,000)
Unobligated balance, start of year	(34,598)	(6,000)	---	6,000
Unobligated balance, end of year	6,000	1,000	---	(1,000)
Recoveries of prior year obligations	---	---	---	---
Total requirements	\$10,938	\$0	\$0	\$0

F. Permanent Positions by Grade

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Construction
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2008 Actuals Pos.	FY 2009 Enacted Pos.	FY 2010 Request Pos.	2009 to 2010 Change Total
Total, SES	---	---	---	---
Total, EX	---	---	---	---
GS-13	1	1	---	(1)
GS-6	8	8	---	(8)
Total Permanent Positions	9	9	---	(9)
Unfilled Positions EOY	2	2	---	(2)
Total Perm. Employment EOY	9	9	---	(9)
FTE	9	9	---	(9)
Headquarters	1	1	---	(1)
U.S. Field	8	8	---	
Total Permanent Positions	9	9	---	(1)
Average ES Salary	\$ ---	\$ ---	\$ ---	\$ ---
Average GS Salary	\$ 45,943	\$ 46,862	\$ ---	\$ (46,862)
Average GS Grade	6.14	6.14	---	(6.14)

G. Capital Investment and Construction Initiative Listing

U.S. Immigration and Customs Enforcement Construction

The Illegal Immigration Reform and Immigrant Responsibility Act of 1996 and other immigration statutes authorize ICE to detain illegal aliens who are charged with immigration violations, have entered the United States illegally, or have been ordered to leave the country. These aliens can be detained while their immigration proceedings are administered, which in turn facilitates their proper and expedient removal from the country. ICE's Office of Detention and Removal (DRO) administers a national detention program that uses funding appropriated specifically for the care of these aliens and includes the transportation, housing, subsistence, medical care, and guard service necessary to provide safe and humane environments for the detainee population and detention staff. The responsibility begins when a detainee enters DRO custody and continues until the alien can be released into the community or removed from the United States.

The ICE Construction Program provides housing, processing, medical, administrative, and support facilities needed to support the detention of aliens. These expansion projects are part of an ongoing capital investment program that is intended to meet the growing national demand for detention capacity. ICE continues to address the need for bed space and support facilities required to handle the processing and removal of aliens during immigration proceedings, relative to the total number of potentially removable aliens in the country.

In FY 2010, zero dollars are requested in support of the Construction Program. Carry-forward funds will be used for maintenance of existing ICE-owned SPCs.

Facility Repair & Alterations

1. Project Description, Justification, and Scope

Repair and alteration projects are continually identified at existing ICE owned facilities. These projects are not capital construction projects, but are repair and alteration projects necessary to maintain government owned facilities and ensure they comply with life safety requirements and code compliance.

2. Significant Changes

In FY 2010, carryover funds within the no-year Construction account will be used for emergency repairs and alterations. There are no new planned construction projects planned for FY 2010, as reflected in the table below.

3. Project Schedule

	Work Initiated	Work Completed	Physical Start	Physical Complete	Total Estimated Cost (000)	Total Project Cost (000)
FY 2010 Budget Request	-	-	10/01/2009	9/30/2010	\$0	\$0

4. Schedule of Project Funding

	Dollars in Thousands				
	Prior	FY 2008	FY 2009	FY 2010	Total
Obligation (actual and planned)	\$5,872	\$16,500	\$0	\$0	\$22,372
Expenditure (actual and planned)	\$5,872	\$16,500	\$0	\$0	\$22,372

Repair and alteration projects are not capital construction projects and are not illustrated in the same manner as capital construction projects. Breakdown of projects related to expenditures is modified to reflect segments of repair and alteration.

5. Method of Performance

All detention-related projects are currently planned, managed, and monitored within the ICE Office of Asset Management. ICE/OAM entered into a MOU with the United States Army Corps of Engineers (USACE) to provide environmental documentation, planning, design, construction, procurement, and management of services to include construction design, planning, and project management.

6. Budget Allocation to Programs

	Allocated Budget (Thousands)
Program	FY 2010
Construction	\$0
Total	\$0

7. Compliance with Applicable Public Laws, Regulations, Standards and Executive Orders

The United States Army Corps of Engineers (USACE) is responsible for the compliance of all applicable laws, code compliance, regulations and standards for all ICE projects. The services being provided by USACE are managed and monitored by ICE/OAM.

ICE projects must comply with the following life-safety codes and standards:

- Local building codes or the latest edition of one of the model building codes, including Uniform Building Code (UBC); Building Officials & Code Administrators International (BOCA); Standard Building Code (SBC); and International Building Code 2000 (IBC)
- National Fire Protection Association (NFPA) Standard 101 Life Safety Code
- National Electric Code

ICE Facilities must also comply with the ICE Detention Design Guidelines (2002 edition), and the ICE Detention Construction Guidelines (2004 edition).

Handicapped accessibility codes and standards apply to ICE facilities as follows:

- Facilities must comply with the Uniform Federal Accessibility Standards, Federal Standard 795
- Facilities should comply with the Americans with Disabilities Act Accessibility Guidelines (ADAAG)

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Construction
Funding Schedule
(Dollars in Thousands)

		FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
PPA: Construction					
Object Classes:					
11.1	Perm Positions	\$ 310	\$ 325	\$ -	\$ (325)
11.5	Other per comp	\$ -	\$ -	\$ -	\$ -
12.1	Benefits	\$ 49	\$ 50	\$ -	\$ (50)
21.0	Travel	\$ -	\$ -	\$ -	\$ -
25.1	Advisory & Assistance Services	\$ -	\$ -	\$ -	\$ -
25.2	Other Services	\$ 2,125	\$ 925	\$ -	\$ (925)
25.3	Purchase from Govt. Accts.	\$ -	\$ -	\$ -	\$ -
25.4	Operation & maintenance of facilities	\$ 37,052	\$ 3,700	\$ -	\$ (3,700)
32.0	Land & Structures	\$ -	\$ -	\$ -	\$ -
Total, Construction		\$39,536	\$5,000	\$0	\$ (5,000)
Full Time Equivalents		9	9	---	---

PPA Mission Statement

The Construction account funds are available until expended. The Construction account uses its resources to plan, construct, renovate, equip, and maintain buildings and facilities necessary for the administration and enforcement of customs and immigration laws.

Summary Justification and Explanation of Changes

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Salaries and Benefits	\$359	\$375	\$0	\$ (375)

Salaries and Benefits includes costs for 9 FTEs. The FY 2010 request includes a decrease of \$375 in personnel compensation.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Travel	\$0	\$0	\$0	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes a decrease of \$0.

	<u>FY 2008 Actual</u>	<u>FY 2009 Enacted</u>	<u>FY 2010 Request</u>	<u>2009 to 2010 Change</u>
Communication, Utilities, and miscellaneous	\$0	\$0	\$0	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes a decrease of \$0.

	<u>FY 2008 Actual</u>	<u>FY 2009 Enacted</u>	<u>FY 2010 Request</u>	<u>2009 to 2010 Change</u>
Advisory and Assistance Services	\$0	\$0	\$0	\$0

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request includes a \$0 decrease.

	<u>FY 2008 Actual</u>	<u>FY 2009 Enacted</u>	<u>FY 2010 Request</u>	<u>2009 to 2010 Change</u>
Other Services	\$2,125	\$925	\$0	(\$925)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request includes a \$925 decrease.

	<u>FY 2008 Actual</u>	<u>FY 2009 Enacted</u>	<u>FY 2010 Request</u>	<u>2009 to 2010 Change</u>
Purchase from Government Accounts	\$0	\$0	\$0	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request includes a \$0 decrease.

	<u>FY 2008 Actual</u>	<u>FY 2009 Enacted</u>	<u>FY 2010 Request</u>	<u>2009 to 2010 Change</u>
Operation & maintenance of facilities	\$37,052	\$3,700	\$0	(\$3,700)

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 request includes a \$3,700 decrease.

	<u>FY 2008 Actual</u>	<u>FY 2009 Enacted</u>	<u>FY 2010 Request</u>	<u>2009 to 2010 Change</u>
Land & Structures	\$0	\$0	\$0	\$0

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2010 request includes a \$0 decrease.

I. Change in Full Time Equivalent

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Construction
Changes in Full Time Equivalent**

		FY 2008		FY 2009		FY 2010
BASE: Year-end Actual from Prior Year		9		9		9
DECREASES						
Adjustments-to-Base		-		-		(9)
Subtotal, Decreases		-		-		(9)
Year-end Actual / Estimated FTEs		9		9		-
Net Change from prior year SOY base to budget year EOY estimate:		-		-		(9)

Department of Homeland Security

U.S. Immigration and Customs Enforcement

Immigration Inspection User Fees



Fiscal Year 2010
OMB Submission

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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. Immigration and Customs Enforcement Immigration Inspection User Fee

I. Appropriation Overview

A. Mission Statement for Immigration Inspection User Fee:

The ICE Immigration User Fee account is a repository for fees collected from passengers arriving on commercial aircraft and vessels at U.S.-operated air and sea ports of entry as codified in 8 U.S.C 1103, 1356, section 286, the Immigration and Nationality Act. These fees are used to recover some of the costs of ICE operations to deter, detect, detain, adjudicate, and remove passengers attempting to make an unauthorized landing or to unlawfully bring aliens into the United States through air and sea ports. These ICE activities encompass: expanding, operating, and maintaining information systems for nonimmigrant control; detecting fraudulent documents used by passengers traveling to the United States; investigating and establishing the government's legal position regarding all detentions; providing detention and removal services for inadmissible aliens arriving on commercial aircraft or vessels and for any inadmissible alien who has attempted illegal entry into the United States through avoidance of immigration inspection at air or sea ports-of-entry; and providing training and technical assistance to commercial airline and vessel personnel regarding detection of fraudulent documents.

B. Budget Activities:

The Immigration Inspection User Fee will fund 276 positions.

C. Budget Request Summary:

ICE requests 276 positions, 276 FTE, and \$109,799,505 in new collections and corresponding spending authority for FY 2010. The decrease from FY 2009 represents a projected decrease in fee collections based on reduced passenger volume and will allow for the funding of 1,380 detention beds.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Immigration Inspection User Fees**
Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Immigration Inspection User Fees	276	\$113,053	276	\$119,000	276	\$109,800	---	-\$9,200	---	---	---	-\$9,200
Net, Enacted Appropriations and Budget Estimates	276	\$113,053	276	\$119,000	276	\$109,800	---	(\$9,200)	---	---	---	(\$9,200)

III. Current Services Program Description by PPA

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Immigration Inspection User Fees
Program Performance Justification
(Dollars in thousands)

	Perm.		
	Positions	FTE	Amount
2008 Actual	276	276	113,053
2009 Enacted	276	276	119,000
2010 Adjustments-to-Base			(9,200)
2010 Current Services	276	276	109,800
2010 Program Change	-	-	-
2010 Request	276	276	109,800
Total Change 2009-2010	-	-	-

CURRENT SERVICES PROGRAM DESCRIPTION:

The Immigration User Fee account was established as a repository for fees collected from arriving airline passengers for immigration inspection and fines imposed to prevent unauthorized landing and unlawful bringing of aliens into the United States, penalties for document fraud, and liquidated damages and expenses collected. The fees cover the cost of providing detention and removal services for inadmissible aliens arriving on commercial aircraft and vessels and for any inadmissible alien who has attempted illegal entry into the United States through avoidance of immigration inspection at air or sea ports-of-entry. All deposits into the Immigration User Fee account are available until expended. U.S. Customs and Border Protection has reported a decrease in fee collections due to a decline in air travel and a corresponding reduced passenger volume.

IV. Program Justification of Changes

Not applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not applicable

B. FY 2008 to FY 2009 Budget Change

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Immigration Inspection User Fees
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actual	276	276	113,053
2009 Enacted	276	276	119,000
Adjustments-to-Base			
Increases			
Increase/Decrease in Collections.....	---	---	(9,200)
Total Increases.....	---	---	(9,200)
Total Adjustments-to-Base	---	---	(9,200)
2010 Current Services	276	276	109,800

2010 Request	276	276	109,800
2009 to 2010 Total Change	---	---	(9,200)

C. Summary of Requirements

U.S. Immigration and Customs Enforcement
Immigration Inspection User Fees
 Summary of Requirements
 (Dollars in Thousands)

		2010 Request		
		Perm. Pos.	FTE	Amount
2008 Actual		276	276	113,053
2009 Enacted		276	276	119,000
Adjustments-to-Base				
Increase		-	-	(9,200)
Total Adjustments-to-Base		-	-	(9,200)
2010 Current Services		276	276	109,800
2010 Total Request		276	276	109,800
2009 to 2010 Total Change		-	-	(9,200)

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Immigration Inspection User Fee	276	276	119,000	-	-	(9,200)	-	-	-	276	276	109,800	-	-	(9,200)
Total	276	276	119,000	-	-	(9,200)	-	-	-	276	276	109,800	-	-	(9,200)

D. Summary of Reimbursable Resources

Not applicable

E. Summary of Requirement by Object Class

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Immigration Inspection User Fees
Summary of Requirements by Object Class
(Dollars in Thousands)

Object Classes	2008 Actual	2009 Enacted	2010 Request	2009-2010 Change
11.1 Total FTE & personnel compensation	\$8,087	\$11,364	\$11,485	\$121
11.3 Other than full-time permanent	\$1	\$205	\$189	(16)
11.5 Other Personnel Compensation	\$1,806	\$3,428	\$3,463	35
11.8 Special Service Pay	\$27	\$0	\$0	
12.1 Benefits	\$3,715	\$5,772	\$5,826	54
Total, Personnel Comp. & Benefits	\$13,637	\$20,769	\$20,963	\$0
Other Object Classes:				
21.0 Travel	52	55	51	(4)
22.0 Transportation of things	32	33	31	(3)
23.1 GSA rent	5,353	5,135	3,488	(1,647)
23.3 Communications, utilities, & other misc. charges	1,358	1,430	1,469	39
25.1 Advisory and assistance services	12,733	11,403	7,522	(3,882)
25.2 Other services	29,414	27,962	23,800	(4,162)
25.3 Purchases of goods & svcs. from Gov't accounts	458	482	545	63
25.4 Operation & maintenance of facilities	34,262	35,649	36,193	544
25.5 Research and development contracts	---	---	---	0
25.6 Medical care	2,987	2,644	2,440	(204)
25.7 Operation and maintenance of equipment	3,705	3,900	4,099	198
25.8 Subsistence and support of persons	702	739	681	(57)
26.0 Supplies and materials	6,085	6,405	6,410	5
31.0 Equipment	2,275	2,394	2,109	(285)
91.0 Unvouchered	---	---	---	0
99.0 Other	---	---	---	0
Total, Other Object Classes	99,416	98,231	88,837	\$0
Total, Direct Obligations	\$113,053	\$119,000	\$109,800	\$0
Unobligated balance, start of year	(56,460)	(69,631)	(40,000)	
Unobligated balance, end of year	69,631	40,000	30,000	
Recoveries of prior year obligations	---	---	---	0
Total requirements	\$126,224	\$89,369	\$99,800	\$10,431

F. Permanent Positions by Grade

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Immigration Inspection User Fees
Permanent Positions by Grade**

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grades and Salary Ranges	Pos.	Pos.	Pos.	Total
GS-14	47	47	47	---
GS-13	91	91	91	---
GS-12	61	61	61	---
GS-11	1	1	1	---
GS-9	113	113	113	---
GS-8	2	2	2	---
GS-7	19	19	19	---
Total Permanent Positions	276	276	276	---
Unfilled Positions EOY	---	---	---	---
Total Perm. Employment EOY	276	276	276	---
FTE	276	276	276	---
Headquarters	12	12	12	---
U.S. Field	264	264	264	---
Foreign Field	---	---	---	---
Average ES Salary	\$ ---	\$ ---	\$ ---	---
Average GS Salary	\$ 90,080	\$ 90,080	\$ 90,080	---
Average GS Grade	11.23	11.23	11.23	---

G. Capital Investment and Construction Initiative Listing

Not applicable

H. PPA by Budget Justification

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Immigration Inspection User Fees
Funding Schedule
(Dollars in Thousands)

		2008	2009	2010	2009 to 2010
PPA: Immigration Inspection User Fees		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	\$8,087	\$11,364	\$11,485	\$121
11.3	Other than perm	1	205	189	(16)
11.5	Other per comp	1,806	3,428	3,463	35
11.8	Spec Srvc Pay	27	-	-	0
12.1	Benefits	3,715	5,772	5,826	54
21.0	Travel	52	55	51	(4)
22.0	Transportation of things	32	33	31	(3)
23.1	GSA rent	5,353	5,135	3,488	(1,647)
23.2	Other rent	---	-	-	0
23.3	Communication, Utilities, and misc charges	1,358	1,430	1,469	39
25.1	Advisory & Assistance Services	12,733	11,403	7,522	(3,882)
25.2	Other Services	29,414	27,962	23,800	(4,162)
25.3	Purchase from Govt. Accts.	458	482	545	63
25.4	Operation & maintenance of facilities	34,262	35,649	36,193	544
25.5	Research & Development	---	-	-	0
25.6	Medical care	2,987	2,644	2,440	(204)
25.7	Operation & maintenance of equipment	3,705	3,900	4,099	198
25.8	Subsistence & Support of persons	702	739	681	(57)
26.0	Supplies & materials	6,085	6,405	6,410	5
31.0	Equipment	2,275	2,394	2,109	(285)
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	---	---	---	---
91.0	Unvouchered		---	---	0
Total, Immigration User Fees		\$113,053	\$119,000	\$109,800	(\$9,200)
Full Time Equivalents		276	276	276	0

PPA Mission Statement

The Immigration User Fee account was established as a repository for fees collected from arriving airline passenger for immigration inspection and fines imposed to prevent unauthorized landing and unlawful bringing of aliens into the United States, penalties for document fraud, and liquidated damages and expenses collected. The fees cover the cost of providing detention and removal services for inadmissible aliens arriving on commercial aircraft and vessels and for any inadmissible alien who has attempted illegal entry in to the United States through avoidance of immigration inspection at air or sea ports-of-entry. All deposits into the Immigration User Fee account are available until expended.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$13,637	\$20,769	\$20,963	\$194

Salaries and Benefits includes costs for 276 FTEs. FY 2010 request includes minor adjustments to level of fees used by account.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$52	\$55	\$51	(\$4)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. FY 2010 request includes minor adjustments to level of fees used by account.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Transportation of Things	\$32	\$33	\$31	(\$3)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. FY 2010 request includes minor adjustments to level of fees used by account.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
GSA rent	\$5,353	\$5,135	3,488	(\$1,647)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. FY 2010 request includes minor adjustments to level of fees used by account.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous charges	\$1,358	\$1,430	1,469	\$39

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. FY 2010 request includes minor adjustments to level of fees used by account.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$12,733	\$11,403	\$7,522	(\$3,882)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. FY 2010 request includes minor adjustments to level of fees used by account.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$29,414	\$27,962	\$23,800	(\$4,162)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. FY 2010 request includes minor adjustments to level of fees used by account.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$458	\$482	\$545	\$63

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. FY 2010 request includes minor adjustments to level of fees used by account.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$34,262	\$35,649	\$36,193	\$544

Operation and maintenance of facilities includes all payments for the operation and maintenance of facilities done by contract with the private sector or another Federal Government account. FY 2010 request includes minor adjustments to level of fees used by account.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Subsistence & Support of Persons	\$702	\$739	\$681	(\$57)

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. FY 2010 request includes minor adjustments to level of fees used by account.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$6,085	\$6,405	\$6,410	\$5

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. FY 2010 request includes minor adjustments to level of fees used by account.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$2,275	\$2,394	\$2,109	(\$285)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. FY 2010 request includes minor adjustments to level of fees used by account.

I. Changes in Full time Equivalent

**Summary of FY2010 Budget Estimates by Appropriation and Program
U.S. Immigration and Customs Enforcement
User Fee
Changes in Full Time Equivalent**

	FY 2008		FY 2009		FY 2010
BASE: Year-end Actual from Prior Year	276		276		276
INCREASES					
FY 2008 Annualizations	-		-		-
FY 2009 President's Budget	-		-		-
FY 2009 Annualizations	-		-		-
FY 2010 Request					
Attrition Hiring	58		8		8
Subtotal, Increases	58		8		8
DECREASES					
Attrition Loses			(8)		(8)
Subtotal, Decreases	-		(8)		(8)
Year-end Actual / Estimated FTEs	276		276		276
Net Change from prior year SOY base to budget year EOY estimate:	-		-		-

Department of Homeland Security

U.S. Immigration and Customs Enforcement

Breached Bond Detention Fund



Fiscal Year 2010
OMB Submission

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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. Immigration and Customs Enforcement **Breached Bond Detention Fund**

I. Appropriation Overview

A. Mission Statement for Breached Bond Detention Fund:

The Breached Bond Detention Fund was authorized in Section 112 of the Department of Justice Appropriations Act of 1993 (P.L. 102-395). The Act amended Section 286 of the Immigration and Nationality Act (INA) of 1952, as amended, by establishing, in the General Fund of the Treasury, a separate account to be called the Breached Bond Detention Fund. The first \$8,000,000 in breached cash and surety bonds collected goes to the General Fund of the U.S. Treasury. All collections in excess of \$8,000,000 posted under the INA, which are recovered by the Department of Justice, are deposited as offsetting collections into this fund.

B. Budget Activities:

Amounts deposited into the fund, which remain available until expended, can be used for expenses incurred in the collection of breached bonds, bond management, litigation activities to obtain compliance from surety companies found to be delinquent in meeting their obligations, and for expenses associated with the detention of criminal and illegal aliens.

C. Budget Request Summary:

For FY 2010 ICE requests 63 positions, 63 FTE, and \$75,000,000 for new collections and corresponding spending authority. This is an adjustment to base of \$15 million over the FY 2009 enacted amount. This will allow for the funding of an estimated 1,842 detention beds.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Breached Bond Detention Fund**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actuals		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Breached Bond	7	\$63,613	63	\$60,000	63	\$75,000	---	\$15,000	---	---	---	\$15,000
Subtotal, Enacted Appropriations and Budget Estimates	7	\$63,613	63	\$60,000	63	\$75,000	---	\$15,000	---	---	---	\$15,000
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	7	\$63,613	63	\$60,000	63	\$75,000	---	\$15,000	---	---	---	\$15,000

III. Current Services Program Description by PPA

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Breached Bond Detention Fund
Program Performance Justification
(Dollars in thousands)

PPA: Breached Bond Detention Fund

	Perm.		
	Positions	FTE	Amount
2008 Actual	63	7	63,613
2009 Enacted	63	63	60,000
2010 Adjustments-to-Base	-	-	15,000
2010 Current Services	63	63	75,000
2009 Program Change	-	-	-
2010 Request	63	63	75,000
Total Change 2009-2010	-	-	15,000

The Breached Bond Detention Fund was authorized in Section 112 of the Department of Justice Appropriations Act of 1993 (P.L. 102-395). The Act amended Section 286 of the Immigration and Nationality Act (INA) of 1952, as amended, by establishing, in the General Fund of the Treasury, a separate account to be called the Breached Bond/Detention Fund. The first \$8,000,000 in breached cash and surety bonds collected goes to the General Fund of the U.S. Treasury. All collections in excess of the first \$8,000,000 are deposited as offsetting collections into this fund. Amounts deposited into the fund, which remain available until expended, are used for expenses incurred in the collection of breached bonds, bond management, litigation activities to obtain compliance from surety companies found to be delinquent in meeting their obligations, and for expenses associated with the detention of criminal and illegal aliens.

All collections in excess of the first \$8,000,000 are deposited as offsetting collections into the Breached Bond Detention fund. Amounts deposited into the fund, which remain available until expended, are used for expenses incurred in the collection of breached bonds, bond management, litigation activities to obtain compliance from surety companies found to be delinquent in meeting their obligations, and for expenses associated with the detention of criminal and illegal aliens.

ICE uses these resources to support bed space and related staff. These resources will support an estimated 1,842 beds in FY 2010. These funds also support 63 staff including bond control specialists, immigration enforcement agents, and administrative personnel.

IV. Program Justification of Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Justification of Proposed Changes in Breached Bond Detention Fund
Appropriation Language**

Not applicable

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Breached Bond Detention Fund
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actuals	63	7	63,613
2009 Enacted.....	63	63	60,000
Adjustments-to-Base			
Increases			
Increase/Decrease in Collections.....	---	---	15,000
Total Increases.....	---	---	15,000
Total Adjustments-to-Base.....	---	---	15,000
2010 Current Services.....	63	63	75,000
2010 Request.....	63	63	75,000
2009 to 2010 Total Change.....	---	---	15,000

C. Summary of Requirements

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Breached Bond Detention Fund
Summary of Requirements
(Dollars in Thousands)**

	2010 Request		
	Perm. Pos.	FTE	Amount
2008 Actual	63	7	63,613
2009 Enacted	63	63	60,000
Adjustments-to-Base			
Increase/Decrease in Collections	---	---	15,000
Total Adjustments-to-Base	---	---	15,000
2010 Current Services	63	63	75,000
2010 Total Request	63	63	75,000
2009 to 2010 Total Change	---	---	15,000

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustment to Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Breach Bond Detention Fund	63	63	60,000	-	-	15,000	-	-	-	63	63	75,000	-	-	15,000
Total	63	63	60,000	-	-	15,000	-	-	-	63	63	75,000	-	-	15,000

D. Summary of Reimbursable Resources

Not applicable

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Breached Bond Detention Fund
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$ 443	\$ 748	\$ 935	\$ 187
11.3 Other than full-time permanent	111	133	166	33
11.5 Other Personnel Compensation	79	117	146	29
11.8 Special Service Pay	1	18	23	5
12.1 Benefits	216	280	350	70
Total, Personnel Comp. & Benefits	\$ 850	\$ 1,296	\$ 1,620	\$ 324
Other Object Classes:				
21.0 Travel	44	65	81	16
22.0 Transportation of things	71	81	101	20
23.1 GSA rent	58	176	220	44
23.2 Other rent	1	3	4	1
23.3 Communications, utilities, & other misc. charge	201	223	279	56
25.1 Advisory and assistance services	27	52	65	13
25.2 Other services	11,326	12,030	15,038	3,008
25.3 Purchases of goods & svcs. from Gov't account	635	644	805	161
25.4 Operation & maintenance of facilities	38,168	18,937	23,671	4,734
25.6 Medical care	6,695	19,340	24,175	4,835
25.7 Operation and maintenance of equipment	20	3,953	4,941	988
25.8 Subsistence and support of persons	540	506	633	127
26.0 Supplies and materials	1,836	2,156	2,695	539
31.0 Equipment	3,061	495	619	124
32.0 Land & structures	80	43	54	11
Total, Other Object Classes	\$ 62,763	\$ 58,704	\$ 73,380	\$ 14,676
Total, Direct Obligations	\$ 63,613	\$ 60,000	\$ 75,000	\$ 15,000
Unobligated balance, start of year	(33,038)	(44,381)	(40,000)	
Unobligated balance, end of year	44,381	40,000	40,000	
Recoveries of prior year obligations				
Total requirements	\$74,956	\$55,619	\$75,000	

F. Permanent Positions by Grade

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Breached Bond Detention Fund
Permanent Positions by Grade**

Grades and Salary Ranges	2008 Actual	2009 Enacted	2010 Request	2009-2010 Change
	Pos.	Pos.	Pos.	Total
GS-14	1	1	1	---
GS-12	1	1	1	---
GS-11	10	10	10	---
GS-9	15	15	15	---
GS-7	33	33	33	---
GS-5	3	3	3	---
Total Permanent Positions	63	63	63	---
Unfilled Positions EOY	51	---	---	---
Total Perm. Employment EOY	12	63	63	---
FTE	7	63	63	56
Headquarters	1	3	3	---
U.S. Field	62	60	60	---
Foreign Field	---	---	---	---
Total Permanent Positions	63	63	63	---
Average ES Salary	\$ ---	\$ ---	\$ ---	---
Average GS Salary	\$ 51,532	\$ 53,996	\$ 56,102	2,106
Average GS Grade	8.21	8.21	8.21	---

G. Capital Investment and Construction Initiative Listing

**U.S. Immigration and Customs Enforcement
Breached Bond Detention Fund**

Not applicable

H. PPA Budget Justification

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Breached Bond Detention Fund
Funding Schedule
(Dollars in Thousands)

PPA: Breached Bond Detention Fund		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$ 443	\$ 748	\$ 935	\$ 187
11.3	Other than perm	111	133	166	33
11.5	Other per comp	79	117	146	29
11.8	Spec Srvc Pay	1	18	23	5
12.1	Benefits	216	280	350	70
21.0	Travel	44	65	81	16
22.0	Transportation of things	71	81	101	20
23.1	GSA rent	58	176	220	44
23.2	Other rent	1	3	4	1
23.3	Communication, Utilities, and misc charges	201	223	279	56
25.1	Advisory & Assistance Services	27	52	65	13
25.2	Other Services	11,326	12,030	15,038	3,008
25.3	Purchase from Govt. Accts.	635	644	805	161
25.4	Operation & maintenance of facilities	38,168	18,937	23,671	4,734
25.6	Medical care	6,695	19,340	24,175	4,835
25.7	Operation & maintenance of equipment	20	3,953	4,941	988
25.8	Subsistence & Support of persons	540	506	633	127
26.0	Supplies & materials	1,836	2,156	2,695	539
31.0	Equipment	3,061	495	619	124
32.0	Land & Structures	80	43	54	11
Total, Breached Bond Detention Fund		\$ 63,613	\$60,000	\$75,000	\$15,000
Full Time Equivalents		7	63	63	---

PPA Mission Statement

The Breached Bond Detention Fund was authorized in Section 112 of the Department of Justice Appropriations Act of 1993 (P.L. 102-395). The Act amended Section 286 of the Immigration and Nationality Act (INA) of 1952, as amended, by establishing, in the General Fund of the Treasury, a separate account to be called the Breached Bond/Detention Fund. The first \$8,000,000 in breached cash and surety bonds collected goes to the General Fund of the U.S. Treasury. All collections in excess of \$8,000,000 posted under the INA, which are recovered by the Department of Justice, are deposited as offsetting collections into this fund. Amounts deposited into the fund, which remain available until expended, can be used for expenses incurred in the collection of breached bonds, bond management, litigation activities to obtain compliance from surety companies found to be delinquent in meeting their obligations, and for expenses associated with the detention of criminal and illegal aliens.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$850	\$1,296	\$1,620	\$324

Salaries and Benefits includes costs for 63 FTEs. The FY 2010 request includes proportionate share of overall Breached Bond increase.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$44	\$65	\$81	\$16

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes proportionate share of overall Breached Bond increase.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Transportation of Things	\$71	\$81	\$101	\$20

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request includes proportionate share of overall Breached Bond increase.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
GSA rent	\$58	\$176	\$220	\$44

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request includes proportionate share of overall Breached Bond increase.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Rent	\$1	\$3	\$4	\$1

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request includes proportionate share of overall Breached Bond increase.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous ch:	\$201	\$223	\$279	\$56

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes proportionate share of overall Breached Bond increase.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$27	\$52	\$65	\$13

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request includes proportionate share of overall Breached Bond increase.

	<u>2008 Actual</u>	<u>2009 Enacted</u>	<u>2010 Request</u>	<u>2009 to 2010 Change</u>
Other Services	\$11,326	\$12,030	\$15,038	\$3,008

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request includes proportionate share of overall Breached Bond increase.

	<u>2008 Actual</u>	<u>2009 Enacted</u>	<u>2010 Request</u>	<u>2009 to 2010 Change</u>
Purchase from Government Accounts	\$635	\$644	\$805	\$161

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request includes proportionate share of overall Breached Bond increase.

	<u>2008 Actual</u>	<u>2009 Enacted</u>	<u>2010 Request</u>	<u>2009 to 2010 Change</u>
Operation & maintenance of facilities	\$38,168	\$18,937	\$23,671	\$4,734

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 request includes proportionate share of overall Breached Bond increase.

	<u>2008 Actual</u>	<u>2009 Enacted</u>	<u>2010 Request</u>	<u>2009 to 2010 Change</u>
Operation & Maintenance of equipment	\$20	\$3,953	\$4,941	\$988

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request includes proportionate share of overall Breached Bond increase.

	<u>2008 Actual</u>	<u>2009 Enacted</u>	<u>2010 Request</u>	<u>2009 to 2010 Change</u>
Subsistence & Support of Persons	\$540	\$506	\$633	\$127

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. The FY 2010 request includes proportionate share of overall Breached Bond increase.

	<u>2008 Actual</u>	<u>2009 Enacted</u>	<u>2010 Request</u>	<u>2009 to 2010 Change</u>
Supplies & materials	\$1,836	\$2,156	\$2,695	\$539

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes proportionate share of overall Breached Bond increase.

	<u>2008 Actual</u>	<u>2009 Enacted</u>	<u>2010 Request</u>	<u>2009 to 2010 Change</u>
Equipment	\$3,061	\$495	\$619	\$124

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes proportionate share of overall Breached Bond increase.

I. Changes in Full Time Equivalent

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Breached Bond Detention Fund
Changes in Full Time Equivalents**

	FY 2008	FY 2009	FY 2010
BASE: Year-end Actual from Prior Year	7	7	63
INCREASES			
Attrition Hiring	-	56	-
Subtotal, Increases	-	56	-
DECREASES			
Attrition Losses	-	-	-
Subtotal, Decreases	-	-	-
Year-end Actual / Estimated FTEs	7	63	63
Net Change from prior year SOY base to budget year EOY estimate:	-	-	-

Department of Homeland Security

U.S. Immigration and Customs Enforcement

Student and Exchange Visitor Program



Fiscal Year 2010
OMB Budget Submission

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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. Immigration and Customs Enforcement **Student and Exchange Visitor Program**

I. Appropriation Overview

A. Mission Statement for Student and Exchange Visitor Program:

The Student and Exchange Visitor Program's (SEVP) mission is to enhance national security by collecting, maintaining, and providing reliable information on foreign students, exchange visitors, and the schools and exchange programs that host them. SEVP is an enforcement tool to assist in keeping our Nation safe while facilitating the participation of students and exchange visitors in the academic programs in the United States.

B. Budget Activities:

SEVP administers the School Certification Program and manages the Student and Exchange Visitor Information System (SEVIS), a web-based system for maintaining information on international students and exchange visitors (F, M, and J visa classifications) in the United States. SEVP also provides outreach and training for SEVIS users. SEVIS is used by ICE's Compliance Enforcement Unit (CEU) to identify foreign students and exchange visitors who fail to enroll or maintain status at their schools. The CEU also uses SEVIS to identify schools and exchange visitor programs that are not in compliance with regulatory requirements.

C. Budget Request Summary:

ICE requests \$120 million and 387 positions, 387 FTE, for SEVP in FY 2010. This includes an adjustment-to-base from the previous year of 126 FTE. The current fee level, increased in FY 2009 will allow ICE to:

- Enhance SEVIS functionality and data integrity;
- Increase outreach and training provided to the academic community;
- Enhance the sharing of SEVIS data with federal partners; and
- Increase the monitoring and oversight of schools hosting foreign students through the recertification process, allowing for greater enforcement of immigration laws.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Student and Exchange Visitor Program
Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)**

Program/Project Activity	2008 Actuals		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Student and Exchange Visitor Program	119	\$62,700	261	\$120,000	387	\$120,000	126	\$0	---	---	126	\$0
Subtotal, Enacted Appropriations and Budget Estimates	119	\$62,700	261	\$120,000	387	\$120,000	126	\$0	---	---	126	\$0
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	119	\$62,700	261	\$120,000	387	\$120,000	126	\$0	---	---	126	\$0

III. Current Services Program Description by PPA

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Program Performance Justification
Student and Exchange Visitor Program
(Dollars in thousands)**

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Student and Exchange Visitor Program
Program Performance Justification
(Dollars in thousands)**

PPA: STUDENT AND EXCHANGE VISITOR PROGRAM

	Perm. Positions	FTE	Amount
2008 Actuals	119	119	62,700
2009 Enacted	387	261	120,000
2010 Adjustments-to-Base	-	126	-
2010 Current Services	387	387	120,000
2010 Program Change	-	-	-
2010 Request	387	387	120,000
Total Change 2009-2010	-	126	-

CURRENT SERVICES PROGRAM DESCRIPTION:

The Department of Homeland Security (DHS), U.S. Immigration and Customs Enforcement (ICE) Student and Exchange Visitor Program (SEVP) works to enhance national security. The program accomplishes this by collecting, maintaining, and providing reliable information on foreign students, exchange visitors, and the schools and exchange programs that host them. SEVP facilitates the participation of students and exchange visitors in the academic programs in the United States and works to ensure that the programs are not used to illegally allow entrance into the country.

SEVP administers the Student and Exchange Visitor Information System (SEVIS). SEVIS collects, maintains and provides information on foreign students, exchange visitors and their dependents on F, M, and J visas while studying in the United States. SEVIS also maintains information on the schools and program sponsors authorized to use SEVIS and host foreign students and exchange visitors. SEVIS assists in the identification of those who are not in compliance with visa rules and immigration law and who may be a threat to national security.

SEVIS is ICE's core technology in this critical homeland security mission. It is the first web-based system that provides real-time, up-to-date information on F, M, and J visa holders. The system can be

accessed at any time making it an effective law enforcement tool used by agencies within the Department of Homeland Security, Department of State, and Department of Justice. SEVIS is used by the Compliance Enforcement Unit (CEU) to identify foreign students and exchange visitors who fail to enroll or maintain status at their schools. SEVP and CEU also use SEVIS to identify schools and exchange visitor programs that are not in compliance with regulatory requirements. Information maintained in SEVIS is instrumental in supporting ICE's role in conducting human smuggling investigations that identify and prosecute criminal organizations involved in the transporting and harboring of illegal aliens into the United States.

All prospective students and exchange visitors are required to pay a SEVP processing fee electronically or by check using the Form I-901 (currently fees are \$100 for most and \$35 for some exchange visitors) prior to seeking a visa at consulates and embassies overseas. This fee, in addition to the fees collected from schools seeking certification to host nonimmigrant students, provides the full funding for SEVP, including CEU agents that support enforcement of SEVP policies and regulations.

Key Accomplishments

Significant SEVP accomplishments in FY 2008 included:

- Ensuring the continued success of SEVIS fee payment processing by working with the Department of the Treasury to facilitate timely and accurate fee collections and payments;
- Improving SEVIS interoperability and data sharing capabilities through the development of SEVIS II, a more robust and comprehensive successor system to SEVIS;
- Continuing to provide effective training of SEVIS users;
- Maintaining outreach to the academic community;
- Increasing enforcement of school compliance requirements; and
- Completing a comprehensive fee rule and sent it through the rule-making process.

FY 2009, planned accomplishments include:

- Implementation of the revised fee rule, which will result in a doubling of fees taken in. The increase in fees will result in a spending authority increase from \$65,900,000 in FY 2008 to \$120,000,000 in FY 2009;
- Development of the more advanced Student and Exchange Visitor Information System II (SEVIS II) database to succeed the current SEVIS system;
- Increase in staffing to 155 full-time employees (FTEs) for CEU activities;
- SEVP, to be staffed by 64 FTEs which will provide assistance to SEVP's stakeholders; and
- Forming a recertification unit within SEVP, to be staffed by 33 FTEs to enforce a 2002 Congressional requirement to recertify all certified educational institutions.

For FY 2010, SEVP will continue to work on the existing initiatives and further execute activities and programs newly established in FY 2009. Also, SEVP is working towards having SEVIS II online in FY 2010. The current SEVIS system will be maintained for at least part of FY 2010 as any migration needs are met, after which SEVIS will be shut down.

Below is a more detailed analysis of the accomplishments and goals for the ongoing compliance enforcement, SEVIS II, liaison and recertification initiatives that will be new in FY 2009.

Compliance Enforcement: The budget supports expanded ICE's SEVIS compliance enforcement efforts that are essential to support ICE and DHS' strategic objectives to prevent the unlawful exploitation of our Nation's people and institutions by nonimmigrant's violating laws within the homeland, and to enforce nonimmigrant compliance with our immigration, customs, and criminal laws. Significant accomplishments in FY 2008 included:

- Expanding the Compliance Enforcement program by hiring additional special agents, program managers and support staff;
- Establishing a visa waiver enforcement program that applies sophisticated name analysis software to investigate violators that pose an elevated risk to national security; and
- Reducing the nation's vulnerability to exploitation of nonimmigrant visas by increasing compliance enforcement actions.

FY 2009 planned accomplishments include:

- Continuation of training for CEU agents and SEVP personnel on accessing SEVIS and US-VISIT information;
- Increasing staff to 155 FTEs to provide improved compliance enforcement through a comprehensive review of potential violator leads identified among foreign students and exchange visitors who have been authorized entry into the United States. The staff will also increase ICE's ability to pursue criminal violations, including nonimmigrant's smuggling and fraud, conducted by SEVIS certified schools and programs; and
- Coordinating expanded efforts with the new liaison and recertification units.

For FY 2010, SEVP and OI will further refine their compliance enforcement efforts. As the program further matures and the added FTEs increase CEU's flexibility and reach, it is expected that more leads will be investigated. The increased number of investigations will more fully meet ICE's goals of compliance with immigration law.

SEVIS II: Fundamental to the attainment of any DHS and ICE strategic objective to detect and deter threats to our homeland through terrorist exploitation of legitimate student entry pathways into the Homeland is SEVP's ability to collect information and track legitimate non-immigrant students and certified schools. This tracking can only be accomplished through the SEVIS system.

The current system does not adequately meet the needs of the national security, law enforcement, and educational institution communities, all of whom rely heavily on SEVIS data and its interoperability. The SEVIS II initiative supports the DHS Strategic Goal of Prevention, Objective 2.2, Enforce Trade and Immigration Laws. It will meet the needs of the intelligence and enforcement communities increasing the ability to track and monitor individuals; integrate seamlessly with other intelligence systems; and provide real-time critical individual based information. A newly configured and deployed SEVIS II system that is based on tracking and monitoring individuals rather than records, and that is highly interoperable with all of our stakeholders, would eliminate critical vulnerabilities.

In FY 2008, significant accomplishments included:

- Development of SEVIS II; and
- Digitalization of more than 8,000 SEVIS files.

FY 2009 planned accomplishments include:

- Developing a newly configured SEVIS II system that is based on tracking and monitoring individuals rather than records (SEVIS II will be highly interoperable with all of ICE's stakeholders eliminate critical vulnerabilities);
- Accommodating the use of biometric information to positively identify students and exchange visitors, inclusion of biometric identifiers.
- Improving queries quality via name checks and biological information;
- Providing primary end users (port of entry and departure, and investigators) with the ability to accomplish real-time verification of data;
- Enhanced search capability, and tracking and monitoring systems of other key national nation security and law enforcement agencies; and
- Coordinating expanded efforts with the new liaison and recertification units and the established compliance enforcement unit.

In FY 2010, SEVIS II will be fully deployed. SEVIS will be concurrently maintained, but is expected to be shut down permanently by mid-FY 2010. Although every effort will be made to minimize problems with the deployment of SEVIS II, it can be anticipated that there will be technical issues that will not be evident until the system is in use. SEVP will fully coordinate with relevant ICE and educational institution representatives to minimize the impact of any such problems.

School Recertification Program: The fee increase allowed for the hiring of 33 additional FTEs to provide a recertification program capability. The Enhanced Border Security and Visa Entry Reform Act of 2002 mandated that DHS conduct a recertification of certified educational institutions every two years. SEVP recertification is a review of an educational institution previously certified to affirm that the educational institutions remains eligible and is complying with regulatory recordkeeping, retention, and reporting requirements. The focus of recertification is past performance coupled with a review to ensure that the educational institution maintains its basic eligibility for initial certification. The process may include an on-site visit or review. Approximately 9,200 educational institutions have been certified by SEVP.

In FY 2008, significant accomplishments included:

- Preparation for recertification of all SEVIS certified schools; and
- Increased staffing for school compliance to identify and remove non-compliant schools.

FY 2009 planned accomplishments include:

- The hiring of 33 FTEs in order to provide a recertification program capability for SEVP;
- Coordinating expanded efforts with the new liaison unit and the already established compliance enforcement unit; and
- Coordinating with SEVP's stakeholders, to include the Department of State, to ensure timely and thorough recertification reviews.

For FY 2010, it is expected that the 33 FTEs for this unit will be refining their work processes and enabling thorough and timely recertification reviews of educational institutions.

Liaison Program: The SEVP Liaison Program purpose is to improve dialog and provide assistance between SEVP and the stakeholder communities it serves. Liaisons will proactively provide training as required, disseminate information on policy changes and conduct follow-up visits with stakeholders as needed. Liaisons will be fully trained in all aspects of the Student and Exchange Visitor Program

and will be central to ensuring communication between the program and its stakeholders. Liaisons will undergo a comprehensive training program prior to their assignment so that the program can work toward consistency in its policies and procedures. Through the liaisons, SEVP hopes to see improved data integrity in SEVIS. Liaisons will be co-located in ICE Special Agent In-Charge offices across the United States. They will provide assistance to the more than 9,000 schools approved by SEVP as well as stakeholders. The budget request to fund the hiring and deployment of the liaison representatives will enable SEVP to improve its ability to effectively ensure optimal compliance by the academic community with immigration law.

In FY 2008, significant accomplishments included:

- Refining Liaisons Roles and Responsibilities with stakeholders;
- Developing Business Process and Field Manual;
- Drafting Liaison Territories which are ready for review/approval; and
- Developing Liaison Training and automation support;

FY 2009 planned accomplishments include:

- Hiring 64 FTEs to establish a liaison function for SEVP. These positions and related support costs will provide support to educational institutions that desire to host foreign students and exchange visitors. By statute, these institutions require initial certification by SEVP and subsequent recertification every two years.
- Coordinating expanded efforts with the new liaison unit and the already established compliance enforcement unit.

For FY 2010, the 64 FTEs for this unit will have developed a fully functioning and robust liaison program that coordinates on a routine basis with other OI, ICE, DHS, and educational institution stakeholders.

IV. Program Justification of Changes

Not applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Justification of Proposed Changes in Student and Exchange Visitor Program
Appropriation Language**

Not applicable

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Student and Exchange Visitor Program
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actuals	119	119	\$62,700
2009 Enacted	387	261	\$120,000
Adjustments-to-Base			
Increases			
Increase/Decrease in Collections.....	---	126	\$0
Total Increases.....	---	126	\$0
Total Adjustments-to-Base	---	126	\$0
2009 Current Services	387	387	\$120,000
2010 Request	387	387	\$120,000
2009 to 2010 Total Change	---	126	\$0

C. Summary of Requirements

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Student and Exchange Visitor Program
Summary of Requirements
(Dollars in Thousands)**

	2010 Request		
	Perm. Pos.	FTE	Amount
2008 Actuals	119	119	\$62,700
2009 Enacted	387	261	\$120,000
Adjustments-to-Base			
Increase/Decrease in Collections	---	---	\$0
Total Adjustments-to-Base	---	126	\$0
2010 Current Services	387	387	\$120,000
2010 Total Request	387	387	\$120,000
2009 to 2010 Total Change	---	126	---

Estimates by Program/Project Activity	2009 President's Budget			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Student and Exchange Visitor Program	387	261	\$120,000	---	126	\$0	---	---	---	387	387	\$120,000	---	126	\$0
Total	387	261	\$120,000	---	126	\$0	---	---	---	387	387	\$120,000	---	126	\$0

D. Summary of Reimbursable Resources

Not applicable

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Immigration and Customs Enforcement
Student and Exchange Visitor Program
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	2008 Actuals	2009 Enacted	2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$10,092	\$24,239	\$36,591	\$12,352
11.3 Other than full-time permanent	\$57	\$0	\$0	0
11.5 Other Personnel Compensation	\$73	\$254	\$384	130
11.8 Special Service Pay	\$0	\$0	\$0	0
12.1 Benefits	\$3,260	\$7,841	\$11,836	3,995
13.0 Benefits - former	\$0	\$0	\$0	0
Total, Personnel Comp. & Benefits	\$13,482	\$32,334	\$48,811	\$16,477
Other Object Classes:				
21.0 Travel	390	1,437	1,437	0
22.0 Transportation of things	13	17	17	0
23.1 GSA rent	137	17	17	0
23.2 Other rent	1	406	406	0
23.3 Communications, utilities, & other misc. charge	20	1,084	1,084	0
25.1 Advisory and assistance services	16,081	11,428	11,428	0
25.2 Other services	5,967	10,623	10,623	0
25.3 Purchases of goods & svcs. from Gov't accounts	175	907	907	0
25.7 Operation and maintenance of equipment	8,263	21,116	21,116	0
26.0 Supplies and materials	2,340	1,150	1,150	0
31.0 Equipment	1,175	39,098	22,621	(16,477)
32.0 Land & structures	---	383	383	0
Total, Other Object Classes	\$49,218	\$87,666	\$71,189	(\$16,477)
Total, Direct Obligations	\$62,700	\$120,000	\$120,000	\$0
Unobligated balance, start of year	(24,957)	(24,957)	(24,957)	0
Unobligated balance, end of year*	24,957	24,957	24,957	0
Recoveries of prior year obligations	---	---	---	0
Total requirements	\$62,700	\$120,000	\$120,000	\$0

F. Permanent Positions by Grade

**Department of Homeland Security
U.S. Immigration and Customs Enforcement (ICE)
Student Exchange and Visitor Program (SEVP)
Permanent Positions by Grade**

Grades and Salary Ranges	2008	2009	2010	2009 to 2010
	Actual Pos.	Enacted Pos.	Request Pos.	Change Total
GS-15	2	7	7	---
GS-14	12	36	36	---
GS-13	85	289	289	---
GS-12	1	3	3	---
GS-11	11	33	33	---
GS-10				---
GS-9	3	10	10	---
GS-8				---
GS-7	3	10	10	---
Total Permanent Positions				---
Unfilled Positions EOY	16	46	15	(31)
Total Perm. Employment EOY	119	341	372	31
FTE	119	261	387	126
Headquarters	40	77	96	19
U.S. Field	79	184	291	107
Foreign Field				---
Total Permanent Positions				126
Average ES Salary				\$ ---
Average GS Salary	91,494	95,867	\$ 98,743	\$ 2,876
Average GS Grade	12.70	12.70	12.70	---

G. Capital Investment and Construction Initiative Listing

Not applicable

H. PPA Budget Justifications

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Student and Exchange Visitor Program
Funding Schedule
(Dollars in Thousands)**

PPA: SEVP		FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$10,092	\$24,239	\$36,591	12,352
11.3	Other than perm	57		---	0
11.5	Other per comp	73	254	384	130
12.1	Benefits	3,260	7,841	11,836	3,995
13.0	Benefits-former	---	---	---	0
21.0	Travel	390	1,437	1,437	0
22.0	Transportation of things	13	17	17	0
23.1	GSA rent	137	17	17	0
23.2	Other rent	1	406	406	0
23.3	Communication, Utilities, and misc charges	20	1,084	1,084	0
25.1	Advisory & Assistance Services	16,081	11,428	11,428	0
25.2	Other Services	5,967	10,623	10,623	0
25.3	Purchase from Govt. Accts.	175	907	907	0
25.4	Operation & maintenance of facilities	14,656		---	0
25.5	Research & Development	---		---	0
25.6	Medical care	---		---	0
25.7	Operation & maintenance of equipment	8,263	21,116	21,116	0
25.8	Subsistence & Support of persons			---	0
26.0	Supplies & materials	2,340	1,150	1,150	0
31.0	Equipment	1,175	39,098	22,621	(16,477)
32.0	Land & Structures	---	383	383	0
91.0	Unvouchered	---	---	---	---
Total, SEVP		\$62,700	\$120,000	\$120,000	\$0
Full Time Equivalents		119	261	387	126

PPA Mission Statement

The Student and Exchange Visitor Program (SEVP), which is a division of U.S. Immigration and Customs Enforcement (ICE) administers the School Certification Program and manages the Student and Exchange Visitor Information System (SEVIS), a web-based system for maintaining information on international students and exchange visitors (F, M, J visa classification) in the United States. SEVIS is designed to keep our nation safe while facilitating the participation of students and exchange visitors seeking to study in the United States.

Summary Justification and Explanation of Changes

	FY 2008	FY 2009	FY 2010	2009 to 2010
	Actuals	Enacted	Request	Change
Salaries and Benefits	\$13,482	\$32,334	\$48,811	\$16,477

Salaries and Benefits includes costs for 387 FTEs. Salaries and Benefits increase proportionally with FTEs.

	FY 2008	FY 2009	FY 2010	2009 to 2010
	Actuals	Enacted	Request	Change
Travel	\$390	\$1,437	\$1,437	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request has no changes from the previous year.

	FY 2008	FY 2009	FY 2010	2009 to 2010
	Actuals	Enacted	Request	Change
Transportation of Things	\$13	\$17	\$17	\$0

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request has no changes from the previous year.

	FY 2008	FY 2009	FY 2010	2009 to 2010
	Actuals	Enacted	Request	Change
GSA rent	\$137	\$17	\$17	\$0

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request has no changes from the previous year.

	FY 2008	FY 2009	FY 2010	2009 to 2010
	Actuals	Enacted	Request	Change
Other Rent	\$1	\$406	\$406	\$0

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request has no changes from the previous year.

	FY 2008	FY 2009	FY 2010	2009 to 2010
	Actuals	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$20	\$1,084	\$1,084	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request has no changes from the previous year.

	Actuals	Enacted	Request	Change
Advisory and Assistance Services	\$16,081	\$11,428	\$11,428	\$0

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

	FY 2008	FY 2009	FY 2010	2009 to 2010
	Actuals	Enacted	Request	Change
Other Services	\$5,967	\$10,623	\$10,623	\$0

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request has no changes from the previous year.

	FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Purchase from Government Accounts	\$175	\$907	\$907	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request has no changes from the previous year.

	FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Operation & maintenance of facilities	\$14,656	\$0	\$0	\$0

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 request has no changes from the previous year.

	FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Operation & Maintenance of equipment	\$8,263	\$21,116	\$21,116	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request has no changes from the previous year.

	FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Supplies & materials	\$2,340	\$1,150	\$1,150	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request has no changes from the previous year.

	FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Equipment	\$1,175	\$39,098	\$22,621	(\$16,477)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. In FY2010 no new positions will be established, thus modular cost in equipment are reduced.

	FY 2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Land & Structures	\$0	\$383	\$383	\$0

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2010 request has no changes from the previous year.

I. Changes in Full Time Equivalent

**Summary of FY2010 Budget Estimates by Appropriation and Program
U.S. Immigration and Customs Enforcement
Student Exchange Visitor Program
Changes in Full Time Equivalent**

		FY 2008 Actuals		FY 2009 Enacted		FY 2010 Request
BASE: Year-end Actual from Prior Year		113		119		261
FY 2008 Actuals		-		-		-
Annualization of FY 2008		6		-		
FY 2009 Enacted		-		142		-
FY 2010 Request		-		-		126
Attrition Hiring		7		8		17
Subtotal, Increases		-		150		143
DECREASES						
Attrition		(7)		(8)		(17)
Subtotal, Decreases		(7)		(8)		(17)
Year-end Actual / Estimated FTEs		119		261		387
Net Change from prior year SOY base to budget year EOY estimate:		119		261		387

Department of Homeland Security

Immigration and Customs Enforcement



Fiscal Year 2010
Strategic Context
Congressional Justification

FY 2010 PRESIDENT’S BUDGET REQUEST STRATEGIC CONTEXT

Immigration and Customs Enforcement

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A. Mission and Description of U.S. Immigration and Customs Enforcement

U.S. Immigration and Customs Enforcement (ICE) is the largest investigative arm of the Department of Homeland Security (DHS). ICE's mission is to protect America and uphold public safety by targeting the people, money, and materials that support terrorists and criminal activities. ICE fulfills this mission by investigating violations of immigration and custom laws. The ICE organization is composed of law enforcement divisions and several support divisions. The four main operations are investigation, criminal alien enforcement, international enforcement, and detention and removal. In addition, ICE includes an Office of Intelligence, Principal Legal Advisor, Professional Responsibility, State and Local Coordination, and mission support entities.

The *Office of Investigations (OI)* enforces trade, immigration, and customs laws. OI investigates a wide range of criminal activities including: illegal immigration; weapons trafficking (including weapons of mass destruction and nuclear, biological, chemical, and radiological agents); narcotics and contraband smuggling; human smuggling and trafficking; money laundering and other financial crimes; fraudulent trade practices and intellectual property rights violations; child pornography; and child sex tourism.

Secure Communities – Comprehensive Identification and Removal of Criminal Aliens (SC/CIRCA) improves community safety by transforming the way the federal government cooperates with state and local law enforcement agencies to identify, detain, and remove criminal aliens from the United States. The program coordinates all ICE planning, operational, technical and fiscal activities devoted to criminal alien enforcement. SC/CIRCA revolutionizes immigration enforcement by facilitating information-sharing between law enforcement agencies and by applying risk-based methodologies to place resources in areas with the largest levels of high-threat criminal aliens.

The *Office of International Affairs (OIA)* enhances and promotes the ICE mission of protecting the United States by using an international, multi-faceted, law enforcement approach and partnering with foreign and domestic counterparts to combat criminal and terrorist activities.

The *Office of Detention and Removal Operations (DRO)* processes, detains, and removes criminal aliens, aliens residing illegally in the United States, and non-immigrants apprehended for infraction of immigration laws (including administrative violations). DRO is responsible for the safe and humane treatment of detained aliens while in ICE custody. This includes the safe and secure transportation from the point of apprehension through each phase of their immigration proceedings including removal of the alien from the United States. In addition to managing the detained alien population, the Criminal Alien Program (CAP) identifies criminal aliens who are incarcerated in Federal, State, and local facilities. CAP prepares criminal aliens for immigration proceedings and ensures that they are not released into the community. DRO also manages the ICE Fugitive Operations program that locates and captures aliens who have violated conditions of release and subsequently absconded.

Furthermore, the FY 2010 budget transfers FPS to the National Protection and Programs Directorate (NPPD). This transfer will allow Immigration and Customs Enforcement (ICE), which used to manage the FPS program, to focus on its law enforcement mission of protecting the American people by targeting the people, money, and materials that support terrorist and criminal activities relating to our nation's borders.

FPS should reside within NPPD, given NPPD's responsibility for leadership of the National Infrastructure Protection Plan. As the Sector-specific agency for the Government Facilities sector,

FPS has been an active critical infrastructure security partner with IP. FPS will be able to gain synergy by working alongside NPPD's Office of Infrastructure Protection (IP), and having FPS and IP in the same organization further solidifies NPPD as the Department's lead for critical infrastructure protection.

B. Major Activities and Key Strategic Issues

ICE continues to move forward and maintain focus on changing threats and the strategic issues facing our Nation, and is improving community safety by transforming the way the federal government cooperates with state and local law enforcement agencies to identify, detain and remove all criminal aliens held in custody.

Secure Communities/A Comprehensive Plan to Identify and Remove Criminal Aliens (SC/CIRCA)— In FY 2008, Congress provided ICE with \$200 million to “improve and modernize efforts to identify aliens convicted of a crime, sentenced to imprisonment, and who may be deportable, and remove them from the United States once they are judged deportable.” In the FY 2009 DHS Appropriations Act, Congress appropriated an additional \$150 million for SC/CIRCA to meet the program's goals. Congress further required ICE to utilize at least \$850 million of existing programs' resources “to identify aliens convicted of a crime, and who may be deportable, and to remove them from the United States once they are judged deportable.” In FY 2009, ICE expects to obligate over \$1.4 billion of funds provided by Congress toward achievement of the four stated SC/CIRCA goals.

On March 24, 2008, ICE submitted Secure Communities: A Comprehensive Plan to Identify and Remove Criminal Aliens (SC/CIRCA) to Congress. SC/CIRCA sets out a strategy to improve community safety by transforming the way the Federal Government cooperates with state and local law enforcement agencies to identify, detain, and remove all criminal aliens held in custody. The program seeks to work with current and new initiatives across ICE to enhance the effectiveness of the criminal alien enforcement process.

ICE has delineated four key strategic goals for the Secure Communities plan:

- **Strategic Goal 1** – Identify and process all criminal aliens amenable for removal while in federal, state, and local custody;
- **Strategic Goal 2** – Enhance current detention strategies to ensure no removable alien is released into the community due to a lack of detention space or an appropriate alternative to detention;
- **Strategic Goal 3** – Implement removal initiatives that shorten the time aliens remain in ICE custody prior to removal, thereby maximizing the use of detention resources and reducing cost; and
- **Strategic Goal 4** – Maximize cost effectiveness and long-term success through deterrence and reduced recidivism.

Central to transforming criminal alien enforcement processes is the application of risk-based methodologies. Using standards familiar to law enforcement, ICE defined three levels of criminal aliens, based on the National Crime Information Center (NCIC) high-level offense codes. These levels are used to assign an enforcement priority to those aliens arrested for crimes that pose the greatest risk to the public. These priorities are assigned after identification screenings of all who are arrested to

determine if they are criminal aliens, based on prior convictions and current charges. Prioritization of criminal aliens will allow ICE to allocate resources in the most effective and efficient manner.

Although ICE has made considerable progress over the past several years in identifying and removing criminal aliens through its Criminal Alien Program (CAP), a fundamental change in ICE's current approach is required to reach the goal of identifying and removing all aliens convicted of a crime. ICE currently screens all inmates referred to ICE who claim to be foreign-born at all federal and state prisons. In addition, any law enforcement agency can query the immigration status of an individual they encounter through ICE's Law Enforcement Support Center (LESC). CAP officers routinely visit or are dispatched to local jails requesting assistance and have contributed to the increased success of identifying and removing criminal aliens in custody.

In FY 2008, ICE identified and charged more than 221,000 aliens in jails for immigration violations – more than triple the number charged just two years ago. Leveraging integration technology that shares law enforcement data between federal, state and local law enforcement agencies, ICE is now able to expand coverage nationwide in a cost effective manner. Interoperability between the Federal Bureau of Investigation's (FBI's) Integrated Automated Fingerprint Identification System (IAFIS) and DHS' Automated Biometric Identification System (IDENT) will help ICE and local law enforcement officers positively identify criminal aliens in prisons and jails.

Key Accomplishments/Planned Accomplishments

In FY 2008, ICE:

- Identified and issued charging documents on over 221,000 criminal aliens, representing greater than a 34% increase compared to FY 2007;
- Removed over 110,000 criminal aliens, representing greater than an 8% increase compared to FY 2007;
- Reduced criminal alien detention times by 5 percent to 45.6 days compared to FY 2007;
- Collaborated with U.S. Attorneys to initiate prosecutions against more than 6,500 violent, recidivist criminal aliens for felony violation of United States immigration law;
- Deployed 28 operational CAP teams, expanding ICE screening of foreign born criminals at all federal, all state and 13 percent of local prisons and jails (the remaining local prisons and jails make inquiries regarding foreign born detainees through 24x7 ICE call-in numbers);
- Developed prioritization criteria and an operational approach to roll out nationwide criminal alien screening over the next three to four years through biometric arrest information sent by law enforcement agencies to the DOJ;
- Began outreach to state and local Law Enforcement Agencies (LEAs) regarding Secure Communities goals and plans;
- Issued several procurements to improve the operational efficiency of ICE operational processes that identify, prioritize and conduct enforcement action against removable criminal aliens;
- Expanded the use of Institutional Removal Programs (IRP) to a total of 14 federal facilities, and approximately 50 state and local jails and prisons, significantly reducing ICE detention times for most criminal aliens processed through this program;
- Implemented a Case Management Unit (CMU) to standardize and streamline all detained case management processes with the goal of reducing average ICE detention times;
- Deployed a modernized system replacing ICE's twenty-year old legacy mainframe detention and removal management system, improving operational efficiency; and

- Established an SC/CIRCA Program Management Office (PMO) reporting directly to the Deputy Assistant Secretary - Operations.

In FY 2009, ICE will use over \$1.15 billion from ICE's base appropriation and an estimated \$255 million in SC/CIRCA appropriations to:

- Maintain existing criminal alien enforcement efforts
- Continue outreach to the national law enforcement community to communicate SC/CIRCA goals and objectives and strengthen information sharing partnerships for identifying and removing criminal aliens;
- Deploy an additional 7 operational CAP teams to expand ICE screening for criminal aliens to additional local jails and prisons;
- Deploy biometric identification capability (integration of DOJ and DHS biometric databases) to 50+ priority nationwide jurisdictions. Deployments will cover over 20 percent of the estimated nationwide number of criminal alien arrests
- Expand ICE's operational capacity for completing threat assessments and alien status determinations on suspected criminal aliens by hiring 85 additional Law Enforcement Support Center (LESC) personnel and by improving IT systems supporting criminal alien identifications;
- Establish 24x7 operational response capability by reassigning current vacancies to hire 178 Interoperability Response Agents;
- Pilot methods to identify and apprehend at-large criminal aliens, whether fugitives or not, based upon threat to the community by hiring 26 enforcement agents;
- Aggressively prosecute violent, recidivist criminal aliens in coordination with U.S. Attorney offices, thus deterring removed criminal aliens from re-entering the country, by reassigning current vacancies to hire 62 additional Violent Criminal Alien Section (VCAS) agents;
- Increase ICE's capacity to process greater numbers of criminal alien removal cases by hiring 173 removal case management personnel;
- Procure Video Teleconferencing equipment for 170 priority locations to support Secure Communities, including additional Institutional Removal Programs at jails and prisons (where criminal aliens are processed for removal before entering ICE custody) and to expand the geographic area that CAP teams can cover when conducting interviews and other criminal alien screening/identification activities;
- Initiate development of systems to track the exact location of criminal aliens from the time they enter ICE custody until the time they are removed from the United States, improving officer safety and intelligence gathering efforts on detainees among other benefits;
- Initiate development of enterprise-wide bed space management and transportation management systems to make more efficient use of these limited and expensive ICE resources; and
- Add additional removal transportation capacity and related costs to support the removal of greater numbers of criminal aliens taken into ICE custody.

In FY 2010, SC/CIRCA will maintain expanded operational capacity funded in FY 2008 and 2009. Using approximately \$75 million of remaining funds from the \$150 million provided by Congress to SC/CIRCA through the FY 2009 Appropriation, ICE will:

- Continue moving toward nationwide identification, apprehension and removal of all Level 1 (those convicted of violent felonies and major drug crimes) criminal aliens in accordance with the SC/CIRCA strategic plan, program goals and program objectives by extending criminal alien biometric identification capabilities to over 140 counties containing over 50% of the

nation's estimated criminal alien population, to include all counties that touch the Southwest border;

- Increase the number of criminal aliens identified during FY 2010 to an estimated 450,000, more than doubling the number identified in FY 2008;
- Increase the number of violent Level 1 criminal aliens identified during FY 2010 to an estimated 38,000;
- Increase the number of Level 1 criminal aliens removed during FY 2010 to an estimated 13,000 (removal of Level 1 criminal aliens is expected to significantly lag identification due to extended incarceration sentences that many must serve prior to their removal); and
- Continue submitting a greater number of violent criminal aliens who repeatedly enter the United States illegally to U.S. Attorneys for aggressive prosecution under felony immigration charges.
- Work with other ICE programs to determine how existing activities and capacity can better support SC/CIRCA goals.

Investigations (OI) - ICE received \$1,965.5 million for Investigations activities in FY 2009:

- \$1,696.2 million in the Investigations budget activities within the Salaries and Expenses appropriation;
- \$54.2 million in the Intelligence PPA within the Salaries and Expenses appropriation;
- \$120.0 million in the Student Exchange Visitor Program (SEVP) account;
- \$64.3 million in the Immigration User Fee account; and
- \$30.8 million in the Automation account.

The Office of Investigations (OI) enforces customs and immigration laws through the investigation of activities, persons, and events that may pose a threat to the safety or security of the United States and its people. Investigations lead to the arrest and prosecution of perpetrators and/or result in the removal of individuals posing risks to national security or public safety. OI investigates illegal trafficking in weapons and procurement of sensitive U.S.-origin technology (including weapons of mass destruction); the smuggling of narcotics and other contraband; human smuggling and trafficking; money laundering and other financial crimes; fraudulent trade practices; identity and benefit fraud; child pornography; child sex tourism; employers that hire illegal and undocumented workers; and health and public safety dangers.

The five investigative components of OI use immigration and customs authorities to address vulnerabilities and prevent violations that threaten national security and public safety.

Key Accomplishments/Planned Accomplishments

In addition to ongoing activities, OI accomplished the following in FY 2008:

- initiated export enforcement programs dedicated to specific dual-use and military technology;
- initiated Operation TECH DEFENSE to identify and prosecute individuals, corporations and criminal organizations that unlawfully attempt to gain illegal entry into the United States to acquire export restricted information and technology and/or access to critical infrastructure facilities;
- established a visa waiver enforcement program that applies sophisticated name analysis software to investigate violators that pose an elevated risk to national security;
- activated the Bulk Cash Smuggling Center, within the LESC, to provide real time investigative and

logistical support to law enforcement agents encountering bulk cash smuggling and other money laundering activity;

- expanded Border Enforcement Security Task Forces (BESTs) to target violent criminal organizations along the Northern border;
- established an ICE Intellectual Property Rights (IPR) and IMAGE Center (I3), which allows IMAGE and IPR to conduct corporate outreach and house the DC SAC Office's Document and Benefit Fraud Task Forces (DBFTFs);
- continued existing efforts by the Cyber Crimes Center (C3) to investigate and coordinate cases involving intellectual property violations (to include pharmaceuticals) and illegal export violations occurring online;
- implemented Operation Guardian in collaboration with CBP, Food and Drug Administration and the Consumer Product Safety Commission to target, interdict, and investigate the importation of substandard, tainted and counterfeit products being imported into the United States from the People's Republic of China (PRC);
- in conjunction with the Office of International Affairs (OIA), formally launched "Operation Armas Cruzadas" in order to combat the smuggling of weapons from the United States into Mexico. As part of this initiative, DHS and Government of Mexico (GoM) agencies are partnered in bi-lateral weapons smuggling interdictions, investigations, and intelligence-sharing activities; and
- in conjunction with Secure Communities, participated in outreach efforts to local law enforcement regarding ICE's transformative initiative to identify removable criminal aliens through use of biometric information submitted by local law enforcement to the FBI at time of arrest.

In addition to ongoing activities, OI plans to accomplish the following in FY 2009:

- coordinate with the Secure Communities initiative to identify removable criminal aliens and research the severity of the subject's criminal history for prioritization of enforcement actions;
- implement Operation Stamp Out in collaboration with CBP, U.S. Postal Inspection Service to combat the rise in the importation and distribution of counterfeit U.S. Postal money orders, stamps, and meter stamps into the United States;
- undertake an initiative to exchange information and conduct joint investigations with the PRC;
- in coordination with CBP, implement HQ-initiated Fraud Investigative Strike Team Operations to ten (10) ports/ICE Offices;
- expand the ability of the C3 to address the increases in digital data forensics volumes, while developing new tools and methods to manage and improve the analysis of derived digital information;
- continue the roll-out of Operation TECH Defense, an initiative intended to disrupt and deny suspect non-immigrants access to sensitive U.S. technologies through either immigration or export enforcement actions;
- reduce vulnerabilities in U.S. critical infrastructure, unlawful acquisition of export restricted technology, and unlawful entry of unauthorized non-immigrants into the United States; and,
- expand Operation Guardian to incorporate additional agency partners and increase the scope of targeting, interdiction, and investigation of the importation of substandard, tainted and counterfeit products being imported into the United States;
- initiate the Armas Cruzadas Surge Operation consisting of a three month enforcement period that will utilize all available assets to conduct enforcement activities which will maximize weapons interdictions. These activities include targeting of known weapons proliferation networks and conducting roving southbound operations with CBP at the ports of entry (POEs);

- migrate the LESC's Alien Criminal Response Information Management (ACRIME) System from a FoxPro database to an Oracle database to further enhance system backup capabilities, improve scalability and availability, and ensure compliance with ICE IT architecture standards; and
- award a contract to gather requirements and document efforts to develop a system that will determine threat by utilizing data provided directly in the immigration status request, national security threat lists, and criminal history information provided by the National Crime Information Center (NCIC).

In FY 2010, OI will:

- expand Operation Armas Cruzadas to incorporate additional agency partners and increase the scope of targeting, interdiction, and investigation of the smuggling of weapons from the United States into Mexico to reduce the flow of weapons trafficking through U.S. borders;
- reduce the nation's vulnerability to exploitation of nonimmigrant visas/programs by increasing compliance enforcement actions;
- coordinate with CBP to expand the "security bond" initiative targeting the illegal diversion of commercial goods transported globally via the in-bond process;
- continue export enforcement programs dedicated to specific dual-use and military technology;
- expand training and targeting of potential violators in support of Operation TECH DEFENSE through the identification of sensitive technologies, the manufacturers of those technologies and determining whether the companies are compliant with immigration and export regulations and laws;
- develop additional commercial fraud based initiatives in coordination with CBP that focus on revenue protection and other import violations. Initiatives would include investigations of antidumping evasion, misclassified textiles, forced labor products, and restricted endangered species importations;
- build on the successful partnerships that have been created through the IMAGE program with exemplary businesses within the area of immigration compliance;
- conduct critical infrastructure and national security violation investigations that involve smuggling or trafficking of aliens or some other form of worker exploitation;
- further enhance national security violation investigations that involve smuggling or trafficking of aliens or some other form of worker exploitation;
- upgrade information technology to enhance trade-based money laundering and commercial fraud investigations;
- partner with the Department of Labor, Department of State, Social Security Administration, U.S. Postal Service, USCIS, and other federal state and local agencies to address document and benefit fraud and vulnerabilities in the immigration process;
- continue IPR Center outreach efforts both nationally and internationally;
- disrupt, dismantle, and eliminate vulnerabilities within internet financial sectors and services before terrorists and other criminal organizations can exploit them;
- continue asset forfeiture investigations by identifying, seizing, and forfeiting illegal proceeds;
- use early threat assessment efforts to identify recurring data availability and data quality issues to expand information sources to include state criminal history archives, prison release date sources, and statistical inferences (e.g., probable custody release dates based on severity of pending charges, criminal history, and holding jurisdiction);
- continue to review current operations to ensure resources are targeted based on risk;

- continue to develop plans that will provide continuity for critical ICE enforcement activities currently conducted at the LESC; and
continue to support the activities, goals, and plans of Secure Communities working with Federal, State and local law enforcement agencies.

International Affairs - ICE received \$140.5 million for International activities in FY 2009:

- \$138.9 million for International budget activities within the Salaries and Expenses appropriation; and
- \$1.6 million in the Intelligence PPA within the Salaries and Expenses appropriation

The Office of International Affairs (OIA) conducts criminal investigations of legal violations involving contraband smuggling, immigration violations, money laundering, arms/technology trafficking, child sexual exploitation (child pornography and child sex tourism), and cyber crimes overseas. OIA Attaché offices also acquire law enforcement intelligence and information; support other Department of Homeland Security (DHS) missions (e.g., DHS security initiatives and trade programs such as the Container Security Initiative (CSI), and the Trade Transparency Units (TTUs)); conduct international training; and act as the in-country ICE liaison with foreign governments and Embassy Staff.

The Attachés are responsible for the enforcement of health and safety issues, including tainted or prohibited foodstuffs, unsafe toys, and consumer products that are imported into the United States. OIA coordinates with foreign counterparts to share information under the bilateral agreements and Customs Mutual Assistance Agreements (CMAAs). The Office of International Affairs refers foreign leads to domestic ICE investigation offices and handles ICE investigative leads. The Attachés investigate and enforce laws for other Federal agencies that have a Memorandum of Understanding with DHS and any other matters as directed by the Secretary of DHS. OIA Attachés serve as Senior DHS representatives in some overseas locations.

In addition to supporting the goals of DHS, OIA's activities also support the goals set forth by the Department of State in the areas of regional stability, counter-terrorism, homeland security, weapons of mass destruction, international crime and drugs, economic prosperity, and public diplomacy.

OIA also manages the Visa Security Program (VSP) which enhances national security by integrating law enforcement into the visa screening process, helping to identify not-yet-known criminal and/or terrorist applicants before they attempt to enter the United States. VSP enhances the security of visa issuance at high-risk overseas post by deploying highly skilled and experienced law enforcement officers who: conduct an in-depth investigative review of visa applications that raise security concerns; investigate concerns relating to visa fraud and other criminal activity which can exploit the visa system; and provide advice and training on security issues to Department of State (DOS) consular officers, thereby enhancing their ability to screen security risks as they adjudicate visas. VSP extends the U.S. borders overseas by preventing terrorists, criminals, and other ineligible applicants from receiving U.S. visas.

Key Accomplishments

In FY 2008, OIA:

- conducted joint operations to take down a Special Interest Alien (SIA) criminal facilitation network in Colombia, resulting in 10 high-profile U.S. extraditions and convictions;
- worked with the Department of Defense (DOD) to support efforts in the Global War Against Terrorism (GWAT) and worked to support operations in Kabul, Afghanistan and Baghdad, and Iraq in support of the U.S. Central Command (CENTCOM), U.S. Special Operations Command (SOCOM), and U.S. mission interests;
- expanded ICE OIA's presence at DOD Unified Combatant Commands (UCCs);
- established Senior ICE Representative positions at the Special Operations Command (SOCOM) and the European Command (EUCOM);
- expedited task force efforts to identify and investigate Politically Exposed Persons (PEPs) in coordination with foreign governments;
- expanded investigations impacting cross-border crime; dismantle multiple human and contraband smuggling organizations;
- assisted in the creation of additional Trade Transparency Units (TTUs) with interested foreign governments, and initiated vetted units in Mexico and Colombia;
- initiated a major financial investigation of alleged public corruption and money laundering offenses committed within the United States and Italy; ultimately resulting in the seizure and forfeiture of \$122.9 million;
- continued support and assistance to the U.S. Customs and Border Protection (CBP) Container Security Initiative (CSI) and all other DHS international programs;
- increased the number of formal partnerships with vetted foreign law enforcement units to eight. These units are located in Colombia, the Dominican Republic, Ecuador, El Salvador, Honduras, Mexico and Panama. The vetted unit in Colombia saw an increase in the number of seizure warrant applications by 471 percent, the number of assets seized by 994 percent, and the number of arrests for extradition by 280 percent;
- increased overseas deployment of visa security officers to three new posts: Casablanca, Morocco, Dhahran, Saudi Arabia, and Frankfurt, Germany;
- expanded ICE participation in the SAO process by establishing a pilot Security Advisory Opinion Unit (SAOU) within VSP;
- developed and refined the VSP/SAOU Tracking System with DOS - a web-based, globally accessible system that will provide the necessary analytical, reporting and data storage capabilities the program requires; and
- expanded VSP operations to 11 high-risk visa issuing posts where ICE Special Agents screened more than 748,500 visa applicants, conducted in-depth vetting of more than 311,000 applicants, recommended the refusal of 906 applicants, and generated 77 Watch List nominations.

In FY 2009, OIA will:

- initiate trans-national investigations in the areas of human trafficking, anti-smuggling, money laundering, child exploitation, fraud and sensitive technology investigations, as well as reduce threats associated with foreign nationals who pose a harm to the United States;
- open new Attaché offices in Ciudad Juarez, Hermosillo, and Monterrey, Mexico, and expand OIA's presence in Mexico to continue to work to combat the ongoing and increasing cross-border violence;
- deter, dismantle, and disrupt trans-national criminal organizations;
- in coordination with foreign governments, expedite task force efforts to identify and investigate "politically exposed persons" (PEPs);

- expand ICE OIA's presence at DOD Unified Combatant Commands (UCCs) prioritized where DOD and DHS/ICE priorities intersect;
- coordinate and provide logistical support for the Textile Production and Verification Team (TPVT) visits and investigate leads to determine transshipment violations;
- conduct bilateral and multilateral BCS operations;
- deploy three Assistant Attachés to overseas offices based on repatriation workload needs;
- provide eTD demonstrations, conduct negotiations, install the eTD application, and train employees of three candidate country governments;
- conduct one-on-one training to Parole Coordinators at each of the 26 domestic Special Agents in Charge offices to ensure the effective and efficient adjudication of significant public benefit paroles. SAC Parole Coordinators are the liaisons between each SAC Officer and the Law Enforcement Parole Branch (LEPB). The LEPB receives, vets, adjudicates, and coordinates all law enforcement paroles on behalf of DHS;
- expand the VSP by opening four new VSP offices in Amman, Jordan; Jakarta, Indonesia; Bogota, Columbia; and Sana'a, Yemen; and
- screen visa applicants, conduct in-depth vetting of applicants, recommend the refusal of applicants and generate Watch List nominations to prevent terrorists from entering the United States.

In FY 2010, OIA will:

- identify, disrupt and dismantle organizations involved in circumventing established laws and procedures designed to stem systemic vulnerabilities;
- continue to support goals set forth by DHS and the Department of State in the areas of regional stability, counter terrorism, homeland security, weapons of mass destruction, international crime and drugs, economic prosperity, and public diplomacy;
- increase working relationships and coordination with DOD elements and other United States and foreign partners on the GWAT, and combat transnational criminal organizations;
- in coordination with foreign governments, expedite task force efforts to identify and investigate "politically exposed persons" (PEPs);
- increase coordination with host governments to remove aliens from the United States and reduce the time to secure the removal overseas;
- continue to coordinate TPVT visits, international EXBS and BCS training, and ILEA training of foreign law enforcement officials in a wide range of investigative areas;
- continue to support ICE and other DHS law enforcement related programs overseas; and
- participate in efforts to establish formal TTUs;
- continue to expand VSP activities at high-risk overseas locations; and
- screen visa applicants, conduct in-depth vetting of applicants, recommend the refusal of applicants and generate Watch List nominations to prevent terrorists from entering the United States.

Detention and Removals Operations (DRO) – In FY 2009 ICE received \$3,138.4 million for DRO activities:

- \$2,627.5 million in the five Detention and Removal budget activities within S&E;
- \$150.0 million for Secure Communities;
- \$215.0 million for Legal Proceedings;
- \$5.0 million in Construction appropriation;
- \$60.0 million in Breached Bond Detention Fund account;

- \$54.7 million in the Immigration User Fee account; and
- \$26.2 million in the Automation account.

Custody Operations provides safe, secure, and humane conditions of detention for aliens taken into custody or arrested by ICE and other law enforcement entities, such as the Office of the Border Patrol, and state, county, and local law enforcement jurisdictions within the United States.

ICE secures bed space capacity in numerous detention facilities, and monitors these facilities for compliance with National Detention Standards. These standards specify the living conditions appropriate for detainees and ensure that detainees are treated with dignity and respect, and that they receive the best possible care while they are housed at a facility.

The National Fugitive Operations Program (NFOP) is responsible for reducing the fugitive alien population in the United States. At the end of FY 2008, there was an estimated 557,761 fugitive aliens at large in the United States, according to the DRO Deportable Alien Control System (DACS). As of March 31, 2009, there were 551,246 fugitive aliens-at-large. ICE works to reduce the fugitive alien population by using Fugitive Operations Teams (FOTs). Also, ICE created the Fugitive Operation Support Center (FOSC) to enhance the efficiency and effectiveness of the NFOP. The FOSC reviews and updates ICE fugitive alien cases in the Enforce Alien Removal Module (EARM) provides comprehensive leads to the FOTs, closes cases as appropriate, and facilitates the overall efforts to arrest fugitives. As a component of the NFOP, the goal established for the FOSC is to eliminate 26,000 cases from the fugitive population each fiscal year.

The Criminal Alien Program (CAP) identifies criminal aliens incarcerated in federal, state, and local facilities and prepares them for immigration proceedings, ensuring that they are not released into the community. The identification and processing of incarcerated criminal aliens prior to their release into DRO's custody reduces the overall cost and burden to the federal government. CAP identifies criminal aliens through interviews at the facilities, matches those criminal aliens with a list of removal orders, and prepares to them for removal out of the country as soon as their criminal sentence is over. The program ensures the safety of our citizens as well as the national security of the United States by removing dangerous, often recidivist, criminal aliens before they engage in additional criminal activity.

National security and public safety are ICE's first priorities. To that end, ICE detains all aliens who pose a threat to community safety or national security, and those ICE is required to detain under the Nation's immigration laws. The Alternatives to Detention (ATD) Program was created to enable ICE to maintain current detention levels, while monitoring aliens who are likely to comply with immigration proceedings, without detention. ATD is comprised of two primary programs: Enhanced Supervision/Reporting (ESR) Program, and the Intensive Supervision Appearance Program (ISAP). Also funded within the ATD program is a separate Bond Management Unit.

The Transportation and Removal Program provides safe and secure transportation of aliens in ICE custody. It also prepares for and conducts removals from the United States, as ordered by an immigration judge. The Removal Management Division formulates all DRO transportation and removal policy, conducts transportation and removal planning, defines and projects transportation and removal requirements, and oversees and supports Field Office Directors' (FODs) execution of transportation and removal funding. The division carries out its responsibilities through four supporting units: (1) Travel Document Unit; (2) Removal Coordination Unit; (3) Flight Operations Unit located in Kansas City, Missouri; and (4) Case Management Unit, including oversight of the DRO Cuban Unit and Post Order Custody Review (POCR) operations.

Key Accomplishments/Planned Accomplishments

In FY 2008, ICE realized many successes in the different Detention and Removal programs.

In FY 2008, DRO Custody Operations implemented several technology-driven resources to achieve greater program management efficiency. These include:

- The development of a customized bed space forecast model based upon transportation routes, arrest forecasts, and historical length of detention data and case type;
- The development of a tracking system to track acquisition and procurement information to better align ICE components and easily track key projects. Under this new system, OAQ/DPAU stakeholders meet weekly to discuss acquisition and procurement projects, improving coordination between ICE Office of Acquisition Management and ICE DRO DMD.
- Institution of Special Response Teams (SRT) for field offices with dedicated Service Processing Centers (SPC) to ensure that each SPC has fully, operational well-trained SRT personnel. SRT have proven to be beneficial in responding to critical incidents, which poses a threat to the safety and security of the public, employees, detainees, or the integrity of the physical security at a facility. Additionally, SRTs can be used as a resource for law enforcement in support of national emergencies and security events.
- Staffing Assessment/Credential Audit: This is both an accomplishment and an initiative. The DRO/Division of Immigration Health Services (DIHS) has made significant progress in hiring staff and decreasing existing vacancies at ICE site facilities. DIHS also conducted an internal desk audit on credentialing, which determined that all personnel were licensed in all facilities. This is a significant accomplishment because it reduced the risk to DIHS and ICE of adverse medical events and/or better responses to significant medical events; and
- Staffing Fulfillment: The initiative to achieve full staffing is a basic and important component to DIHS. DIHS is in the process of executing a hiring plan, which includes realistic priorities and timelines that span a calendar year. This will allow DIHS to be able to accept future commitments without sacrificing quality healthcare and service.

In FY 2008, Fugitive Operations accomplished the following:

- There has been an approximately twelve percent increase in the total number of arrests made by ICE Fugitive Operations teams as compared to FY 2007;
- As of September 30, 2008, ICE's fugitive case backlog was 557,761 fugitive aliens, which is 36,995 fewer fugitives than the population recorded on October 1, 2007;
- By the end of FY 2008, 99 of the 104 funded Fugitive Operations teams (FOTs) were operational, conducting enforcement activities across the United States. Presently, all 24 DRO Field Offices have at least one operational FOT;
- In FY 2008, 25,938 fugitive aliens were arrested and another 8,219 non-fugitive aliens were arrested during FY 2008;
- Of the ICE fugitives arrested in FY 2008, 5,652 were criminal aliens. Of the non-fugitive arrests, 2,276 were criminal aliens; and
- In FY 2008, the FOOSC resolved 55,418 fugitive cases through various means assisting in the reduction of the fugitive backlog.

In FY 2008, the Criminal Alien Program saw the following results:

- CAP issued over 210,000 charging documents. This exceeds the FY 2007 total of 164,296;

- 6,988 cases were presented to the U.S. Attorney's office for criminal prosecution. Of those, 5,374 cases were accepted;
- ICE strategically allocated 300 CAP funded positions (30 CAP teams) nationwide based on the risk based assessment;
- Deployed over 90 Video Teleconferencing units including eight Bureau of Prison sites; and
- CAP assisted in the deployment and expansion of Interoperability under the Secure Communities plan in 2008. The Secure Communities plan was approved by ICE leadership and is currently being implemented as a multi-phased, risk-based approach to identify and remove all criminal aliens amenable to removal in jails and prisons throughout the United States. As the operational partner of Secure Communities, CAP provides the required manpower to ensure successful operation of Interoperability.

In FY 2008, the Alternatives to Detention Program made the following progress:

- ATD increased its full-service participant slots by 667 percent; ISAP's participant slots were expanded from 1,800 to 5,000 and ESR added an additional 7,000;
- ESR and ISAP enrollments increased by 447 percent from the previous fiscal year at the same point in time (1,747 to 7,802);
- Implemented the Electronic Verification Information Process (eVIP). eVIP is a partnership between DRO and the Department of State's (DOS) Post Liaison Division's Visa Office, to expedite receipt of electronic alien departure verification information. The eVIP notice serves as evidence of departure by an alien from the United States. DOS foreign offices scan and electronically transmit departure verification documents directly to the BMU at VD-Bond-Verifications@dhs.gov;
- Experienced tremendous success with its Backlogged Bond Action Team (BBAT). This team assists field offices with backlogged bond cases. The team's objective is to update all backlogged bond cases so each field office has an up-to-date bond docket. In FY 2008, the BBAT has generated over \$30,563,105 dollars in Breached Bonds. These funds once deposited into the Breached Bond Detention Fund are utilized to fund detention beds. In 2008, BBAT has breached 7,531 bonds and canceled 2,072 bonds. The cancellations and breaches result in a savings of interest that is paid on the bonds by ICE; and
- The BMU developed and implemented Uniform Bond Management Guidance. This guidance was distributed to field components in July of 2008 and provides important updated bond policies, procedures, and information.

In FY 2008, the Transportation and Removal Program did the following:

- DRO continued to engage other government agencies and embassies to accelerate travel documents issuance for aliens pending removal from the United States. DRO continued to develop and expand the eTD system and worked to encourage other foreign governments to use the system; the FOU operated seven charters outside of the Americas returning 495 alien passengers to Albania, Cambodia, Egypt, Indonesia, Jordan, Morocco, Nigeria, Pakistan, Philippines, Palestinian Authority, and Liberia while also supporting the policies of "catch and return" and increased interior enforcement operations. The FOU moved nearly 200,000 aliens, domestic and foreign; by increasing the number of ICE chartered aircraft and simultaneously augmenting JPATS aircraft.
- DRO implemented the Case Management Unit (CMU). The CMU implemented case management efficiencies, such as weekly and monthly reporting requirements and expanded field office site visits, to ensure field office compliance with regulations and procedures. The

CMU successfully developed and ensured successful implementation of the November 2007 policy entitled Parole of Aliens Found to have a ‘Credible Fear’ of Persecution or Torture.

- DRO implemented the “Weekly Inventory List of Detained Cases” (WILDC) report in March. Through the first quarter of FY 2009, CMU has reviewed 26,068 detained cases through the WILDC, resulting in the identification of deficient cases in EARM. DRO has also implemented the monthly report, which replaces the quarterly report for better quality control.

In FY 2009, DRO will continue to enhance its efforts and capitalize on increasing efficiencies and successes and will:

- Continue to support the ending “catch and release” at the northern and southern U.S. borders;
- Continue to support state and local jurisdictions through the provision of detention space for detainees arrested by municipal law enforcement jurisdictions and brought to DRO custody;
- Continue its detention inspection program;
- Sustain American Correctional Association (ACA) accreditation for all DRO-operated facilities; and
- Support Secure Communities initiatives to identify and remove all criminal aliens amenable to removal in jails and prisons throughout the United States.

In FY 2009, Fugitive Operations will:

- Continue to conduct targeted fugitive alien operations to reduce the fugitive alien backlog as directed by Congress. Fugitive alien enforcement operations conducted by 104 FOTs will primarily target criminal aliens and those found to be a threat to community safety or national security;
- Through the use of technology and partnerships with law enforcement agencies, the FOSC will continue to enhance procedures to process and analyze EARM fugitive data;
- The FOSC Resolution Unit will continue to develop and augment procedures in an effort to analyze the nature and characteristics of the fugitive alien population. This effort will aid in reducing the reported number of fugitives by reconciling the records of those fugitive aliens who have left the country, adjusted their status, immigrated or were discovered incarcerated;
- As ICE’s focus on criminal alien identification and removal intensifies, work to ensure NFOP can support the Secure Communities Program’s targeting criminal aliens and fugitives; and
- The FOSC Leads Unit will continue to enhance and incorporate technologies such as the analysis of government and commercial databases to prepare leads on fugitive aliens for transmission to the field.

In FY 2009, the Criminal Alien Program will:

- Continue to strategically allocate seven CAP teams nationwide.
- Continue the deployment of VTC systems to CAP programs throughout the country.
- Work to increase the number of charging documents issued to individuals that are amenable to removal from the United States.
- Increase the number of criminal prosecutions presented to the U.S. Attorney’s Office.

In FY 2009, the Alternatives to Detention Program:

- Solicited a new contract¹, which should be awarded by July of 2009². The new contract will be similar to the current ISAP contract and will allow for staggered opening of ISAP programs nationwide as funding permits. The intention is to award the contract with initial offices beginning operations by September 2009. Expansion will continue into FY 2010 as dictated in the contract to reach coverage of all field and main sub-offices as funding permits during that year. The goal of this expansion is the successful transition of all current ESR, EM, and ISAP participant population to the new contract before September 20, 2009.
- Will continue the design and deployment of the eBONDS System. In FY 2008, BMU began working closely with OCIO and OAQ in aggressively pursuing the design, build, and deployment of the eBONDS Project. The eBonds application supports the Department of Homeland Security (DHS) bond management process and the Bond Management Information System (BMIS Web). The basic function of eBonds is to:
 - Reduce data entry costs by enabling customers to begin the bond process by providing the capability for surety companies to complete the I-352 Immigration Bond form using web-based technology; Provide the capability to analyze and report on bond metrics associated with bond management and reduce the time spent on manually fulfilling report requests from field users; and
 - Develop a workflow dashboard for surety companies to view the status of active and historical bond processing.
- Provide the ability to enroll and update:
 - User information – names, roles, permissions, and associated digital signatures – for use by a third party Surety;
 - Surety contact information, including – managing agent, tax identification number, address, and telephone number; and
 - Generate a PDF bond form documentation package, complete with a power of attorney form, I-352, and digital signature capability.

In FY 2009, Transportation and Removals will:

- Employ four ICE charter aircraft operating weekdays and Saturdays from San Antonio, Texas, (two aircraft) and Alexandria, Louisiana and Mesa, Arizona (one aircraft each) to support foreign removals;
- Use the San Antonio, Texas ICE chartered aircraft as a long-range platform capable of supporting special charter missions to South America, Eastern Europe, Africa, Middle East and Pacific Rim;
- Use JPATS contract aircraft to support shorter-range domestic movements with four airplanes—two each located in Alexandria, Louisiana and Phoenix, Arizona; and
- Place IEAs and Division of Immigration Health Services (DIHS) medical personnel on all DRO-managed aircraft, both foreign and domestic.

In FY 2010, Custody Operations will:

- Continue to support the ending “catch and release” at the northern and southern U.S. borders;
- Continue to support state and local jurisdictions through the provision of detention space for detainees arrested by municipal law enforcement jurisdictions and brought to DRO custody;
- Continue to support any additional bed space requirements generated by Secure Communities;

1 The contract will be awarded through the means of “full and open” competition as required by the Competition in Contracting Act (CICA), which was enacted as Title VII of the Deficit Reduction Act of 1984, Public Law 98-369.

2 The ISAP contract is set to expire on June 20, 2009. The final option year was exercised on June 21, 2008.

- As ICE's focus on criminal alien identification and removal intensifies, work to ensure current resources can strategically be focused on those efforts as well as specific SC/CIRCA appropriations;
- Create the Bed Space Tracking and Transportation (BST&T) system to increase the process efficiency of locating available beds and transporting detainees;
- Continue its detention inspection program; and
- Sustain American Correctional Association (ACA) accreditation for all DRO-operated facilities.

In FY 2010, the Criminal Alien Program will:

- Continue to increase efforts to identify criminal aliens incarcerated in federal, state, and local facilities, and the additional personnel will help to ensure that these criminals are not released into the community while preparing for immigration proceedings;
- Continue to increase the number of criminal prosecutions of violent recidivist criminal aliens;
- Continue to further the advancement of the Secure Communities Plan within the law enforcement community across the United States;
- As ICE's focus on criminal alien identification and removal intensifies, work to ensure current resources can strategically be focused on those efforts as well as specific SC/CIRCA appropriations; and
- Develop new advancements and best practices to ensure full screenings of institutional facilities.

In FY 2010, Fugitive Operations will:

- Continue to conduct targeted fugitive alien operations to reduce the fugitive alien backlog as directed by Congress. Fugitive alien enforcement operations conducted by 104 FOTs will primarily target criminal aliens and those found to be a threat to community safety or national security;
- Through the use of technology and partnerships with law enforcement agencies, the FOSC will continue to enhance procedures to process and analyze EARM fugitive data;
- The FOSC Resolution Unit will continue to develop and augment procedures in an effort to analyze the nature and characteristics of the fugitive alien population. This effort will aid in reducing the reported number of fugitives by reconciling the records of those fugitive aliens who have left the country, adjusted their status, immigrated or were discovered incarcerated;
- As ICE's focus on criminal alien identification and removal intensifies, work to ensure NFOP can support the Secure Communities Program's targeting criminal aliens and fugitives; and
- The FOSC Leads Unit will continue to enhance and incorporate technologies such as the analysis of government and commercial databases to prepare leads on fugitive aliens for transmission to the field.

In FY 2010, Alternatives to Detention will:

- Conduct a feasibility study to implement "Kiosk-Type" technology nationwide. This initiative will assist the field office with the enormous task of supervising non-removable aliens who do not pose a risk to the community, by reducing face-to-face meetings with aliens to possibly save many man-hours to be used in other critical DRO mission areas; and
- Continue with the staggered opening of ISAP programs nationwide with the goal to increase coverage at 82 new locations and increase the participant capacity to 24,000.

In FY 2010, the Transportation and Removal Program will:

- Continue to expand CMU activities; and
- Develop a strategic air plan for DRO flight operations based on a mission needs statement, operational requirements document, concept of operations plan, and an acquisition strategy that supports increased enforcement activity, decreased detention time, and increased removal operations.

Automation and Modernization – In FY 2008, the ICE Automation Modernization account was expanded to include Atlas (IT Infrastructure and Tactical Communications) as well as the following information technology (IT) transformational initiatives: Detention and Removal Operations Modernization (DROM) and TECS Modernization. In FY 2009, the Automation Modernization account was further expanded to include the Modernization of Financial System project. In FY 2010, the Automation Modernization account will again expand to include other IT transformational initiatives: ICE Law Enforcement Systems Modernization (which includes the TECS Modernization project) and Electronic Health Record (eHR). Aligning all IT modernization initiatives under the Automation Modernization appropriation will help ICE standardize IT investment management and delivery.

The Automation Modernization account will allow ICE to improve information sharing with the Department of Homeland Security (DHS) and among partner organizations, strengthen information availability, improve detainee tracking and preparation of travel documents, provide a fully secure IT environment, and enhance financial management and audit practices.

Key Accomplishments/Planned Accomplishments

FY 2008 – Projected Accomplishments

Atlas –IT Infrastructure -:

- Completed 4 Atlas sub-projects (Web Farm Upgrade, OCONUS Switch Upgrade, Streaming Video, and Hardware Refresh);
- Integrated 16 of 22 legacy systems into a single data warehouse, allowing ICE and its law enforcement partners to more easily share investigative and enforcement information;
- Worked with DHS OCIO and its integration partner to provide an ICE IT infrastructure footprint for use in the development of a planning and integration plan for the DHS Data Centers;
- Delivered the initial plan on the consolidation of DHS Data Centers;
- Replaced dated communications electronics at 51 foreign sites;
- Deployed streaming video to 70 major ICE offices nationwide;
- Deployed 2,582 printers and 12,941 desktop computers, completing an ICE-wide replacement of 18,314 desktops; and
- Securely retired and disposed of 24,530 legacy IT hardware items from ICE offices;
- Established a Single Sign-On framework for all ICE applications, including legacy mainframe systems.

DRO Modernization

- Expanded the Electronic Travel Document (eTD) system to be capable of processing up to 25 countries targeted to participate with the eTD program, as well as created travel document request packages in the system for all non-participating countries;

- Developed and deployed eTD application to three of the 25 targeted countries (El Salvador, Guatemala, and Honduras), significantly reducing the average time necessary to process travel documents;
- Deployed ENFORCE Alien Removals Module (EARM) to replace the Deportable Alien Control System (DACS), and retired DACS as the DRO system of record;
- Expanded data sharing and integration with external agencies with the deployment of EARM and implemented an enterprise reporting system for the DRO Executive Information Unit;
- Released Request for Quotations (RFQs) for Bed Space, Transportation and Tracking (BST&T) contract(s); and

Mobile IDENT/ENFORCE

:

- Developed portable IDENT to positively identify aliens, which is critical to the success of SBI interior enforcement initiatives and Temporary Workers Program (TWP) deployment;
- Upgraded services (including design, development, and deployment) of new and enhanced IT systems to build out the ENFORCE infrastructure necessary to support multiple law enforcement communities and initiatives (such as SBI), and facilitate integration efforts (such as the one between the Law Enforcement Service Center and the ICE Office of Investigations); and
- Processed aliens outside established ICE IDENT processing facilities, including jails, work sites, courts, and other locations requiring mobile capabilities.

TECS Modernization

- ICE expended \$2.0 million to upgrade services (including design, development, and deployment) of new and enhanced IT systems that were needed to build out the ENFORCE infrastructure necessary to support multiple law enforcement communities; and facilitate integration efforts such as the one between the Law Enforcement Service Center (LESC) and the ICE Office of Investigations.

FY 2009 – Projected Accomplishments

Modernization of Financial System)

- Develop ICE requirements in support of the DHS Transformation and System Consolidation (TASC) initiative for the following:
 - user access controls with DHS Enterprise Solution;
 - transitioning from client-server to web-based access by users;
 - financial reporting (both for migration of existing reports, development of new ones); and
 - user testing of the DHS Enterprise Solution.
- Conduct a GAP analysis showing discrepancy between current system processing and the DHS Enterprise Solution, and propose resolution of discrepancies;
- Develop detailed requirements to address functionality within the current Federal Financial Management System (FFMS) that will either be migrated to, or require customization within, the DHS Enterprise Solution;
- Determine interface requirements with various Consumer off-the Shelf applications that comprise the DHS Shared Baseline; and
- Acquire ICE FedTraveler Services to support standardizing electronic travel (e-Travel) processing throughout DHS.

DROM

- Implement biometric finger scanning with a combination of fixed and mobile devices to positively identify and track detainees remotely, improve officer safety, and enhance mission effectiveness;
- Track detainees inside ICE managed facilities through the use of Radio Frequency Identification (RFID) technology;
- Develop the Detainee Location Tracking (DLT) and Central Reservation System (CRS) modules of the Bed Space, Transportation, and Tracking (BST&T) Management System;
- Expand ICE Data Warehouse data capacity and reporting capability to support DRO, and expand web services to allow the eTD application to communicate with other internal or external applications;
- Expand EARM to include the ENFORCE Apprehension and Detention Module, Fugitive Case Management System (FCMS) and Alternatives to Detention Program (ATDP);
- Complete planning and requirements definition for a DROM Document Management System and the Electronic Detainee Visitor Log (eVisitor) application;

TECS Modernization

- This investment includes the following:
 - Perform Project Management Office support services (\$2.0M)
 - Gather and define requirements (\$1.5M)
 - Establish development environment (\$1.7M)
 - Perform design and development activities (\$8.0M)
 - Develop high-level TECS architecture and design (\$2.0M)
 - Provide Enterprise Data Warehouse and decision support services (.3M)
 - Perform Independent Verification and Validation services (.2M)
- Establish an initial planning capability by securing project management office support to manage requirements and develop the business case;
- Initiate and utilize results of business requirements analysis to conduct a formal Alternatives Analysis and lay down the foundation for program execution;
- Develop TECS architecture and ICE high-level design, and establish an investigative case management development, integration and testing environment;
- Develop and assess the alignment of the program to the DHS Enterprise Architecture;
- Develop the Mission Needs Statement; and
- Award a contract for TECS Modernization design and development.

Atlas – IT Infrastructure and Tactical Communications

- Acquire equipment for mobile communications system and hub upgrades, and acquire Project 25 (P25) compliant tactical communications equipment to modernize tactical communications systems in the first of 20 ICE regions (Georgia, North and South Carolina);
- Incorporate two additional data collection systems into one database, allowing ICE and its law enforcement partners to more easily share information;
- Deploy a framework to access 20 different ICE IT applications with a single sign-on;
- Analyze data center alternatives for lower cost options (to be facilitated by DHS);
- Replace the primary web hosting platform for DHS data centers, and build IT infrastructure to provide seamless communications across heterogeneous platforms;
- Upgrade obsolete and failing file & print servers at 100 ICE sites;
- Institute enterprise audit log management for all major ICE systems;
- Acquire, integrate, and deploy one mobile law enforcement communications system and one wireless communications kit for ICE emergency/crisis response and special operations; and

FY 2010 - Projected Accomplishments

DROM

- Transition EARM into Full Operating Capability (FOC) status;
- Conduct operational analysis for EARM;
- Deploy BST&T DLT and CRS Modules, and achieve Initial Operating Capability (IOC) status;
- Begin development and integration of the final BST&T Module, the Transportation Management System (TMS);
- Continue expanding the eTD system as Memoranda of Understanding (MOUs) are executed for target countries to use eTD for issuing electronic travel documents; and
- Award development contracts for the DRO Document Management System and eVisitor Log.

Electronic Health Records (eHR) System

- Award a contract for comprehensive certified EHR including several subsystems;
- Configure and develop interfaces, complete testing and beta testing, and initiate deployment of a eHR application to support ICE medical operations at DIHS-staffed detention facilities; and
- Initiate development and deployment of appropriate eHR capability to over 350 Intergovernmental Service Agreement (IGSA) and Contract Detention Facilities (CDF) housing ICE detainees.

ICE Law Enforcement Systems Modernization

- TECS Modernization – The completion the requirements definition phase and begin the design and development phase of specific projects. A development environment will be created to support the development efforts.
- Mobile IDENT – The development of the Mobil IDENT proto-type booking service and pilot the proto-type at three SAC offices for user acceptance and GAP analysis.
- ICEPIC - The hardware upgrade and migration to the enterprise data center along with the creation of the COOP for 24-7 support. The support of the national rollout to all SAC and RAC offices.
- ICE ACCESS - This initiative will provide requirements gathering with local and state agencies and the U.S. Department of Justice for gang information sharing and data integration. A design strategy will be delivered to plan for the design and development of an integrated solution for the following year.
- Law Enforcement Information Systems Sharing – The completion enhancements for the sharing of images and photos and the continue rollout to five additional information sharing partners.
- Border Enforcement Security Task (BEST) Force Expansion – This initiative accomplishments will include gathering and analysis of the requirements and design for the modernization of BEST information technology.
- Intelligence Support –The requirements gathering and design for moving the Data Analysis & Research for Trade Transparency (DARTT) system into the enterprise environment. The requirements and design for the modernization of Cyber Crimes Center systems and National Child Victim Identification System (NCVIS).
- International Affairs Modernization –The requirements gathering and design of the OIA systems including Parole Case Tracking System (PCTS), Visa Security System (VSP), World Customs Organization Information Sharing (WCO) and Human Resources Dashboard (HRD).
- Forensic Document Lab –The requirements and design for the modernization of the information technology infrastructure and moving into the enterprise environment.

Atlas IT Infrastructure

- Continue modernizing an additional 290 ICE sites with new file & print servers;

- Complete the integration of 22 data collection systems into one database, allowing ICE and its law enforcement partners to more easily share information;
- Deploy immediate security solutions to resolve immediate security vulnerabilities;
- Implement vulnerability scanning tools to quickly detect and respond to IT security breaches; and
- Oversee the migration of ICE IT assets from the Department of Justice Data Centers to the DHS Data Centers.

C. Resources Requested and Performance Impact

ICE’s total budget request for FY 2010 is \$5,762,800,000, which includes the Salaries and Expenses, Automation, and Construction accounts and Breached Bond, User Fee, and SEVP fee authority.

Enhancement Requests and Planned Achievements

ICE requests \$5,458,000,000 in discretionary resources including program enhancements in the following key areas:

- **Southwest Border Enforcement\$70.0M (176 FTE)**
This cross-program initiative is intended to increase national security by expanding activities to control our borders. This request includes funding to increase enforcement staffing, improve cooperative efforts with the Mexican government, and establish another Border Violence Intelligence Cell. At the highest level, this initiative helps prevent the movement of people, money, and materials that could harm the Nation and its people across the Southwest border.
- **Co-Location of ICE Facilities\$92.0M (13 FTE)**
This request funds the second year of the ICE-wide co-location strategy to consolidate ICE personnel and operations scattered across multiple buildings in select metropolitan areas with the intended result being improved operational efficiencies and long-term cost savings.
- **Secure Communities\$39.1M (46 FTE)** This program aims to remove all Level 1 criminal aliens (those convicted of violent felonies and major drug crimes) from the United States. In order to achieve this goal, ICE requests funds to hire 80 new enforcement personnel who will identify suspected criminal aliens, determine subjects’ alien status, prioritize ICE enforcement actions against the highest threat removable criminal aliens, assist in the removal of apprehended criminal aliens, and to continue ongoing information technology investments that will improve efficiencies within ICE criminal alien identification, prioritization and removal processes.
- **Detention Facilities Inspection Group\$12.4M (25 FTE)**
The program increase will allow ICE to expand the number and scope of independent inspections on ICE detention facilities and will improve the welfare, safety, and living conditions of ICE detainees and the safety of ICE employees.
- **State and Local Law Enforcement Support.....\$11.6M (15 FTE)**

This request will provide funding for the Office of State and Local Coordination (OSLC) to oversee outreach activities for the ICE ACCESS programs. Funding allows for permanent staff for OSLC, continuation of ICE ACCESS, training and information technology assistance for participants in the ICE ACCESS programs, and detention bedspace resulting from enforcement.

- **Data Center Migration.....\$33.9 M (4 FTE)**
This request is targeted at migrating data center operations, active online data, and other IT assets from two Department of Justice (DOJ) data centers and multiple processing centers to two new DHS data centers while ensuring near continuous operations of mission-critical IT systems through contingency infrastructure, planning, and testing, to provide systems and data integrity that align with the DHS goal of ensuring that two new DHS Data Centers support fully redundant IT systems.
- **Atlas Infrastructure (\$9.0 million):** The request for Atlas Infrastructure will be used to plan, schedule develop, and implement the replacement of many legacy ICE local area networks; continue modernizing an additional 290 ICE sites with new file & print servers; complete the integration of 22 data collection systems into one database; and oversee the migration of ICE IT assets from the Department of Justice Data Centers to the DHS Data Centers.
- **DRO Modernization (\$22.0 million):** This request will be used to develop and deploy version one of the Detainee Location Tracking Module as part of the Bed Space and Transportation Management System, expand the ICE Data warehouse data capacity and reporting capability to support the DRO IT data, and expand Web Services to allow the Electronic Travel Document application to communicate with other internal or external applications.
- **Law Enforcement Systems Modernization (\$40.0 million):** This request funds a number of case management (including the TECS Modernization project), information sharing, and operational support service projects that will improve access to law enforcement information.
- **eHR (\$20.4 million):** This request will address the Division of Immigration Health Services infrastructure deficiencies and begin the design and development of an electronic health records system, which will allow real-time reporting of detainees' medical information.

D. Performance Highlights, Resources, and Alignment to Strategic Goals

Program: Automation Modernization						
Performance Goal: Provide timely delivery of mission IT services in direct support of the ICE mission, goals, objectives, and programs.						
DHS strategic objectives supported and % allocation of activities: 1.2 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	None	None	\$15,000	\$30,700	\$57,000	\$234,700
FTE	None	None	7	7	11	40

Performance Plan Measures

Measure: Percent of field offices with access to secure tactical communications						
Description of Measure: In the Atlas Tactical Communications project, ICE Field Directors and Special Agents operating from 17 Field Offices will receive new industry standard two - way radios for federal, state, and local law enforcement and public safety. Each of these radios will improve agent and officer safety and mission effectiveness by enabling them to speak to other federal, state, and local law enforcement officers and first responders with the simple touch of a button while participating in enforcement and emergency operations. Therefore, the deployment of each of these radios provides an accurate measure of progress towards providing planned operational benefits.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	Baseline	6%	41%
Actual:	None	None	None	None	N/A	N/A

Measure: Percent increase in ICE investigative and enforcement systems incorporated into Decision Support Systems						
Description of Measure: This measure indicates the extent which ICE law enforcement personnel have access to and can retrieve enforcement information from a single integrated - source of enforcement data. Integrated information will enable users to find relevant and timely information from the best sources, along with improving information search and indexing capabilities.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	8%	20%	36%	80%	90%
Actual:	None	22%	22%	73%	N/A	N/A

Measure: Percent of modernized information technology services available to users						
Description of Measure: Measures percent of progress toward IT modernization available to ICE users (e.g. E - mail services, desktop equipment refresh, and DHS Wide Area Network), which encompasses program modernization activities spanning seven years. This outcome is aligned directly with Atlas stated goals: establish a standard IT environment across ICE by ensuring conformance to the Homeland Security Enterprise Architecture (EA), which will facilitate communication; promote information sharing and collaboration by enabling ICE to increase resource sharing capabilities between ICE users and program areas throughout ICE and the DHS community; and enhance workforce productivity by building a technological foundation to empower the ICE staff with the tools necessary to achieve mission requirements.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	40%	59%	78%
Actual:	None	None	None	40%	N/A	N/A

Additional Measures

Measure: Percent of ICE investigative and enforcement personnel with access to Decision Support Systems.						
Description of Measure: At present, ICE personnel have to query a large number of databases to gain access to the law enforcement information they need. This measure will serve as an indicator of the attainment of the goal to increase workforce productivity by giving ICE personnel easy, complete access to ICE consolidated enforcement data. This measure will also help to verify, through increased usage, that the consolidated data mart Decision Support System is meeting the requirements of the ICE investigative and enforcement communities.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	63%	100%	100%
Actual:	None	None	None	80%	N/A	N/A

Measure: Percent of ICE personnel using the DHS standard Microsoft Outlook E-mail platform.						
Description of Measure: The Common Computing Environment E-mail Migration project segment enhances the ICE workforce productivity by building a technology foundation to empower ICE staff with the tools necessary to achieve mission requirements. This measure strengthens ICE's ability to communicate more effectively both internally and externally; helps to standardize interoperability with ICE enterprise applications, desktop programs, and E-mail archives for legacy E-mail systems; and helps to ensure that overall O&M costs are reduced by eliminating multiple vendor support for separate platforms and by eliminating unsupported vendor E-mail products.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	100%	100%	100%
Actual:	None	None	None	100%	N/A	N/A

Measure: Percent of ICE agents, officers, and technical staff trained to use tactical communication systems.						
Description of Measure: In the Atlas Tactical Communications project, an in-depth training course will be delivered to all ICE agents and officers using the new industry standard two-way radios for federal, state, and local law enforcement and public safety. The course will also be delivered to the technical staff that must maintain the new radios and associated tactical wireless communications infrastructure sites. The training course will include manuals, quick reference cards, and wireless coverage charts to enable the users to make optimum use of the new system. Historically, the successes of new system deployments have been increased with effective training. Therefore, the percent of agents, officers, and technical staff trained to use tactical communications provides an accurate measure of progress towards providing planned operational benefits.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	100%	100%	100%

Actual:	None	None	None	100%	N/A	N/A
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Program: Detention and Removal Operations						
Performance Goal: Remove from the United States all aliens with a final order of removal.						
DHS strategic objectives supported and % allocation of activities: 1.2 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$1,585,739	\$1,749,457	\$2,525,090	\$2,758,701	\$3,105,339	\$3,331,290
FTE	4,798	5,140	6,735	7,795	8,361	8,551

Performance Plan Measures

Measure: Number of charging documents issued.						
Description of Measure: The Criminal Alien Program measures its performance by the number of charging documents issued. A charging document is the written instrument prepared to initiate removal proceedings on an alien.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	200,000	227,000	254,000
Actual:	None	None	None	221,085	N/A	N/A

Measure: Number of illegal aliens removed from the United States						
Description of Measure: This measure represents the total number of illegal aliens removed from the United States by the Detention and Removal program during the fiscal year. An illegal alien is someone who is in the United States in violation of immigration laws. Compulsory and confirmed movement of an inadmissible or deportable alien out of the United States based on an order of removal constitutes an alien removed.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	140,130	154,143	None	342,251	345,674
Actual:	None	185,944	226,677	245,546	N/A	N/A

Measure: Percent of detention facilities in compliance with the National Detention Standards						
Description of Measure: This measure gauges the percent of detention facilities used by the Detention and Removal Operations program that are in compliance with National Detention Standards. The National Detention Standards were originally issued in September 2000 to facilitate consistent conditions of confinement, access to legal representation, and safe and secure operations across the immigration detention system. The standards have been updated into a performance based format known as the Performance Based National Detention Standards. Through an aggressive inspections program, the program ensures facilities utilized to detain aliens in immigration proceedings or awaiting removal to their countries do so in accordance with the Performance Based National Detention Standards. Compliance with the standards provides the public with assurance that detainees in the program's custody are detained in safe and secure environment and under appropriate conditions of confinement.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	None	100%	100%

Actual:	None	None	None	79%	N/A	N/A
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Measure: Percent of illegal aliens removed from the U.S. based on the number of illegal aliens processed for immigration law violations during the same period						
Description of Measure: This measure reflects the percent of illegal aliens removed from the U.S. during a fiscal year compared to the number of illegal aliens processed for immigration law violations during the same time period. The term "removal" includes removals from the U.S. under all types of orders, including orders by immigration judges, expedited and voluntary removals, and stipulated removals, as well as returns of immigration violators to their country of origin prior to or as a result of the waiving of a hearing before an immigration judge. This measure reflects the impact of program activities to ensure those in the country illegally do not remain.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	None	68%	69%
Actual:	None	None	None	None	N/A	N/A

Additional Measures

Measure: Average cost to supervise aliens in the Intensive Supervision Appearance Program.						
Description of Measure: This measure indicates the average cost to supervise aliens in the Intensive Supervision Appearance Program (ISAP). The cost is determined by multiplying the average length of time aliens participate in ISAP by the cost per day to supervise each of those aliens.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	\$5,800	\$4,960	\$4,120
Actual:	None	None	None	\$4,680	N/A	N/A

Program: International Affairs						
Performance Goal: Reduce international criminal and terrorist activities by partnering with foreign and domestic counterparts.						
DHS strategic objectives supported and % allocation of activities: 1.3 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$415,295	\$139,719	\$140,791	\$107,551	\$141,000	\$203,792
FTE	2,343	391	441	441	445	517

Performance Plan Measures

Measure: Number of visa application requests denied due to recommendations from the Visa Security Program.						
Description of Measure: The Visa Security Program has three primary mission objectives to enhance national security and public safety; 1) by extending the border of the U.S. overseas, Visa Security Officers (VSOs) work proactively to identify and counteract threats before they reach the United States; 2) through proactive law enforcement work, VSOs identify the not - yet - known threats to homeland security; 3) by utilizing all available tools and authorities, VSOs maximize the law enforcement and counterterrorism value of the visa process, taking it beyond the visa decision to address the underlying threat that the visa applicant potentially represents. This measure captures the instances in which a VSO provides input, advice, or information during adjudication that results in a consular officer's decision to deny a visa to an ineligible applicant.						

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	762	924	942
Actual:	None	None	754	906	N/A	N/A

Measure: Percent of visa applications reviewed at high - risk visa adjudicating posts						
Description of Measure: This measure indicates the percent of visa applications that undergo review by an Immigration and Customs Enforcement (ICE) Special Agent compared to the total number of visa applications received at all high - risk visa adjudicating posts. Review of visa applications by the program is an added layer of defense in the adjudication of visa applications processed by the State Department to prevent potential terrorists or known criminals from obtaining visas for travel to the U.S. ICE, where posted, ensures that visa applicants are screened against DHS databases prior to Department of State visa issuance.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	None	21%	27%
Actual:	None	None	None	None	N/A	N/A

Program: Investigations						
Performance Goal: Prevent the exploitation of systemic vulnerabilities in trade and immigration that allow foreign terrorists, other criminals, and their organizations to endanger the American people, property, and infrastructure.						
DHS strategic objectives supported and % allocation of activities: 1.2 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$1,427,133	\$1,528,794	\$1,535,748	\$2,071,265	\$1,984,000	\$2,041,022
FTE	7,845	7,840	8,384	9,056	9,382	9,680

Performance Plan Measures

Measure: Percent of closed investigations which have an enforcement consequence (arrest, indictment, conviction, seizure, fine, or penalty).						
Description of Measure: More effective immigration and customs enforcement will contribute to enhanced homeland security as well as to greater deterrence. One method for measuring this effectiveness is to determine the extent to which criminal investigations are completed successfully, i.e., closed with an enforcement consequence. However, although many criminal cases arise that are worth pursuing, the potential of an investigation is not known at its inception; therefore, it is to be expected that many cases will be closed each year without an enforcement consequence when it is determined that the investigation is no longer viable. In addition to getting criminals off the street, successful investigations also expose and remove, or contribute to the elimination of, vulnerabilities in various aspects of customs and immigration, i.e., the ways in						

which criminals manage to evade safeguards that are supposed to prevent their illegal activity, and areas in which such safeguards are lax or do not exist.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	Baseline	38.5%	36.5%	36.6%	47%	48%
Actual:	37.9%	36.4%	35.8%	46.3%	N/A	N/A

Additional Measures

Measure: Dollar value of monetary instrument seizures derived from and/or used to support criminal activity						
Description of Measure: Dollar value of monetary instrument seizures derived from and/or used to support criminal activity. Directly measures the success of removing financial incentives for criminals and terrorists to operate.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	\$266M	\$366M	TBD
Actual:	None	None	None	\$367M	N/A	N/A

Measure: Percent of closed counter-terrorism/Joint Terrorism Task Force (JTTF) investigations which have an enforcement consequence (arrest, indictment, conviction, seizure, fine, or penalty).						
Description of Measure: More effective immigration/trade enforcement will contribute to enhanced homeland security as well as to greater deterrence. One method for measuring this effectiveness is to determine the extent to which counter-terrorism/JTTF investigations are completed successfully, i.e., closed with an enforcement consequence. However, although many counter-terrorism/JTTF cases arise that are worth pursuing, the potential of an investigation is not known at its inception; therefore, it is to be expected that many cases will be closed each year without an enforcement consequence when it is determined that the investigation is no longer viable. In addition to getting criminals off the street, successful investigations also expose and remove, or contribute to the elimination of, vulnerabilities in various aspects of customs and immigration, i.e., the ways in which criminals manage to evade safeguards that are supposed to prevent their illegal activity, and areas in which such safeguards are lax or do not exist.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	Baseline	25%	TBD
Actual:	None	None	None	23%	N/A	N/A

Measure: Percent of drug smuggling investigations which have an enforcement consequence (arrest, indictment, conviction, seizure, fine, or penalty).						
Description of Measure: More effective immigration/trade enforcement will contribute to enhanced homeland security as well as to greater deterrence. One method for measuring this effectiveness is to determine the extent to which drug smuggling investigations are completed successfully, i.e., closed with an enforcement consequence. However, although many drug smuggling cases arise that are worth pursuing, the potential of an investigation is not known at its inception; therefore, it is to be expected that many cases will be closed each year without an enforcement consequence when it is determined that the investigation is no longer viable. In addition to getting criminals off the street, successful investigations also expose and remove, or contribute to the elimination of, vulnerabilities in various aspects of customs and immigration, i.e., the ways in which criminals manage to evade safeguards that are supposed to prevent their illegal activity, and areas in which such safeguards are lax or do not exist.						

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	Baseline	75%	TBD
Actual:	None	None	None	74.7%	N/A	N/A

Measure: Percent of financial investigations which have an enforcement consequence (arrest, indictment, conviction, seizure, fine, or penalty).						
Description of Measure: More effective immigration/trade enforcement will contribute to enhanced homeland security as well as to greater deterrence. One method for measuring this effectiveness is to determine the extent to which financial investigations are completed successfully, i.e., closed with an enforcement consequence. However, although many financial cases arise that are worth pursuing, the potential of an investigation is not known at its inception; therefore, it is to be expected that many cases will be closed each year without an enforcement consequence when it is determined that the investigation is no longer viable. In addition to getting criminals off the street, successful investigations also expose and remove, or contribute to the elimination of, vulnerabilities in various aspects of customs and immigration, i.e., the ways in which criminals manage to evade safeguards that are supposed to prevent their illegal activity, and areas in which such safeguards are lax or do not exist.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	Baseline	40%	TBD
Actual:	None	None	None	37.5%	N/A	N/A

Measure: Percent of general and criminal alien investigations which have an enforcement consequence (arrest, indictment, conviction, seizure, fine, or penalty).						
Description of Measure: More effective immigration/trade enforcement will contribute to enhanced homeland security as well as to greater deterrence. One method for measuring this effectiveness is to determine the extent to which general and criminal alien investigations are completed successfully, i.e., closed with an enforcement consequence. However, although many general and criminal alien cases arise that are worth pursuing, the potential of an investigation is not known at its inception; therefore, it is to be expected that many cases will be closed each year without an enforcement consequence when it is determined that the investigation is no longer viable. In addition to getting criminals off the street, successful investigations also expose and remove, or contribute to the elimination of, vulnerabilities in various aspects of customs and immigration, i.e., the ways in which criminals manage to evade safeguards that are supposed to prevent their illegal activity, and areas in which such safeguards are lax or do not exist.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	Baseline	70%	TBD
Actual:	None	None	None	66.8%	N/A	N/A

Measure: Percent of closed general smuggling investigations which have an enforcement consequence (arrest, indictment, conviction, seizure, fine, or penalty).						
Description of Measure: More effective immigration/trade enforcement will contribute to enhanced homeland security as well as to greater deterrence. One method for measuring this effectiveness is to determine the extent to which general smuggling investigations are completed successfully, i.e., closed with an enforcement consequence. However, although many general smuggling cases arise that are worth pursuing, the potential of an investigation is not known at its inception; therefore, it is to be expected that many cases will be closed each year without an enforcement consequence when it is determined that the investigation is no longer viable. In addition to getting criminals off the street, successful investigations also expose and remove, or contribute to the elimination of, vulnerabilities in various aspects of customs and immigration, i.e., the ways in which criminals manage to evade safeguards that are supposed to prevent their illegal activity, and areas in which such safeguards are lax or do not exist.						

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	Baseline	28%	TBD
Actual:	None	None	None	26.2%	N/A	N/A

Measure: Percent of closed human trafficking and smuggling investigations which have an enforcement consequence (arrest, indictment, conviction, seizure, fine, or penalty).						
Description of Measure: More effective immigration/trade enforcement will contribute to enhanced homeland security as well as to greater deterrence. One method for measuring this effectiveness is to determine the extent to which human trafficking and smuggling investigations are completed successfully, i.e., closed with an enforcement consequence. However, although many human trafficking and smuggling cases arise that are worth pursuing, the potential of an investigation is not known at its inception; therefore, it is to be expected that many cases will be closed each year without an enforcement consequence when it is determined that the investigation is no longer viable. In addition to getting criminals off the street, successful investigations also expose and remove, or contribute to the elimination of, vulnerabilities in various aspects of customs and immigration, i.e., the ways in which criminals manage to evade safeguards that are supposed to prevent their illegal activity, and areas in which such safeguards are lax or do not exist.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	Baseline	49.5%	TBD
Actual:	None	None	None	48.9%	N/A	N/A

Measure: Percent of closed identity and benefit fraud investigations which have an enforcement consequence (arrest, indictment, conviction, seizure, fine, or penalty).						
Description of Measure: More effective immigration/trade enforcement will contribute to enhanced homeland security as well as to greater deterrence. One method for measuring this effectiveness is to determine the extent to which identity and benefit fraud investigations are completed successfully, i.e., closed with an enforcement consequence. However, although many identity and benefit fraud cases arise that are worth pursuing, the potential of an investigation is not known at its inception; therefore, it is to be expected that many cases will be closed each year without an enforcement consequence when it is determined that the investigation is no longer viable. In addition to getting criminals off the street, successful investigations also expose and remove, or contribute to the elimination of, vulnerabilities in various aspects of customs and immigration, i.e., the ways in which criminals manage to evade safeguards that are supposed to prevent their illegal activity, and areas in which such safeguards are lax or do not exist.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	Baseline	29%	TBD
Actual:	None	None	None	28%%	N/A	N/A

Measure: Percent of closed strategic investigations which have an enforcement consequence (arrest, indictment, conviction, seizure, fine, or penalty).						
Description of Measure: More effective immigration/trade enforcement will contribute to enhanced homeland security as well as to greater deterrence. One method for measuring this effectiveness is to determine the extent to which strategic investigations are completed successfully, i.e., closed with an enforcement consequence. However, although many strategic cases arise that are worth pursuing, the potential of an investigation is not known at its inception; therefore, it is to be expected that many cases will be closed each year without an enforcement consequence when it is determined that the investigation is no longer viable. In addition to getting criminals off the street, successful investigations also expose and remove, or contribute to the elimination of, vulnerabilities in various aspects of customs and immigration, i.e., the ways in which criminals manage to evade safeguards that are supposed to prevent their illegal activity,						

and areas in which such safeguards are lax or do not exist.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	Baseline	17%	TBD
Actual:	None	None	None	16.5%	N/A	N/A

Measure: Percent of closed worksite investigations which have an enforcement consequence (arrest, indictment, conviction, seizure, fine, or penalty).						
Description of Measure: More effective immigration/trade enforcement will contribute to enhanced homeland security as well as to greater deterrence. One method for measuring this effectiveness is to determine the extent to which worksite investigations are completed successfully, i.e., closed with an enforcement consequence. However, although many worksite cases arise that are worth pursuing, the potential of an investigation is not known at its inception; therefore, it is to be expected that many cases will be closed each year without an enforcement consequence when it is determined that the investigation is no longer viable. In addition to getting criminals off the street, successful investigations also expose and remove, or contribute to the elimination of, vulnerabilities in various aspects of customs and immigration, i.e., the ways in which criminals manage to evade safeguards that are supposed to prevent their illegal activity, and areas in which such safeguards are lax or do not exist.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	Baseline	28%	TBD
Actual:	None	None	None	26.6%	N/A	N/A

E. Digest Tables by Future Year Homeland Security Program (FYHSP) Program

This section requires components to cross walk PPA levels to corresponding FYHSP programs. The digest table should display how all PPAs map to all FYHSP programs. Do not provide separate digests for mandatory and discretionary funding.

Digest of FY 2010 Budget Estimates by Activity and FYHSP Program
(dollars in thousands)

	FY08 Enacted		FY09 Rev. Enacted		FY10 Request	
	FTE	Amount	FTE	Amount	FTE	Amount
DISCRETIONARY	16,515	4,734,717	18,306	4,989,211	19,408	5,458,000
Investigations	8,629	2,015,065	9,235	1,771,505	9,681	1,985,603
Detention & Removal	7,438	2,581,401	8,777	3,019,652	9,411	3,207,961
Custody Operations	5,800	1,647,212	6,832	2,066,513	6,938	2,180,283
Fugitive Operations	656	218,945	740	242,914	746	254,039
Alternatives to Detention	156	53,889	186	67,128	189	70,101
Criminal Alien Program	826	378,829	1,019	361,698	1,538	421,660
Transportation & Removal	-	282,526	-	281,399	-	281,878
International Affairs	441	107,551	275	141,054	297	154,436
Automation Modernization	7	30,700	18	57,000	19	110,000
Federal Protective Service	1,072	518,321	1,225	640,000	-	-
MANDATORY	493	233,500	600	299,000	726	304,800
Investigations	251	56,200	410	198,000	538	180,107
Detention & Removal	242	177,300	190	101,000	188	124,693
Custody Operations	242	177,300	190	101,000	188	124,693
Fugitive Operations	-	-	-	-	-	-
Alternatives to Detention	-	-	-	-	-	-
Criminal Alien Program	-	-	-	-	-	-
Transportation & Removal	-	-	-	-	-	-
International Affairs	-	-	-	-	-	-
Automation Modernization	-	-	-	-	-	-
TOTAL BUDGET AUTHORITY	17,385	5,476,114	20,130	5,928,210	20,134	5,762,800

*This table reflects the Headquarters Management and Administration, Legal Proceedings, Intelligence, and Secure Communities/Comprehensive Identification and Removal of Criminal Aliens PPAs spread among the FYHSP programs.

**Due to the proposed Federal Protective Service realignment in FY 2010, no requested amount is shown on this table.

Department of Homeland Security

Transportation Security Administration



Fiscal Year 2010
Congressional Justification

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i. Summary of FY 2010 Budget Estimates by Appropriation

**Department of Homeland Security
Transportation Security Administration
Summary of FY 2010 Budget Estimates by Appropriation
Total Appropriations
(Dollars in Thousands)**

Budget Activity	FY 2008 Actual ¹		FY 2009 Enacted ²		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Aviation Security	48,598	\$4,937,639	49,666	\$4,740,913	49,757	\$5,330,450	91	\$589,537	55	\$91,800	36	(2,263)
Surface Transportation Security	225	43,769	353	63,431	545	128,416	192	64,985	169	56,650	23	8,335
Transportation Threat Assessment & Credentialing	134	139,255	195	162,718	244	215,999	49	53,281	11	70,600	38	(17,319)
Transportation Security Support	1,347	490,956	1,383	950,235	1,397	1,004,600	14	54,365	16	28,650	(2)	25,715
Federal Air Marshals		771,481		819,481		860,111	---	40,630	---	7,529	---	33,101
Research & Development		2,989										
Subtotal, Enacted Appropriations & Budget Estimates												
(Gross Discretionary)	50,304	6,386,089	51,597	6,736,778	51,943	7,539,576	346	802,798	251	755,229	95	47,569
Aviation Security Capital Fund (ASCF)	---	245,674	---	250,000	---	250,000	---	---	---	---	---	---
Airport Checkpoint Security Fund (ACSF)	---	187,356	---	---	---	---	---	---	---	---	---	---
Alien Flight School - Fee	6	3,891	6	4,000	6	4,000	---	---	---	---	---	---
Subtotal, Enacted Appropriations & Budget Estimates												
(Gross Budgetary Resources)	50,310	6,823,010	51,603	6,990,778	51,949	7,793,576	346	802,798	251	755,229	95	47,569
Less: Adjustments for Other Funding Sources:												
Aviation Security Fees - Discretionary	---	(1,833,137)	---	(2,322,720)	---	(2,248,541)	---	74,179	---	---	---	74,179
Aviation Passenger Security - Fees (less ASCF and ASSF)	---	(1,419,022)	---	(1,872,000)	---	(1,780,941)	---	91,059	---	---	---	91,059
Aviation Security Infrastructure - Fee (ASIF)	---	(412,203)	---	(448,000)	---	(448,000)	---	---	---	---	---	---
General Aviation at DCA - Fee	---	(20)	---	(120)	---	(100)	---	20	---	---	---	20
Indirect Air Cargo - Fee	---	(1,892)	---	(2,600)	---	(2,600)	---	---	---	---	---	---
Certified Cargo Screening Pgm	---	---	---	---	---	(5,200)	---	(5,200)	---	---	---	(5,200)
Large Aircraft Security Plan	---	---	---	---	---	(1,600)	---	(1,600)	---	---	---	(1,600)
Secure Iden Display Area Checks	---	---	---	---	---	(10,000)	---	(10,000)	---	---	---	(10,000)
Other Security Threat Assessments	---	---	---	---	---	(100)	---	(100)	---	---	---	(100)
Transportation Security Support Fees - Discretionary	---	---	---	---	---	(20)	---	(20)	---	---	---	(20)
Sensitive Security Info - Fee	---	---	---	---	---	(20)	---	(20)	---	---	---	(20)
Credentialing Fees - Discretionary	---	(40,230)	---	(46,700)	---	(24,000)	---	22,700	---	---	---	22,700
Registered Traveler Program - Fee	---	(3,155)	---	---	---	---	---	---	---	---	---	---
TWIC - Fee	---	(25,411)	---	(31,700)	---	(9,000)	---	22,700	---	---	---	22,700
HAZMAT CDL - Fee	---	(11,664)	---	(15,000)	---	(15,000)	---	---	---	---	---	---
Less: Prior Year Rescission:	---	(4,500)	---	(31,000)	---	---	---	31,000	---	---	---	31,000
Net, Discretionary Appropriations and Budget Estimates	50,310	4,508,222	51,603	4,336,358	51,949	5,267,015	346	930,657	251	755,229	95	175,428
Aviation Fees - Mandatory	---	(433,030)	---	(250,000)	---	(250,000)	---	---	---	---	---	---
Aviation Security Capital Fund	---	(245,674)	---	(250,000)	---	(250,000)	---	---	---	---	---	---
Airport Checkpoint Security Fund (ACSF)	---	(187,356)	---	---	---	---	---	---	---	---	---	---
Credentialing Fees - Mandatory	6	(3,891)	6	(4,000)	6	(4,000)	---	---	---	---	---	---
Alien Flight School - Fee	6	(3,891)	6	(4,000)	6	(4,000)	---	---	---	---	---	---

¹FY 2008 actuals for the Aviation appropriation do not include funds from accounts pending closeout/reconciliation.

²FY 2009 Enacted includes (1) spread of \$20M in Implementation of 9/11 Act funding to Aviation Regulation & Enforcement, Rail Security Inspectors and Canines, Intelligence & Headquarters Administration; and (2) revised FY09 fee estimates.

American Recovery and Reinvestment Act (ARRA)	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Aviation Security			15	1,000,000								

ii. Homeland and Non-Homeland Allocation

Department of Homeland Security
 Transportation Security Administration
 Homeland and Non-Homeland Allocation by Program/Project Activity
 (Dollars in Thousands)

Budget Activity	2008 Actual ¹						2009 Enacted ²						2010 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
I. AVIATION SECURITY	48,598	4,937,639	---	---	48,598	4,937,639	49,666	4,740,913	---	---	49,666	4,740,913	49,757	5,330,450	---	---	49,757	5,330,450
1. Screening Partnership Program	---	\$148,495	---	---	---	148,495	---	151,272	---	---	---	151,272	---	149,643	---	---	---	149,643
2. Screener PC&B	45,118	2,528,077	---	---	45,118	2,528,077	45,643	2,716,014	---	---	45,643	2,716,014	45,698	2,788,575	---	---	45,698	2,788,575
3. Screener Training & Other	69	216,830	---	---	69	216,830	54	197,318	---	---	54	197,318	54	203,463	---	---	54	203,463
4. Human Resource Services	---	206,021	---	---	---	206,021	---	---	---	---	---	---	---	---	---	---	---	---
5. Checkpoint Support	5	23,585	---	---	5	23,585	40	250,000	---	---	40	250,000	40	128,739	---	---	40	128,739
6. EDS/ETD Procurement and Installation	9	521,997	---	---	9	521,997	106	294,000	---	---	106	294,000	102	856,591	---	---	102	856,591
7. Screening Technology Maintenance and Utilities	---	263,415	---	---	---	263,415	---	305,625	---	---	---	305,625	---	326,625	---	---	---	326,625
8. Operation Integration	17	23,734	---	---	17	23,734	---	21,481	---	---	---	21,481	---	21,481	---	---	---	21,481
9. Aviation Regulation and Other Enforcement	940	232,663	---	---	940	232,663	1,086	248,943	---	---	1,086	248,943	1,097	254,064	---	---	1,097	254,064
10. Airport Management and Support	1,971	635,730	---	---	1,971	635,730	2,064	401,666	---	---	2,064	401,666	2,093	448,424	---	---	2,093	448,424
11. Federal Flight Deck Officer and Flight Crew Training	22	24,403	---	---	22	24,403	29	25,025	---	---	29	25,025	29	25,127	---	---	29	25,127
12. Air Cargo	444	110,770	---	---	444	110,770	642	122,849	---	---	642	122,849	642	108,118	---	---	642	108,118
13. Airport Perimeter Security	---	7	---	---	---	7	---	4,000	---	---	---	4,000	---	---	---	---	---	---
14. General Aviation at DCA - Fee	---	20	---	---	---	20	---	120	---	---	---	120	---	100	---	---	---	100
15. Indirect Air Cargo - Fee	3	1,892	---	---	3	1,892	2	2,600	---	---	2	2,600	2	2,600	---	---	2	2,600
16. Certified Cargo Screening Program	---	---	---	---	---	---	---	---	---	---	---	---	---	5,200	---	---	---	5,200
17. Large Aircraft Security Plan	---	---	---	---	---	---	---	---	---	---	---	---	---	1,600	---	---	---	1,600
18. Secure Identification Display Area Checks	---	---	---	---	---	---	---	---	---	---	---	---	---	10,000	---	---	---	10,000
19. Other Security Threat Assessments	---	---	---	---	---	---	---	---	---	---	---	---	---	100	---	---	---	100
II. SURFACE TRANSPORTATION SECURITY	225	43,769	---	---	225	43,769	353	63,431	---	---	353	\$63,431	545	128,416	---	---	545	\$128,416
1. Surface Transportation Security Operations and Staffing	131	25,039	---	---	131	25,039	160	33,711	---	---	160	33,711	160	42,293	---	---	160	42,293
2. Surface Transportation Security Inspectors	94	18,712	---	---	94	18,712	193	29,720	---	---	193	29,720	385	86,123	---	---	385	86,123
3. HazMat CDL Fees	---	18	---	---	---	18	---	---	---	---	---	---	---	---	---	---	---	---

III. TRANSPORTATION THREAT ASSESSMENT & CREDENTIALING	100	99,025	---	---	100	99,025	151	116,018	---	---	151	116,018	206	191,999	---	---	206	191,999
1. Secure Flight	51	71,488	---	---	51	71,488	86	82,211	---	---	86	82,211	108	84,363	---	---	108	84,363
2. Crew Vetting	35	14,983	---	---	35	14,983	---	---	---	---	---	---	---	---	---	---	---	---
3. Other Vetting	14	11,135	---	---	14	11,135	65	33,807	---	---	65	33,807	98	107,636	---	---	98	107,636
4. TWIC Appropriated	---	1,419	---	---	---	1,419	---	---	---	---	---	---	---	---	---	---	---	---
CREDENTIALING FEES	34	40,230	---	---	34	40,230	44	46,700	---	---	44	46,700	38	24,000	---	---	38	24,000
1. Registered Traveler Program - Fee	8	3,155	---	---	8	3,155	12	---	---	---	12	---	---	---	---	---	---	---
2. TWIC - Fee	11	25,411	---	---	11	25,411	15	31,700	---	---	15	31,700	21	9,000	---	---	21	9,000
3. HAZMAT CDL - Fee	15	11,664	---	---	15	11,664	17	15,000	---	---	17	15,000	17	15,000	---	---	17	15,000
IV. TRANSPORTATION SECURITY SUPPORT	1,347	493,945	---	---	1,347	493,945	1,383	950,235	---	---	1,383	950,235	1,397	1,004,600	---	---	1,397	1,004,600
1. Intelligence	95	22,154	---	---	95	22,154	149	24,461	---	---	149	24,461	167	28,203	---	---	167	28,203
2. Headquarters Administration	1,252	288,210	---	---	1,252	288,210	922	234,870	---	---	922	234,870	888	248,929	---	---	888	248,929
3. Human Capital Services	---	---	---	---	---	---	177	218,105	---	---	177	218,105	193	226,338	---	---	193	226,338
4. Information Technology	---	180,592	---	---	---	180,592	135	472,799	---	---	135	472,799	149	501,110	---	---	149	501,110
5. Sensitive Security Information - Fee	---	---	---	---	---	---	---	---	---	---	---	---	---	20	---	---	---	20
6. Research & Development	---	2,989	---	---	---	2,989	---	---	---	---	---	---	---	---	---	---	---	---
V. FEDERAL AIR MARSHALS	---	771,481	---	---	---	771,481	---	819,481	---	---	---	819,481	---	860,111	---	---	---	860,111
1. Management and Administration	---	677,770	---	---	---	677,770	---	725,081	---	---	---	725,081	---	762,569	---	---	---	762,569
2. Travel and Training	---	91,658	---	---	---	91,658	---	94,400	---	---	---	94,400	---	97,542	---	---	---	97,542
3. Air-To-Ground Communications	---	2,053	---	---	---	2,053	---	---	---	---	---	---	---	---	---	---	---	---
Total Direct Appropriations and Budget Estimates (Gross Discretionary)	50,304	6,386,089	---	---	50,304	6,386,089	51,597	6,736,778	---	---	51,597	6,736,778	51,943	7,539,576	---	---	51,943	7,539,576
MANDATORY FEES																		
Aviation Security Capital Fund (ASCF)	---	245,674	---	---	---	245,674	---	250,000	---	---	---	250,000	---	250,000	---	---	---	250,000
Airport Checkpoint Security Fund (ACSF)	---	187,356	---	---	---	187,356	---	---	---	---	---	---	---	---	---	---	---	---
Alien Flight School - Fee	6	3,891	---	---	6	3,891	6	4,000	---	---	6	4,000	6	4,000	---	---	6	4,000
Total Budget Authority (Gross Budgetary Resources)	50,310	6,823,010	---	---	50,310	6,823,010	51,603	6,990,778	---	---	51,603	6,990,778	51,949	7,793,576	---	---	51,949	7,793,576

FEE ACCOUNT OFFSET																		
Discretionary Fees:	---	(1,873,367)	---	---	---	(1,873,367)	---	(2,369,420)	---	---	---	(2,369,420)	---	(2,272,561)	---	---	(2,272,561)	
Aviation Passenger Security Fees (less ASCF & ACSF)	---	(1,419,022)	---	---	---	(1,419,022)	---	(1,872,000)	---	---	---	(1,872,000)	---	(1,780,941)	---	---	(1,780,941)	
Aviation Security Infrastructure Fund	---	(412,203)	---	---	---	(412,203)	---	(448,000)	---	---	---	(448,000)	---	(448,000)	---	---	(448,000)	
General Aviation at DCA - Fee	---	(20)	---	---	---	(20)	---	(120)	---	---	---	(120)	---	(100)	---	---	(100)	
Indirect Air Cargo - Fee	---	(1,892)	---	---	---	(1,892)	---	(2,600)	---	---	---	(2,600)	---	(2,600)	---	---	(2,600)	
Certified Cargo Screening Program	---	---	---	---	---	---	---	---	---	---	---	---	---	(5,200)	---	---	(5,200)	
Large Aircraft Security Plan	---	---	---	---	---	---	---	---	---	---	---	---	---	(1,600)	---	---	(1,600)	
Secure Identification Display Area Checks	---	---	---	---	---	---	---	---	---	---	---	---	---	(10,000)	---	---	(10,000)	
Other Security Threat Assessments	---	---	---	---	---	---	---	---	---	---	---	---	---	(100)	---	---	(100)	
Registered Traveler Program - Fee	---	(3,155)	---	---	---	(3,155)	---	---	---	---	---	---	---	---	---	---	---	
TWIC - Fee	---	(25,411)	---	---	---	(25,411)	---	(31,700)	---	---	---	(31,700)	---	(9,000)	---	---	(9,000)	
HAZMAT CDL - Fee	---	(11,664)	---	---	---	(11,664)	---	(15,000)	---	---	---	(15,000)	---	(15,000)	---	---	(15,000)	
Sensitive Security Info - Fee	---	---	---	---	---	---	---	---	---	---	---	---	---	(20)	---	---	(20)	
Mandatory Fees:	---	(436,921)	---	---	---	(436,921)	---	(254,000)	---	---	---	(254,000)	---	(254,000)	---	---	(254,000)	
Aviation Security Capital Fund (ASCF)	---	(245,674)	---	---	---	(245,674)	---	(250,000)	---	---	---	(250,000)	---	(250,000)	---	---	(250,000)	
Airport Checkpoint Security Fund (ACSF)	---	(187,356)	---	---	---	(187,356)	---	---	---	---	---	---	---	---	---	---	---	
Alien Flight School - Fee	---	(3,891)	---	---	---	(3,891)	---	(4,000)	---	---	---	(4,000)	---	(4,000)	---	---	(4,000)	
RESCISSION OF PRIOR YEAR FUNDS	---	(4,500)	---	---	---	(4,500)	---	(31,000)	---	---	---	(31,000)	---	---	---	---	---	
Net, Direct Appropriations and Budget Estimates	50,310	4,508,222	---	---	50,310	4,508,222	51,603	4,336,358	---	---	51,603	4,336,358	51,949	5,267,015	---	---	51,949	5,267,015

¹FY 2008 actuals for the Aviation appropriation do not include funds from accounts pending closeout/reconciliation.

²FY 2009 Enacted includes (1) spread of \$20M in Implementation of 9/11 Act funding to Aviation Regulation & Enforcement, Rail Security Inspectors and Canines, Intelligence & Headquarters Administration; and (2) revised FY09 fee estimates.

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

**Department of Homeland Security
Transportation Security Administration**

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2008	6/1/2008	Omnibus Conference Report; Senate Report	GAO Inbound Air Cargo	Currently in DHS clearance
2008	11/15/2008	Omnibus Conference Report	4th Quarter Air Cargo Statistics	TSA received DHS passbacks on 2/18/09. Target return date to DHS is 4/17/09.
2008	1/2/2009	Omnibus Conference Report; House Report	Pilot Program to Screen Airport Employees	Currently in DHS clearance
2009	12/1/2008	Omnibus Conference Report	Air Cargo Expenditure Plan	TSA drafting -- Target delivery date to DHS is 4/17/09
2009	5/15/2009	Omnibus Conference Report	2nd Quarter Screening Wait Times	TSA drafting -- Target delivery date to DHS is 5/1/09
2009	8/15/2009	Omnibus Conference Report	3rd Quarter Screening Wait Times	TSA drafting -- Target delivery date to DHS is 8/1/09
2009	11/15/2009	Omnibus Conference Report	4th Quarter Screening Wait Times	TSA drafting -- Target delivery date to DHS is 11/1/09
2009	2/16/2009	Omnibus Conference Report	1st Quarter FY 2008 FAMS Hiring	Currently in DHS clearance
2009	5/15/2009	Omnibus Conference Report	2nd Quarter FY 2008 FAMS Hiring	TSA drafting -- Target delivery date to DHS is 5/1/09
2009	8/15/2009	Omnibus Conference Report	3rd Quarter FY 2008 FAMS Hiring	TSA drafting -- Target delivery date to DHS is 8/1/09
2009	11/15/2009	Omnibus Conference Report	4th Quarter FY 2008 FAMS Hiring	TSA drafting -- Target delivery date to DHS is 11/1/09
2009	2/16/2009	Omnibus Conference Report	1st Quarter Recoveries and Obligations	Being combined with 2nd Quarter report -- Target delivery to DHS is 5/1/09
2009	5/15/2009	Omnibus Conference Report	2nd Quarter Recoveries and Obligations	TSA drafting -- Target delivery date to DHS is 5/1/09
2009	8/15/2009	Omnibus Conference Report	3rd Quarter Recoveries and Obligations	TSA drafting -- Target delivery date to DHS is 8/1/09
2009	11/15/2009	Omnibus Conference Report	4th Quarter Recoveries and Obligations	TSA drafting -- Target delivery date to DHS is 11/1/09

2009	2/16/2009	Omnibus Conference Report	1st Quarter Air Cargo Statistics	Congress has agreed to not require this report due to major policy changes that will affect reporting.
2009	5/15/2009	Omnibus Conference Report	2nd Quarter Air Cargo Statistics	TSA drafting -- Target delivery date to DHS is 5/1/09
2009	8/15/2009	Omnibus Conference Report	3rd Quarter Air Cargo Statistics	TSA drafting -- Target delivery date to DHS is 8/1/09
2009	11/15/2009	Omnibus Conference Report	4th Quarter Air Cargo Statistics	TSA drafting -- Target delivery date to DHS is 11/1/09
2009	2/16/2009	Omnibus Conference Report	1st Quarter Explosives Detection Systems Expenditure Plan Update	Being combined with 2nd Quarter report -- Target delivery to DHS is 5/1/09
2009	5/15/2009	Omnibus Conference Report	2nd Quarter Explosives Detection Systems Expenditure Plan Update	TSA drafting -- Target delivery date to DHS is 5/1/09
2009	8/15/2009	Omnibus Conference Report	3rd Quarter Explosives Detection Systems Expenditure Plan Update	TSA drafting -- Target delivery date to DHS is 8/1/09
2009	11/15/2009	Omnibus Conference Report	4th Quarter Explosives Detection Systems Expenditure Plan Update	TSA drafting -- Target delivery date to DHS is 11/1/09
2009	2/16/2009	Omnibus Conference Report	1st Quarter Checkpoint Support Expenditure Plan Update	TSA plans to combine 1st and 2nd quarter reports.
2009	5/15/2009	Omnibus Conference Report	2nd Quarter Checkpoint Support Expenditure Plan Update	TSA drafting -- Target delivery date to DHS is 5/1/09
2009	8/15/2009	Omnibus Conference Report	3rd Quarter Checkpoint Support Expenditure Plan Update	TSA drafting -- Target delivery date to DHS is 8/1/09
2009	11/15/2009	Omnibus Conference Report	4th Quarter Checkpoint Support Expenditure Plan Update	TSA drafting -- Target delivery date to DHS is 11/1/09
2005	4/15/2009	Omnibus Conference Report	FY 2008 Unclaimed Money at Airports	Currently in DHS clearance
2009	4/1/2009	Omnibus Conference Report -- General Provisions 544, 545	Unmanned Aerial Systems	TSA drafting -- Target delivery date to DHS is 6/19/09
2009	4/6/2009	Omnibus Conference Report	Screening Technology Maintenance and Utilities	Currently in DHS clearance
2009	4/6/2009	Omnibus Conference Report	Threat Containment Units	TSA drafting -- Target delivery date to DHS is 5/15/09
2009	12/1/2008	Omnibus Conference Report; Senate Report	Risk Assessment 60 Day Report	Committees will be briefed in the near future and have agreed to a final delivery date of January 2010
2009	4/6/2009	Omnibus Conference Report; Senate Report	Risk Assessment Annual Report	Committees will be briefed in the near future and have agreed to a final delivery date of January 2010
2009	4/6/2009	Omnibus Conference Report	General Aviation	Currently in DHS clearance
2009	4/6/2009	Omnibus Conference Report	VIPR	Currently in DHS clearance
2009	4/6/2009	Omnibus Conference Report	Vetting Infrastructure Enhancement	TSA drafting -- Target delivery date to DHS is 4/24/09

iv: Schedule of Authorized/Unauthorized Appropriations by PPA

**Department of Homeland Security
Transportation Security Administration**

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

Budget Activity	Last Year of Authorization	Authorized Level	Appropriation in Last Year of	FY 2010 Request
	Fiscal Year	Amount	Amount	Amount
	Aviation Security	2011	Such sums	N/A
- Screening Partnership Program	2011	Such sums	N/A	149,643
- Screener Personnel Compensation and Benefits	2011	Such sums	N/A	2,788,575
- Screener Training and Other	2011	Such sums	N/A	203,463
- Human Resource Services	2011	Such sums	N/A	---
- Checkpoint Support	2011	Such sums	N/A	128,739
- EDS/EDT Procurement and Installation	2011	Such sums	N/A	856,591
- Screening Technology [EDS/ETD] Maintenance and Utilities	2011	Such sums	N/A	326,625
- Operations Integration	2011	Such sums	N/A	21,481
- Aviation Regulation [and Other Enforcement]	2011	Such sums	N/A	254,064
- Airport Management[, IT] and Support	2011	Such sums	N/A	448,424
- Fed Flight Deck Officer and Flight Crew Training	2011	Such sums	N/A	25,127
- Air Cargo	2011	Such sums	N/A	108,118
- Airport Perimeter Security	2011	Such sums	N/A	---
- General Aviation at DCA - Fee	2011	Such sums	N/A	100
- Indirect Air Cargo - Fee	2011	Such sums	N/A	2,600
- Certified Cargo Screening Program	2011	Such sums	N/A	5,200
- Large Aircraft Security Plan	2011	Such sums	N/A	1,600
- Secure Identification Display Area Checks	2011	Such sums	N/A	10,000
- Other Security Threat Assessments	2011	Such sums	N/A	100
Surface Transportation Security	2011	N/A	N/A	128,416
- Surface Transportation Security Operations and Staffing	2011	N/A	N/A	42,293
- Rail Inspectors and Canines	2011	N/A	N/A	86,123
Transportation Threat Assessment and Credentialing	2005	Such sums	69,919	219,999
- Secure Flight ¹	2005	Such sums	34,919	84,363
- Crew Vetting ¹	2005	N/A	N/A	---
- Other Vetting & Screening/Screening Admin & Ops	2005	Such sums	10,000	107,636
- Registered Traveler Program - Fee	N/A	N/A	N/A	---
- TWIC - Fee	N/A	N/A	N/A	9,000
- HAZMAT CDL - Fee	N/A	N/A	N/A	15,000
- Registered Traveler Program ¹	2005	Such sums	15,000	---
- Alien Flight School - Fee ¹	2005	Such sums	10,000	4,000
Transportation Security Support	N/A	N/A	N/A	1,004,600
- Intelligence	N/A	N/A	N/A	28,203
- HQ Administration	N/A	N/A	N/A	248,929
- Human Capital Services	N/A	N/A	N/A	226,338
- Information Technology	N/A	N/A	N/A	501,110
- SSI - Fee	N/A	N/A	N/A	20
Federal Air Marshal Service	2011	Such sums	N/A	860,111
- Management and Administration	2011	Such sums	N/A	762,569
- Travel and Training	2011	Such sums	N/A	97,542
- Air-to-Ground Communications	2011	Such sums	N/A	---
Aviation Security Capital Fund³	2028	Such sums	N/A	250,000
Total Direct Authorization/Appropriation				7,793,576

¹FY 2009 Enacted includes revised fees and spreads \$20 million in Implementation of 9/11 Act funding to Aviation Regulation and Enforcement, Rail Security Inspectors and Canines, Intelligence, and Headquarters Administration. It does not include the \$1 billion in American Recover and Reinvestment Act funding.

²P.L. 110-53 reauthorized the Aviation Security Capital Fund from FY 2008 through FY 2028.

Department of Homeland Security

Transportation Security Administration

Aviation Security



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

TRANSPORTATION SECURITY ADMINISTRATION AVIATION SECURITY APPROPRIATION

I. Appropriations Overview

A. Mission:

The Aviation and Transportation Security Act (ATSA), Public Law 107-71, enacted on November 19, 2001, established the Transportation Security Administration (TSA) to protect the transportation system and ensure the freedom of movement for people and commerce. The Aviation Security Appropriation consists of programs whose primary focus is to secure aviation transportation. The path to achieving this mission has evolved in the years since the September 11th attacks. Enhancements in aviation security have included emphasis in explosives detection training and technology, modifications to the prohibited items list, and changes to TSA security screening protocols. The 9/11 Bill further strengthens Aviation Security through its authorization of extensive Air Cargo screening.

The FY 2010 request represents a continuation of the important initiatives that commenced in FY 2008 and 2009, including annualization of the programs funded in 2008 and 2009 that were authorized in the 9/11 bill. The request also includes initiatives expanding the Bomb Appraisal Officer (BAO) workforce and accelerating electronic baggage screening, as well as providing for increased maintenance costs for screening technologies.

B. Budget Activities:

The Aviation Security appropriation includes two distinct components: Transportation Security Officer (TSO) Operations and Equipment and Aviation Direction and Enforcement.

TSO Operations and Equipment - TSO Operations and Equipment includes the Programs, Projects and Activities (PPAs) that support the pay, training, outfitting, and operating costs for the TSO workforce. Funding is also included for checkpoint support, purchase, installation, and maintenance of screening equipment to include explosives detection systems (EDS) and explosives trace detection machines (ETD), and related operational integration activities.

Aviation Direction and Enforcement - Aviation Direction and Enforcement includes activities that ensure that TSA continues to build a strong security regulation and enforcement presence on-site at the nation's commercial airports. Funding requested under this decision unit supports air cargo and airport/airline regulation compliance through inspections, international programs, and reimbursements provided to State and local law enforcement for support provided at

commercial airport checkpoints, as well as the airport management and direction staff and airport administrative support.

C. Budget Request Summary:

The Transportation Security Administration requests 54,655 positions, 49,757 FTE, and \$5,330,450,000 in discretionary funding for Aviation Security in FY 2010. The total adjustment-to-base is 36 FTE and (\$2,263,000). Program increases include 109 positions, 55 FTE, and \$591,800,000 to:

- Enhance aviation security by deploying additional Bomb Appraisal Officers to Category I, Category II, and Primary Hub airports. (109 positions, 55 FTE, and \$7,400,000)
- Accelerate the Electronic Baggage Screening Program at the Nation's airports. (0 positions, 0 FTE, and \$565,400,000)
- Fund increased maintenance costs associated with higher-than-projected quantities of security equipment purchased over the past several years and out of warranty costs for screening technology equipment at the airports. (0 positions, 0 FTE, and \$19,000,000)

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

Aviation Security Appropriation

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Screening Partnership Program		\$148,495		\$151,272		\$149,643	---	(1,629)	---	---	---	(1,629)
Screening Personnel Compensation and Benefits	45,118	2,528,077	45,643	2,716,014	45,698	2,788,575	55	72,561	55	5,365	---	67,196
Screening Training and Other	69	216,830	54	197,318	54	203,463	---	6,145	---	1,685	---	4,460
Human Resource Services		206,021		---		---	---	---	---	---	---	---
Checkpoint Support	5	23,585	40	250,000	40	128,739	---	(121,261)	---	---	---	(121,261)
EDS/ETD Procurement and Installation	9	521,997	106	294,000	102	856,591	(4)	562,591	---	565,400	(4)	(2,809)
Screening Technology Maintenance & Utilities		263,415		305,625		326,625	---	21,000	---	19,000	---	2,000
Operation Integration	17	23,734		21,481		21,481	---	---	---	---	---	0
Aviation Regulation	940	232,663	1,086	248,943	1,097	254,064	11	5,121	---	---	11	5,121
Airport Management and Support	1,971	635,730	2,064	401,666	2,093	448,424	29	46,758	---	350	29	46,408
Federal Flight Deck Officer and Flight Crew Training	22	24,403	29	25,025	29	25,127	---	102	---	---	---	102
Air Cargo	444	110,770	642	122,849	642	108,118	---	(14,731)	---	---	---	(14,731)
Airport Perimeter Security		7		4,000		0	---	(4,000)	---	---	---	(4,000)
General Aviation at DCA		20		120		100	---	(20)	---	---	---	(20)
Indirect Air Cargo - Fees	3	1,892	2	2,600	2	2,600	---	---	---	---	---	-
Certified Cargo Screening Program						5,200	---	5,200	---	---	---	5,200
Large Aircraft Security Program						1,600	---	1,600	---	---	---	1,600
Secure Identification Display Area Checks						10,000	---	10,000	---	---	---	10,000
Other Security Threat Assessments						\$100	---	100	---	---	---	100
						---	---	0	---	---	---	0
						---	---	---	---	---	---	---
Subtotal, Enacted Appropriations & Budget Estimates (Gross Discretionary)	48,598	4,937,639	49,666	4,740,913	49,757	5,330,450	91	589,537	55	591,800	36	(2,263)
Aviation Security Capital Fund		245,674		250,000		250,000	---	---	---	---	---	---
Checkpoint Screening Security Fund		187,356		---		---	---	---	---	---	---	---
Subtotal, Enacted Appropriations & Budget Estimates (Gross Budgetary Authority)	48,598	5,370,669	49,666	4,990,913	49,757	5,580,450	91	589,537	55	591,800	36	(2,263)
Less: Adjustments for Other Funding Sources:												
Aviation Security Fees - Discretionary	---	(1,833,137)	---	(2,322,720)	---	(2,248,541)	---	74,179	---	---	---	74,179
Aviation Passenger Security Fees (less ASCF in FY 08)	---	(1,419,022)	---	(1,872,000)	---	(1,780,941)	---	91,059	---	---	---	91,059
Aviation Security Infrastructure Fee (ASIF)	---	(412,203)	---	(448,000)	---	(448,000)	---	---	---	---	---	---
General Aviation @ DCA Fees	---	(20)	---	(120)	---	(100)	---	20	---	---	---	20
Indirect Air Cargo - Fees	---	(1,892)	---	(2,600)	---	(2,600)	---	---	---	---	---	---
Certified Cargo Screening Program	---	---	---	---	---	(5,200)	---	(5,200)	---	---	---	(5,200)
Large Aircraft Security Program	---	---	---	---	---	(1,600)	---	(1,600)	---	---	---	(1,600)
Secure Identification Display Area Checks	---	---	---	---	---	(10,000)	---	(10,000)	---	---	---	(10,000)
Other Security Threat Assessments	---	---	---	---	---	(100)	---	(100)	---	---	---	(100)
Less: Prior Year Rescission:	---	(4,500)	---	(31,000)	---	---	---	---	---	---	---	---
Net, Discretionary Appropriations & Budget Estimates	48,598	3,100,002	49,666	2,387,193	49,757	3,081,909	91	663,716	55	591,800	36	71,916
Aviation Fees - Mandatory	---	(433,030)	---	(250,000)	---	(250,000)	---	---	---	---	---	---
Aviation Security Capital Fund	---	(245,674)	---	(250,000)	---	(250,000)	---	---	---	---	---	---
Checkpoint Screening Security Fund	---	(187,356)	---	---	---	---	---	---	---	---	---	---

	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Aviation Security ARRA Funds			15	1,000,000								

III. Current Services Program Description by PPA

**Department of Homeland Security
Transportation Security Administration
Aviation Security Appropriation
Program Performance Justification**

(Dollars in thousands)

TRANSPORTATION SECURITY OFFICER (TSO) STAFFING AND OPERATIONS

PPA: SCREENING PARTNERSHIP PROGRAM

	Perm Pos	FTE	Amount
2008 Actual			\$148,495
2009 Enacted			151,272
2010 Adjustments-to-Base			(1,629)
2010 Current Services	149,643
2010 Program Change			
2010 Request	149,643
Total Change 2009-2010	(1,629)

The Transportation Security Administration requests \$149.6 million for this activity. This increase includes \$3.4 million for pay inflation and realigns \$5 million to Screener Training and Other.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Screening Partnership Program (SPP) allows an airport operator to provide screening services through a private screening company. The contractor must perform under federal oversight and the contracted screeners must perform at equal or higher performance levels than federal TSOs. TSA developed the SPP based on two years of operational experience with the Private Screening Pilot Program (PP5), key lessons learned from evaluation studies, and input from internal subject matter experts and external stakeholders.

The original five PP5 airports – San Francisco International (SFO), Kansas City International (MCI), Greater Rochester International (ROC), Jackson Hole Airport (JAC), and Tupelo Regional (TUP) – elected to remain in the SPP with qualified contractors performing screening functions.

These additional airports have been awarded SPP contracts:

- Sioux Falls Joe Foss Field Regional Airport, SD (FSD)
- Key West International Airport (EYW)
- Marathon Key Airport, FL (MTH) – Ceased operations in FY08
- 34th Street Heliport in New York City, NY
- Charles Schulz – Sonoma County Airport, CA (STS)
- Gallup Municipal Airport in Gallup, NM (GUP) – Ceased operations in FY08
- Roswell Industrial Airport in Roswell, NM (ROW)

Significant accomplishments in FY 2008 include:

- Completed cost and performance studies on SPP Program and renegotiated contracts for an annual savings of approximately \$1 million.
- Increased the Behavior Detection Officer (BDO), Aviation Direct Access Screening Program (ADASP) and Travel Document Checker (TDC) FTE at SPP airports.
- Integrated the Airport Federalization process into the SPP program and built the first comprehensive Airport Federalization database.

FY 2009 planned accomplishments include:

- Implement new uniforms and Checkpoint Evolution training at all SPP airports.
- Review areas for innovation and increased latitude for private screening operations, as well as implement security requirements in existing contracts as changes are made to Standard Operating Procedures (SOP) or as new security programs are developed.

In FY 2010, TSA will continue its 2009 areas of emphasis.

PPA: SCREENER PERSONNEL, COMPENSATION, AND BENEFITS

	Perm		
	Pos	FTE	Amount
2008 Actual	48,659	45,118	2,528,077
2009 Enacted	50,187	45,643	2,716,014
2010 Adjustments-to-Base		0	67,196
2010 Current Services	50,187	45,643	2,783,210
2010 Program Change	109	55	5,365
2010 Request	50,296	45,698	2,788,575
Total Change 2009-2010	109	55	72,561

The Transportation Security Administration requests \$2.8 billion for this activity. This is an increase of \$72.6 million over FY 2009, of which \$67.2 million is for pay inflation and \$5.4 million is for the expansion of the BAO program (55 FTE).

CURRENT SERVICES PROGRAM DESCRIPTION

Passenger and baggage screening protects commercial air travelers by preventing dangerous or deadly objects that individuals are attempting to smuggle onto aircraft, either on their person or in their carry-on or checked baggage. The TSA screening process must strike the appropriate balance between preventing security breaches and maintaining the efficient movement of law-abiding passengers through the security checkpoints. At the time of passenger check-in, TSOs use various types of electronic detection and imaging machines for this purpose, including X-ray machines, explosives trace detection equipment, walk-through metal detectors, whole-body imagers and hand-held metal detectors. At the checkpoints, TSOs may perform physical searches of carry-on baggage and pat-down searches of airline passengers, crew and airport employees in conjunction with the use of behavior recognition techniques and the validation of travel documents.

TSO Workforce and Attrition

By law all TSOs, both private and federal, are required to be U.S. citizens, pass a background investigation, and have a high school diploma, a general equivalency diploma, or sufficient experience. They must undergo extensive training and be certified to screen passengers and use the detection machines. They are subject to periodic training and testing with a failure to pass any phase of training or a certification examination as grounds for employment termination.

TSA is evolving and enhancing its security measures by increasing the amount of flexibility and adaptability of its workforce, which is paramount in countering the constantly changing threats to the transportation system. TSOs are just one of the layers of security needed to thwart the threats to the aviation system. TSA has added more specialized security positions with different skill sets such as Bomb Appraisal Officers (BAOs), Travel Document Checkers (TDCs), and Behavioral Detection Officers (BDOs) to enhance the level of security provided and to move security beyond the checkpoint environment. These additional layers of security have proven to be successful in implementation. TSA has seen the benefits of these new positions in providing a career path for TSOs, which has had a direct impact on reducing attrition and enabling TSA to retain a more tenured TSO workforce and benefit from that screening expertise. TSA also established a TSO Referral system to attract TSO candidates and facilitate recruitment and increase retention. This program was based on an idea from TSA's employee-driven Idea Factory. In FY 2008, TSA had a record low attrition rate:

Attrition Type	Work Schedule	FY04	FY05	FY06	FY07	FY08	Change from FY 04 - FY08
Voluntary	Full-Time ONLY	13.6%	13.4%	12.6%	11.6%	10.8%	-20.59%
Voluntary	Part-Time ONLY	57.8%	44.1%	38.6%	37.4%	31.8%	-44.98%
Voluntary	TOTAL	18.0%	17.4%	16.5%	17.4%	15.8%	-12.22%

TSA determines and allocates FTE to the airports through a process referred to as the Staffing Allocation Model (SAM). This model is constantly refined to most effectively allocate and manage the TSO workforce. Through the efficient allocation of resources, TSA has been able to

reduce its overtime expenditures by approximately 40 percent since FY 2006, utilize ‘Split-Shifts’ rotations, and increase work hours dedicated for training.

The TSO budgeted FTE levels are broken down as follows:

TSO Budgeted FTE by Job title

Job title	Band	FY05 FTE	FY07 FTE	FY08 FTE	FY09 FTE*	FY10 FTE
TSOs	D, E	35,471	31,131	32,180	31,536	31,192
Lead TSOs	F	5,256	5,490	5,490	5,490	5,490
Supervisory TSOs	G	4,273	4,360	4,360	4,360	4,360
BDOs	F,G,H,I	-	589	2,011	2,860	3,204
BAOs	H, I	-	118	297	297	352
Managers	H, I	1,094	1,045	1,100	1,100	1,100
TOTAL		46,094	42,733	45,438	45,643	45,698

TSO FTE Allocated to Security Duties

Job Duty	FY05 FTE	FY07 FTE	FY08 FTE	FY09 FTE*	FY10 FTE
TDC	-	-	2,001	2,001	2,001
ADASP	-	726	1,279	1,654	1,654
BDOs	-	589	2,011	2,860	3,204
BAO	-	118	297	297	352
Checkpoint / Other	46,094	41,300	39,850	38,831	38,487
TOTAL	46,094	42,733	45,438	45,643	45,698

* TSO Workforce is composed of approximately 11,000 Part Time TSOs and 38,000 Full Time TSOs (of which over 3,000 are Split-Shift Employees). TSA has increased the use of part-time employees from 14 percent to 24 percent from FY 2006 to FY 2008, increasing overall efficiency. In FY 2008, TSA provided all part-time employees with full-time equivalent benefits and is one of the few federal agencies to offer this unique benefit.

Career Progression Program

This program enables widespread career growth and professional development opportunities for high-performing TSOs, while reducing attrition and adding additional security. As emerging threats are identified and new technical measures are implemented, this robust and scalable career path is essential to TSA’s mission goals and efforts to enhance aviation security. The career progression structure allows TSA to distinguish and retain the more experienced, top performing, and better trained TSOs. Test results have shown a positive correlation between longevity and performance, including detection ability, screening efficiency and customer service. As threats evolve and increase in complexity, the advanced skills of the TSA workforce are necessary to stay ahead of terrorist capabilities.

Benefits of this program include:

- Providing for the promotions of TSOs to E Band, a TSO compensation scale above the existing entry-level D Band. TSOs are eligible based on a minimum of two year's experience, specific level of performance and additional training/duties.
- Increasing the number of available positions for specialized technical career tracks – Master and Expert Transportation Security Officers. Master and Expert TSOs are Behavior Detection Officers (BDO) or Security Training Instructors (STI) compensated at higher band levels. BDOs screen passengers by observation techniques (SPOT) to identify potentially high-risk individuals based on involuntary physical and physiological reactions. STIs perform training instruction based on national and local training programs.
- Deploying other new skill sets and training to TSOs which dramatically increased their abilities. Programs such as the Aviation Direct Access Screening Program (ADASP), Visible Intermodal Prevention and Response (VIPR) Program, SPOT, and the Travel Document Checker (TDC) program have enhanced TSOs' security expertise. TSOs are also eligible to apply for positions as BAOs, although the Explosive Ordinance Disposal (EOD) or civilian-equivalent training prerequisite of the program is met by few TSOs.
- Formally creating Coordination Center Officers. These TSOs assist with facilitating smooth communications and assist in analyzing information on threats and responding to crises. Coordination Center Officers also ensure directives from management are met in a timely and accurate fashion.

TSA firmly supports the notion of maintaining a smaller, more capable workforce. When a shift in security programs due to threats becomes necessary or if further efficiencies are realized, TSA will look towards appropriate security enhancements, such as training a larger proportion of the TSO workforce in behavior detection techniques.

Workforce Initiatives

Through the SAM process, TSA has been able to identify operational and efficiency gains made possible through better scheduling, the increased use of part-time and split-shift employees, technology improvements and management practices. These gains led to the expansion of security initiatives, largely accomplished within existing resources, which have significantly strengthened air transportation security. The workforce initiatives include:

- Travel Document Checker (TDC) Program - This program ensures that only passengers with authentic boarding passes can access the sterile areas of airports and board aircraft. It also allows TSA to better control passenger flow in and around the checkpoints while allowing for Sensitive Security Information regarding threats, watch lists, false documents etc. to be made available to TSOs. TSA funded the expansion of this program to all airports in FY 2008 by utilizing both the efficiencies gained internally and using funds requested in the FY 2008 Budget. In FY 2009, TSA allocated 2,001 FTE for this program

- Screening of Passengers by Observation Techniques (SPOT) - This essential program adds an important layer of security in all areas of an airport. It provides a non-intrusive means of identifying potentially high-risk individuals who exhibit behaviors indicative of inordinate levels of stress, fear and/or deception, which could possibly suggest intentions of terrorism and/or criminal activity. SPOT is conducted by certified TSA Behavior Detection Officers. Through appropriations and the SAM allocation process, TSA has been able to dramatically increase the size of this program. TSA plans to have 3,204 FTE dedicated to performing SPOT in FY 2010.
- Bomb Appraisal Officer (BAO) Program - This program strengthens the security of the Nation's transportation systems by providing frequent interaction and formal training to TSOs to increase their ability to recognize potential Improvised Explosive Devices (IEDs) and IED components. BAOs are highly skilled individuals who have undergone training in the disposal of explosive ordinance. This program provides preventative measures against IEDs while reducing costly airport delays and closures. The BAO Program currently operates at 113 airports. TSA is requesting an additional 109 BAOs (55 FTE) in FY 2010 to provide coverage at an additional 45 airports.
- Visible Intermodal Prevention and Response (VIPR) teams - These teams consist of TSOs, BDOs, Transportation Security Inspectors (TSIs) and Federal Air Marshals (FAMs). Their duty is to screen passengers, look for suspicious behavior and act as a visible deterrent in multiple transportation sectors, including buses, mass transit and airports.
- Aviation Direct Access Screening Program (ADASP) – This is an enhanced layer of security in response to a possible threat posed by airport and aircraft operator employees or other individuals and vehicles entering or present within a Security Identification Display Area (SIDA), Air Operations Area (AOA), secured, or sterile area. The objective of ADASP is to establish uniform procedures and standards for TSOs to screen individuals, their accessible property and vehicles upon entering a direct access point screening location, and conduct visual inspections of aircraft with the following goals:
 - Screen and inspect for the presence of explosives, incendiaries, weapons, and other prohibited items, improper airport ID media, and items identified through specific intelligence information; and
 - Conduct screening on a random and unpredictable basis varying location, type of procedures and duration.

The ADASP program is measured in terms of effort, not individual positions. Through FY 2008 appropriations and by examining scheduling practices and using part-time employees, TSA was able to increase this program's resources to 1,654 FTE.

The Aviation Screening Assessment Program (ASAP) - This program measures TSO screening performance using realistic and standardized test scenarios to improve aviation security and achieve a national TSO assessment measurement. ASAP was launched nation-wide during the third quarter of FY07. The primary purpose of ASAP is to provide statistical data to determine reasons for failure within the checkpoint and checked baggage screening process. ASAP test

results provide critical information to TSA leadership that helps with the improvement of aviation security and the identification of vulnerabilities across screening operations. Through continuous data analysis; recommendations and potential impacts will be provided to various stakeholders in the organization. A national baseline measurement was achieved by conducting a total of 11,400 assessments. Each ASAP cycle is six months long and the number of assessments required per cycle is based on the factors to be evaluated. A total of 6,600 assessments will be executed by the end of FY09.

Checkpoint Evolution

An effective security system must constantly adapt to the ever-changing security environment. TSA's process of upgrading the security effectiveness at checkpoints, which encompasses people, process, and technology, is called Checkpoint Evolution. This program is the most significant change in passenger screening since 9/11 and since the checkpoint was first established in the 1970's. TSA has taken a fresh look at checkpoint operations to see how security can be improved. TSA has used the knowledge gained from employee input and passenger feedback and evaluated readily deployable technology to develop the changes being piloted.

Air travelers will notice a new look at the checkpoint. The most significant aspect is the new checkpoint supports a team approach that is calmer and more conducive to smart security. The main point of the Checkpoint Evolution is not to provide the public with the tangible improvements, such as soothing lights and soft music. Rather, the goal is to improve security through better training, processes, and technology. A variety of measures, including self-select lanes that speed the process, wireless communications that facilitate discrete communication between Security Officers, and new passenger engagement training protocols, all contribute to the reduction of some of the noise and commotion thereby enhancing our security measures.

Beginning in FY 2008, every TSO working at a checkpoint underwent an extensive sixteen-hour re-training, bringing together the latest thinking from intelligence, explosives detection, and non-human factors that can affect security. One goal of the training was to empower TSOs to be less confined by Standard Operating Procedures (SOPs), but to focus their decision-making abilities on all possible risks and threats. The training entailed a passenger engagement component as well as sections on basic smuggling tactics, intelligence information and understanding the terrorist mindset.

Workers' Compensation

TSA continues to aggressively reduce U.S. Department of Labor Office of Workers' Compensation Program (OWCP) costs through strategies of prevention, education, case management, and nurse intervention. TSA field operations are required to develop a local safety program targeted at inspections, hazard recognition and analysis, hazard abatement, and injury documentation. The Office of Occupational Safety, Health and Environment (OSHE) provided field support to the nation's airports to develop their safety programs, and eleven safety courses aimed at injury prevention are posted on TSA's Online Learning Center. TSA implemented a national nurse case management program at 21 airports that has successfully assisted TSOs in returning to employment in a shorter time.

In addition, the President’s Safety, Health, and Return to Employment Initiative (SHARE) requires Federal agencies to reduce the Total Case Rate (TCR) and Lost Time Case Rate (LTCR) by three percent each Fiscal Year from the FY 2003 baseline. TSA has exceeded this goal by reducing the total number of TSO injuries and illnesses from 13,781 in FY 2005 to 2,333 in FY 2008, resulting in a 65.07 percent reduction in TCR to 10.15 per 200,000 work hours. In FY 2009, TSA continues to reduce the number of TSO injuries and illnesses.

	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009 Q1	Percent Change FY 2005 - FY 2008
Total Case Rate (TCR)	22.89	36.27	29.06	16.46	13.93	10.15	6.77	65.07
Lost Time Case Rate (LTCR)	--	--	12.89	8.94	7.19	5.14	3.29	60.12

These initiatives have led to a \$3.3 million decrease in OWCP costs between FY 2008 and FY 2009 (from \$58.8 million for FY 2008 to \$55.5 million for FY 2009). TSA anticipates that these efforts will mitigate injuries and further reduce costs in the out-years.

Accomplishments and Enhancements

Significant accomplishments for this PPA in FY 2008 include:

- Completed roll-out of the new TSO Uniforms and Badges. The new uniforms were changed to be more reflective of the critical nature of the TSOs’ work and high standards. TSOs wear the badge and uniforms as visual reminders of the team nature of security;
- Successfully conducted an airport employee screening pilot program at seven airports in accordance with the FY 2008 Appropriations Bill;
- Reduced wait times over 20 minutes. Over 99% of wait times are less than 20 minutes; and
- Tripled the number of IED Checkpoint drills.

FY 2009 planned accomplishments include:

- Completing Checkpoint Evolution training for over 50,000 employees;
- Utilizing advanced communication systems for TSOs throughout the airport; and
- Utilizing STIs for re-certification training. By eliminating contractor support and performing this essential function with TSOs, TSA will be able to focus its training resources more directly on TSOs.

In FY 2010, TSA will continue the proven security programs mentioned above and expand them to further enhance aviation security. TSA’s FY 2010 request includes an increase to the BAO Program. The addition of 109 BAOs (55 FTE) will provide coverage at 40% more airports, including all Cat X and I airports, and will provide a BAO in every hub-spoke airport system. The 109 BAOs will enable TSA to provide 40% more IED training to TSOs. The pilot programs indicated a 50% improvement in TSO capability to detect IEDs after training and frequent interaction with BAOs.

PPA: SCREENER TRAINING AND OTHER

	Perm Pos	FTE	Amount
2008 Actual		69	216,830
2009 Enacted	56	54	197,318
2010 Adjustments-to-Base			4,460
2010 Current Services	56	54	201,778
2010 Program Change			1,685
2010 Request	56	54	203,463
Total Change 2009-2010	6,145

The Transportation Security Administration requests \$203.5 million for this activity. This is an increase of \$6.2 million over FY 2009. The adjustment to base includes \$160 thousand for pay inflation and \$4.3 million for increased costs for bottle liquid scanner sensing elements and other consumables. The program increase is for this PPA's applicable portion of the 109 FTP/ 55 FTE increase to the BAO program.

CURRENT SERVICES PROGRAM DESCRIPTION

This activity provides the resources to support new and recurring training requirements for the TSO workforce, as well as other direct costs associated with TSO operations.

The following table provides the components of this PPA.

(dollars in millions)

	FY 2010
TSO Training	\$106.2
Screeener Supplies/Janitorial/Uniforms	58.4
National Deployment Office	20.0
Environmental Program	12.1
Model Workplace Program	2.6
Tort Claims	4.1
Total	\$203.4

Transportation Security Officer (TSO) Training: TSO training is comprised of a compendium of courses that includes basic training for initial hires, On-the-Job Training (OJT), Lead and Supervisor technical training, recurrent training, advanced technical skills training, remedial training, and return-to-duty training. All new hires receive a combination of instructor-led, hands-on, and web-based training. Recurrent and specialized training courses are provided by either classroom instruction or the TSA On-Line Learning Center (OLC).

TSA uses a measurement and evaluation process to ensure that training programs meet established objectives and standards. Training effectiveness is assessed using a four-level model measuring trainee reaction, learning, behavior, and results. TSA also conducts assessments to ensure that a high level of instructional quality is maintained.

The following programs are funded through this activity:

- New Hire Training Program (NHTP): The bulk of the security training funding provides for classroom instruction on checkpoint procedures, including travel document checking. The checked baggage screening procedures module includes on-screen-resolution protocol (OSARP) training for all new hires depending upon the equipment in place at their duty location. NHTP provides web-based training, 40 hours of instructor-led training, and hands-on equipment-specific labs at the home/hub airport. To coincide with the introduction of emerging technologies into the mainstream passenger screening process, TSA develops and subsequently delivers training to support those technologies.

TSA continues to incorporate new and innovative adult learning techniques to improve and expand the TSOs skills and capabilities in screening processes. The use of various training tools such as distance learning, training labs and engagement training, will provide TSOs with increased hands-on training opportunities and the tools needed to improve their level of professional confidence. These tools help to cultivate a holistic view of aviation security and the critical role each TSO has in the security of the transportation system.

- Recurrent Training: All TSOs are required to undergo recurrent security training to ensure they maintain proficiency of skills learned during basic training. Additionally, the recurrent courses are designed to keep the workforce up-to-date with procedural changes; new technologies introduced into the screening operations; equipment used by the TSOs in the performance of their duties; and, new threat items. This training is often delivered on a weekly basis and is used to target the TSOs' individual training needs (e.g. X-ray Image Interpretation). Recurrent training courses are also required for BDOs, BAOs and the TDCs programs.
- Checkpoint Evolution Training: This new checkpoint strategy incorporates an intelligence-based focus on the interaction and communication with passengers, enlisting them as active participants in the security process. Every TSO working at the checkpoint underwent re-training that consolidated the latest thinking in intelligence, explosive detection, and human factors that can affect security. This new training will make TSOs more analytical and less "check-list oriented." The existing NHTP and recurrent training curriculum will incorporate elements of this initiative as a theme focusing on four main elements: security-driven imperative to engage passengers; calming of the checkpoint to enhance early detection of hostile intent; increase of unpredictability; and reduction of congestion through passenger engagement at multiple points throughout their journey.

Currently, there are two instructor-lead training courses for checkpoint evolution. All TSA personnel are required to take the first course and all supervisory personnel (Lead TSOs and above) are required to complete the second course. This second course provides mid-level managers with skills necessary to help reinforce the training and provide guidance to TSOs. In FY 2010, the TSA will develop the next phase of training that will continue to promote the concept of critical thinking and to continue to instill the ideals of Coach and Engage.

- Behavior Detection Officer (BDO) Program: This curriculum provides training in behavior observation and analysis at the checkpoint for the purpose of identifying passengers exhibiting behaviors indicative of stress, fear and deception. This program, known as Screening Passengers by Observation Techniques (SPOT), is performed by BDOs at all major airports. The curriculum for this program will continue to be upgraded to include additional requirements in behavior detection and reflect new techniques in deception prevention.
- Bomb Appraisal Officer (BAO) Program: The need for Bomb Appraisal Officers in all major airports requires specialized security training for those individuals selected to perform this duty. These in-house explosives experts provide rapid response for advanced resolution of alarms and instruction to TSOs to better identify potential Improvised Explosive Devices (IED) and IED components.
- Security Training Instructor (STI): This training supports the creation of a permanent TSA in-house instructor certification program. In the past, TSOs performed instructor functions as a collateral duty under the TSA Approved Instructors (TAI) program. The STI program provides more stability and consistency in that these TSOs become virtually full-time instructors while creating a career progression opportunity. The STI will perform instructional duties 80% of their time and perform security screening duties the remaining 20%. In 2007, STIs provided Basic Screener Training (BST) to 40% of the newly hired TSOs, while the contractor provided 60%. The goal in FY 2010 is for the STIs to provide BST to 90 percent of all new hire TSOs.
- Supervisor Technical Training Course (STTC): The technical and leadership competence of Supervisory Transportation Security Officers (STSO) is a critical component of workforce effectiveness and retention. TSA developed and deployed a course to strengthen STSOs' technical and general supervisory skills and provide tools needed to successfully manage the daily responsibilities and challenges faced at the checkpoint and/or checked baggage screening locations. TSA is conducting STSO Train-the-Trainer courses to enable airports to provide ongoing training to their STSOs at their home airports. TSA plans to develop recurrent training to support the STTC. TSA is also developing a course for its Lead TSOs (LTSOs), as they also fulfill a critical role in the overall TSO management change.
- Performance Reviews: All TSOs, Lead and Supervisory TSOs must participate in an Annual Proficiency Review to ensure that they meet all of the qualifications and performance standards required to perform their duties as set forth under ATSA. TSOs will continue to be certified annually based on their overall annual performance as defined by the Performance Accountability and Standards System (PASS). In 2008, PASS Technical Proficiency testing focused on image recognition, proper screening techniques, and the ability to identify, detect, and locate prohibited items. Technical proficiency is measured in the following ways:
 - Measuring Image Proficiency -- One image quiz per year administered using the Test Administration System (TAS) software;
 - Measuring Practical Skills -- One Practical Skills Evaluation, including the detection of prohibited items, of all TSOs per year.

The performance review process changed in FY 2008 when it was restructured into a locally managed effort. In FY 2009, the over 40,000 TSOs requiring certification will be certified by TSA evaluators, as opposed to a contractor. In addition, an end-to-end paperless evaluation and reporting environment will be created as well as object recognition assessments that accommodate for the evolving technology deployed at airports. Results-based practical skills evaluations that focus on preventing prohibited item access to the sterile area will be implemented.

In FY 2010, performance reviews will continue to focus on major procedural violations and preventing prohibited items into the sterile area. This will use a menu-based approach allowing airports to choose from a series of real-life scenarios designed to accurately reflect checkpoint threats. Airport personnel will conduct remediation and "re-evaluation" as necessary to ensure that poor performers are able to attain the "Achieves Standard" level or higher. Those employees who fail are subject to termination.

Significant accomplishments for the Screener Training Program in FY 2008 include:

- Trained over 13,088 new TSO hires, 1,522 BDOs at 119 airports
- Trained and certified 424 STIs
- Certified BAOs for placement at 103 airports
- Replaced the TSO annual training plan with monthly recurrent training plans for all TSOs
- Conducted 18 train-the-trainer classes for Supervisor Technical Training Course (400 trained)
- Deployed over 1,250 Liquid Explosives Training Kits, over 1,250 Pat Down Training Kits, and 800 IED Component Display Boards

FY 2009 planned accomplishments include:

- Launching the new NHTP with built-in training options
- Training and certifying an additional 125 STIs
- Developing and implementing BDO recurrent training and BAO Certification course
- Certifying BAOs at remaining four airports
- Launching the Supervisor Technical Training Courses
- Developing and conducting IED Exercise Drills and Kits for checked baggage and checkpoint TSOs

In FY 2010, TSA will continue its focus on training to ensure its workforce is equipped with the necessary tools. TSA will provide new hire security training for approximately 6,500 new hire TSOs, train and certify an additional 75 STIs, develop recurrent training for the Supervisor Technical Training Courses, and fully implement training courses for Lead TSOs and training managers

TSA is constantly developing and updating training and training aids due to the ever-changing threat from terrorism and the terrorist adaptation to security and screening procedures, and will continue these efforts in FY 2010. Additionally, many of the existing IED Training Tool Sets will be due for rotation from the field for upgrading. The Liquid Explosives Training Kit distributed in FY 2008 will be expanded each year to include an increased number of liquid explosive stimulants as the intelligence community provides information on the terrorists'

technological advancements. As the terrorists broaden their attack methodologies and capabilities, much of the existing training, many of the training aids, and approximately 7,500 tool sets will have to be upgraded to address the evolving threat.

TSA employs a variety of automated training and testing tools to enhance TSO skills, including computer based courses, training videos, and Threat Image Projection – where new threats are flashed on the computer screen at checkpoints to test a TSO’s detection ability. TSA continues to use the latest cutting edge technologies to provide sophisticated scenario-based training. TSA also provides an on-going, up-to-date “Threat in the Spotlight” training specifically for TSOs and their supervisors that describes and shows actual pictures of threats found by TSOs at airports or from other intelligence resources. TSA is constantly researching and evaluating new training methodologies to better equip the TSO workforce.

TSA will test and evaluate the effectiveness of new screening technologies for passengers and baggage. TSA has begun testing Whole Body Imagers, including millimeter wave and x-ray backscatter; reduced-size EDS for use at checkpoints and possibly as a combined solution for checked baggage and checkpoint baggage screening; shoe and bottled liquid scanners; and advanced technology X-ray providing increased capabilities. As these new technological advances in screening are tested and implemented, new training modules will be developed and existing training updated to ensure TSOs are knowledgeable, skilled and prepared.

Supplies/ Janitorial/ Uniforms: Consumable supplies are critical materials used by TSOs to ensure consistently effective checked baggage security levels. These consumable supplies include: disposable gloves, sample swabs or traps, sample wands, daily calibration tokens, sticks or traps, moisture removers, filters, printer paper, and ribbons, reactant materials, special solutions, label seals to identify bags inspected by TSOs, TSA logo inspected tape to reseal cardboard boxes and packages after inspection, and baggage inserts to notify passengers that TSA has opened their bag for inspection and providing contact information in the event of a problem.

TSA began issuing bottled liquids scanning equipment to airports in FY 2007. This equipment requires a sensing element in order to detect traces of certain chemical agents that must be periodically replaced. TSA purchased an additional 200 Fido and/or Sabre 4000 units during FY 2008, which will increase the annual costs of these consumables. Subsequently, TSA has rebased \$2 million for this.

TSA continues to support janitorial services contracts for passenger checkpoint and baggage screening areas to ensure a safe, debris-free work environment for TSOs and convey a positive image of TSA work areas to the traveling public. TSA currently provides janitorial reimbursement at over 90 federalized airports and reimbursement requests are increasing at a rate of approximately 22 airports per year. Recent large airport requests for reimbursement and an increase in labor costs necessitates increased funding. Subsequently, TSA has rebased \$2 million for this.

In FY 2007, TSA changed the Transportation Security Officer uniform based on the recommendation of TSA’s National Advisory Council. A board was established to redesign the uniform based on input and research with changes made to improve fit, comfort, durability, safety, image, and add other elements including a new metal shield. TSA began the distribution

of the new uniforms to TSOs at the end of FY 2007 and completed the change-over on September 11th 2008. In FY 2010, TSA will continue to provide uniforms to new hires as well as provide replacement uniforms to all TSOs through the annual allowance program.

National Deployment Office (NDO): The NDO provides additional TSOs to airports for screening support for crisis response and recovery, seasonal demands, special events or other activities that require higher-than-current staffing levels. Each request for NDO support is analyzed from a cost/benefit/risk perspective to ensure the optimal use of limited resources. The NDO's responsibilities include deploying TSOs, Transportation Security Inspectors (TSIs) and Behavior Detection Officers (BDOs) in support of Visible Intermodal Prevention and Response (VIPR) Teams. VIPR teams deploy to enhance and augment local transportation security operations in the non-aviation modes of rail, mass transit, bus and/or ferry modes. For disaster response operations, the NDO is responsible for deploying nine Transportation Security Advance Teams (TSAT), which include 126 personnel, and 24 Transportation Security Forward Teams (TSFT), which include 600 personnel. TSA continues to review methods for reducing costs associated with the NDO program.

Significant accomplishments for the NDO in FY 2008 include:

- Deployments - Conducted 218 independent deployments, deploying 5,114 personnel equaling 108,670 labor days of support. These deployments supported airports in the following areas:
 - ✓ Disaster response and recovery operations
 - ✓ Seasonal Support
 - ✓ Risk Mitigation Operations (VIPR)
 - ✓ Special Events (Republican National Convention & Democratic National Convention)
 - ✓ Equipment support
 - ✓ Pilot programs support
 - ✓ Training support
 - ✓ Hiring Shortfalls support
 - ✓ Expanded Air Service support
- Crisis Response Deployments - Conducted over 3,300 logistical personnel movements in support of Hurricane Gustav and Ike recovery operations.
 - ✓ Hurricane Gustav - Deployed 558 personnel and 2,928 labor days of support.
 - ✓ Hurricane Ike - Deployed 629 personnel and 6,346 labor days of support

In FY 2010, NDO will continue to support the movement of security operations personnel in support of the VIPR teams, security pilot programs, disaster response operations and other emerging operational requirements.

Environmental Program: This program provides for the disposition of hazardous materials and abandoned personal property collected by TSA at checkpoints, as well as the maintenance of the environmental management system. TSA has an extensive and complex program to safely and securely identify, sort, store, and protect assets; as well as remove and dispose of hazardous and voluntarily abandoned property. With over 448 airports, it is not cost effective for each airport to individually handle hazardous material disposal. TSA's national hazardous materials disposal program protects the traveling public from exposure to hazardous materials and complies with Federal, State, and Local environmental regulations and laws.

Significant accomplishments for Environmental Programs in FY 2008 include:

- Won the 2008 "Federal Electronics Challenge" (FEC) Gold Award. This award recognizes outstanding environmental stewardship in all three life cycle phases of electronics acquisition, energy efficient utilization, and disposal.
- Won the 2008 "Closing the Circle" (CTC) Award. This is a Presidential level award that recognizes outstanding achievements of Federal employees and their facilities for efforts, which resulted in significant contributions to, or have made a significant impact on, promoting environmental stewardship.
- Conducted TSA/EPA Regulatory workshops. These workshops were developed and executed in response to a number of EPA or State regulatory inspections executed in FY2007. In addition to providing training to TSA Environmental Management Coordinators, the workshops increased EPA and State regulatory inspector understanding of TSA's regulatory approach as well as provide an opportunity to develop a positive rapport with the EPA and state regulatory inspectors.

FY 2009 planned accomplishments include:

- Continue to implement and maintain the environmental management system and the disposal of hazardous materials and abandoned personal property collected by TSA at checkpoints.
- Complete the NEPA reviews of TSA emerging technologies and facilities.
- Establish a baseline to account for all personnel that use some form of environmentally-friendly transportation: public transportation, van and car pools (including slugging), bicycling or motorcycling, and commuter buses and trains.

In FY 2010, TSA will complete a comprehensive review of the Hazardous Materials Management Program training course to ensure compliance.

Model Workplace Program: The FY 2010 request for \$2.6 million provides funding for the Model Workplace Program Office which identifies and implements the best employment ideals and practices to make TSA an employer of choice. The cornerstone of the program is TSA's Integrated Conflict Management System (ICMS). The ICMS builds and sustains an environment in which issues, ideas, and concerns are raised and addressed, and conflict is managed effectively. The system provides skills, structure, and support to cooperatively solve problems necessary for good relationships, teamwork, and organizational effectiveness.

Significant accomplishments for Model Workplace Program in FY 2008 include:

- Developed and deployed standards for ICMS implementation for Level 1 and 2 (on a five level maturity scale), and integrated competencies into leadership, management and Checkpoint Evolution curriculum and training programs;
- Continued the management and facilitation of the National Advisory Council (NAC); and
- Continued expansion to 135 ICMS Coordinators nationwide.

FY 2009 planned accomplishments include:

- Issue a management directive to codify policy, guidance, and standards for the ICMS;
- Develop internal practitioners to continue the development of core competencies in conflict management and cooperative problem solving; and
- Expand the influence and span of the NAC by fully engaging the NAC Network in the gathering of ideas and sharing information.

In FY 2010, TSA will define Level 3 ICMS and deploy to all TSA locations.

Tort Claims: TSA currently screens over 50 million bags per month and over 35 million passengers per month. Occasionally, during the screening process, a screener may damage or misplace passengers' property. TSA reimburses passengers that have experienced loss or damage due to the negligence of a TSA employee.

PPA: CHECKPOINT SUPPORT

	Perm Pos	FTE	Amount
2008 Actual	10	5	23,585
2009 Enacted	41	40	250,000
2010 Adjustments-to-Base	(121,261)
2010 Current Services	41	40	128,739
2010 Program Change			0
2010 Request	41	40	128,739
Total Change 2009-2010	(121,261)

*The table above excludes ARRA funding of \$300 million provided in P.L. 111-5. The Transportation Security Administration requests \$129 million for Checkpoint Support activities, a decrease of \$121 million as a result of , non-recurring funds from the FY 2009 Enacted level and pay COLA

CURRENT SERVICES PROGRAM DESCRIPTION

The checkpoint support program provides the resources required to test, evaluate, integrate, and deploy passenger screening and carry-on baggage screening capabilities. This involves technologies, training, checkpoint reconfigurations, closed circuit television surveillance equipment, and safety and optimization services at approximately 2,200 passenger checkpoint lanes in our Nation's airports. TSA developed a strategic plan to enhance screening through

improved checkpoint technology which will refine passenger security for aviation. This initiative extends beyond the airport checkpoint and considers the end-to-end passenger experience to improve security and increase efficiency. Focus is on three key elements: improved explosive detection, enhanced hostile intent detection, and extended presence in the passenger journey.

Current technologies that have been deployed include Threat Image Protection (TIP) Ready X-Ray machines (TRX); enhanced walk-through metal detectors (WTMD) that screen persons for metallic weapons such as guns or knives; explosives trace detectors (ETD), which are used to test for explosive residue on selected carry-on items; bottled liquid scanners (BLS), which screen bottles to determine if they contain explosives or benign liquids; whole body imaging systems (WBI) consisting of Millimeter Wave, backscatter x-ray, and other technologies capable of providing images of threat objects on a person's body; and advanced technology systems (AT), which are X-ray systems with advanced visual detection capabilities, using multi-view capabilities or automated explosives detection capabilities.

AT and BLS are being deployed as a system to provide enhanced liquid threat detection capabilities. The national deployment strategy is primarily based on airport prioritization generated by the Office of Intelligence and implemented at 15 airports. A modified strategy was developed based on intelligence concerning liquid threats. The Passenger Screening Program (PSP) will rapidly deploy AT and BLS to those airports identified and then revert to the original national deployment plan to replace legacy equipment with more technologically advanced systems.

The TSA received American Recovery and Reinvestment Act (ARRA) funding to be used at the checkpoint in order to procure and install checkpoint explosives detection equipment. The TSA will use these funds to accelerate the large scale deployment of AT systems, Universal Conveyor Systems (UCS), BLS, WBI, and NextGen ETDs. By the end of FY 2010, enough AT and BLS will be procured to complete full operating capability (FOC) of these systems. ARRA procurements of WBI, UCS, and NextGen ETD will provide a significant percentage of coverage toward FOC of these systems.

FY 2008 significant accomplishments include:

- Conducted operational testing and evaluation of several new passenger screening technologies and process flow enhancement initiatives, including bottle liquid screening equipment, cast and prosthesis screening equipment, Automated Carry-on Explosives Detection Systems, WBI, AT Systems, Checkpoint Evolution initiatives, and document authentication devices.
- Procured and deployed AT Systems, WBI, Automated Carry-on Explosives Detection Systems, Standoff Detectors (SOD), and Cast and Prosthesis Imagers (CPI).

FY 2009 planned accomplishments include:

- Operational testing and evaluation in support of development of Qualified Product Lists for enhanced capability WBI, shoe scanner systems, AT carry-on baggage screening systems, and BLS.
- Operational evaluations of Credential Authentication Technology and Boarding Pass Scanning Systems.
- Continued evaluation of ETD technology to expand current list of qualified products; process optimization initiatives, and continued enhancement of testing and evaluation capabilities.
- Acceleration of the full operating capability (FOC) of AT, UCS, BLS, WBI, and ETD through usage of ARRA funds.

The following table provides the components of this PPA.

(dollars in millions)

	FY 2010
Checkpoint Technology	\$100.1
Reconfiguration, Safety, and Optimization	15.2
Advanced Surveillance Program	6.3
Payroll	7.1
Total	\$128.7

Checkpoint Technology: This request includes \$100.1 million to procure and deploy improved technology systems to further extend explosives and prohibited item detection coverage at aviation checkpoints. It includes \$72 million to test, purchase, and install new screening equipment and update existing equipment. Funds will also be used for program, engineering, technical support and travel, original equipment manufacturer training, warehousing, consumables, and refurbishing equipment, to provide functionality and performance enhancements as well as for life-cycle replacements for units reaching the end of their useful life. Equipment purchases may include WBI, CPI, shoe scanner systems, credential authentication technologies, technology integration solutions, and additional units or upgrades to legacy equipment. This equipment will enable TSA to detect a greater range of threats more quickly and with greater accuracy than existing equipment. TSA piloted both millimeter wave and backscatter technology at Category X and I airports. TSA will be deploying additional WBI systems that will build off current capabilities such as auto detection algorithms, networking and multiplexing.

Technology	FOC	FY 09	ARRA	FY10 Planned Procurements	FY10	Total
Advanced Technology *	2325	62%	95%	0	95%	95%
Universal Conveyor Systems	2325	9%	20%	75	24%	24%
Bottled Liquids Scanners	1300	62%	100%	0	100%	100%
Credential Authentication Technology	878	46%	46%	400	91%	91%
Enhanced Metal Detectors - 2	1850	0%	0%	125	7%	7%
NextGen Explosives Trace Detectors	1500	13%	33%	100	40%	40%
Shoe Scanner	1300	0%	0%	100	8%	8%
Stand Off Detectors	351	9%	9%	20	15%	15%
Whole Body Imagers	878	25%	47%	75	56%	56%

* Percentage of Full Operating Capability (FOC) based on FY 2014 estimates. Quantity of AT units to be procured with FY10 Funds will meet current nationwide requirements.

Reconfiguration, Safety, and Optimization: The evolution of the airline industry and the need to deploy emerging technology fuels the requirement for reconfiguration, safety, and optimization funding. Funding of \$1.2 million will support the optimization and reconfiguration of additional lanes to accommodate any airport growth and maintain throughput at the busiest checkpoints. This effort will incorporate, as appropriate, alternative configurations that improve security and throughput while reducing congestion at “soft target” locations like airport lobbies. These enhancements may include remote screening centers, improved divestiture and reorganization zones, or special lanes for no/single carry-on baggage. Funding will also be used to complete safety projects to correct and/or mitigate existing safety hazards in public and non-public TSA screening areas that contribute to a significant number of on-the-job injuries among TSA employees.

Optimization is targeted at identifying expedited improvements that simultaneously address safety issues and improve operational efficiency while maintaining or enhancing transportation security. These initiatives may involve moving equipment, small scale construction, HVAC, and/or related mechanical and electrical work. Funds may also be used to purchase any ancillary equipment such as roller tables, lift carts and fatigue mats needed for a particular project.

Advanced Surveillance Program (formerly Electronic Surveillance Systems): The Advanced Surveillance Program (ASP) utilizes the existing infrastructure owned and operated by the transportation authority for remote monitoring, threat detection and assessment in a partnership agreement to provide enhanced situational awareness to local TSA. In FY 2010, \$6.3 million of funding is requested for these activities. These systems, collectively known as advanced surveillance systems, have proven to be a key component in the “best practices” of the security industry world-wide for many years. They provide threat identification, situational awareness, deterrence, loss prevention, investigative and legal activities along with standard management functions. ASP promotes a cooperative partnership and sharing of information between Federal and local authorities and provides invaluable coordination for command and control as well as first responders in the event of an incident or threat.

Payroll: The request provides \$7.1 million to support 49 full time positions.

PPA: EDS/ETD PROCUREMENT AND INSTALLATION

	Perm Pos	FTE	Amount*
2008 Actual	18	9	\$521,997
2009 Enacted	111	106	294,000
2010 Adjustments-to-Base	-4	-4	(2,809)
2010 Current Services	107	102	291,191
2010 Program Change			565,400
2010 Request	107	102	856,591
Total Change 2009-2010	-4	-4	562,591

* Excludes mandatory funding of \$250M

The table above excludes ARRA funding of \$700 million provided in P.L. 111-5. The Transportation Security Administration requests \$857 million for this activity. This includes a program increase of \$565 million.

PROGRAM DESCRIPTION:

TSA requests \$857 million to support the purchase and installation of in-line systems for airports selected in accordance with the EDS Strategic Plan. There has been steady progress in deploying systems at high-priority airports in the past several years.

In 2006, TSA developed a Strategic Plan for achieving optimal screening solutions at the top 250 commercial airports. Implementation of these optimal solutions will provide for decreased life cycle costs for the EDS program. This plan uses a top-down prioritization model to perform a systematic, comprehensive assessment of screening alternatives at airports balancing security and economic factors. These results feed into a deployment model that prioritizes allocation of available funds.

In-line EDS screening systems provide more reliable baggage delivery, greater efficiency, and increased flexibility to accommodate traffic growth. TSA benefits from operational improvements associated with this type of automation. For instance, working conditions for TSOs improve with in-line systems. Alarms can be resolved in quieter, dedicated spaces properly designed for the alarm resolution function. On-the-job injuries are reduced as a result of better-designed alarm resolution areas since fewer alarms mean fewer bags are lifted by TSOs. These are just some examples of the broad reaching benefits of in-line systems.

The FY 2010 request will be used to evaluate, select, deploy, and maintain the electronic baggage screening technology systems. The program is responsible for ensuring that 100% of all

checked baggage is screened with explosive detection system capability or a suitable alternative. The two primary technologies acquired and deployed under the Electronic Baggage Screening Program (EBSP) are Explosive Detection System (EDS) equipment and Explosives Trace Detection (ETD) devices. Continuous improvements are required to increase equipment reliability, reduce downtime, extend service life, and eliminate TSO safety hazards in order for EBSP to substantially improve the effectiveness and efficiency of the deployed screening equipment. TSA's activities related to purchasing and installing EDS and ETD systems consist of some or all of the following, depending on the equipment and specific location: 1) operational testing and evaluation, 2) equipment purchase 3) site survey and design, 4) site preparation, 5) facility modification, 6) warehousing and shipping, 7) equipment installation, integration, and multiplexing, 8) independent verification and validation testing, and 9) program support.

Program progress relative to EDS/ETD deployment and facility modifications

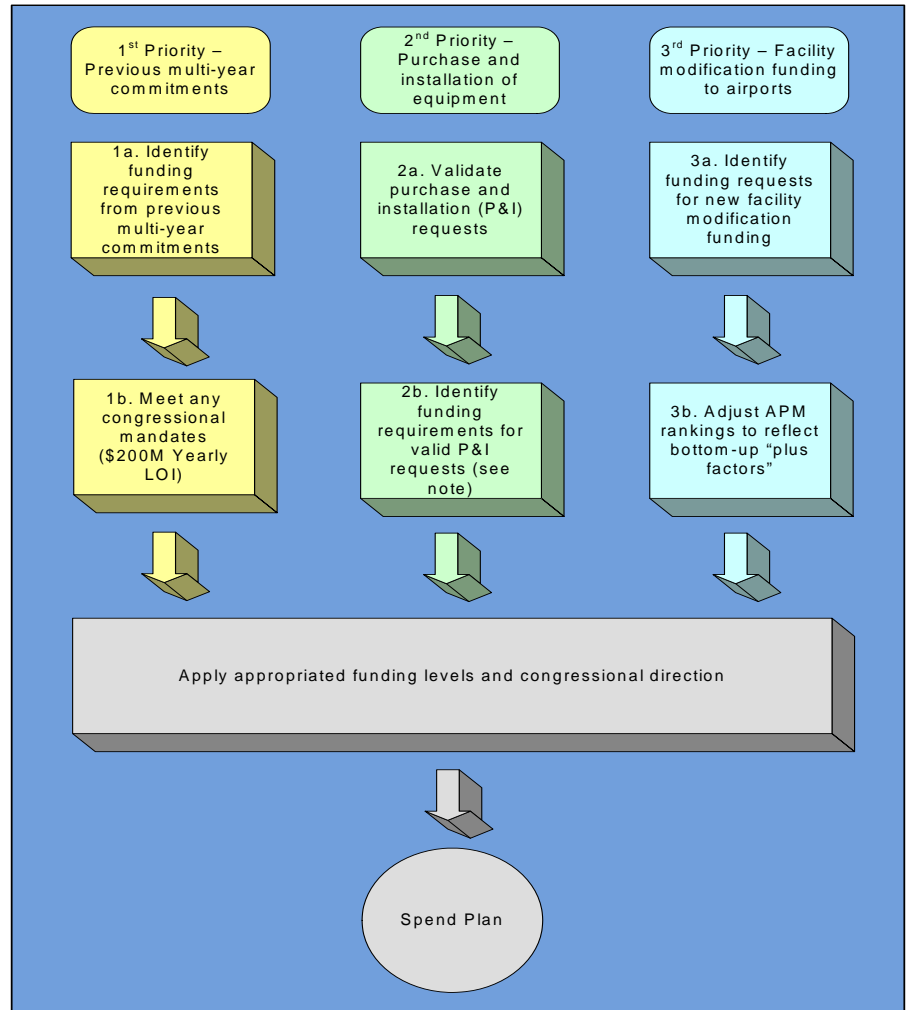
Category	Total Number of TSA Airports	Entire Airport with Optimal Systems	Some Screening Areas with Optimal Systems	Total Number of Airports with at least one Optimal System	% of Airports with at least one Optimal System	Optimal Systems Inline Projects Funded FY 09*	Optimal Systems Inline Projects Funded ARRA*	Optimal Systems Inline Projects Funded FY 10 Current Svcs	Optimal Systems Inline Projects Funded FY 10 Above Target - \$565M
X	27	5	17	22	81%	2	5	3	4
I	55	15	17	32	58%	3	9		5
II	73	27	15	42	58%	6	6	1	8
III	122	21	3	24	20%	10	21		3
Total	277	68	52	120	43%	21	41	4	20

*FY 09 and ARRA funds include reduced size EDS purchase for current ETD-only airports.

Facility Modification Project Prioritization

Facility modification priorities necessarily occur after resources are allocated to other program commitments. First, the program must assign resources to previously committed multi-year agreements for facility modifications. This is followed by the purchase and installation of EDS equipment to support new airport terminals, to ensure security compliance, to fulfill existing airport agreements and to ensure equipment is available for new projects.

To prioritize facility modification projects, several factors are considered beyond the risk-based Airport Prioritization Model (APM) ranking, including the cost share the airport is willing to assume, the scoring of the airport's funding application, and the readiness of the airport to apply funding (i.e., schedule). In this process, TSA first runs a top-down model to generate the APM scores. The program concurrently reviews airport funding applications submitted. TSA then scores the additional factors and generates a prioritization list. The workflow figure that follows indicates how that process is conducted. Lastly, a factor for readiness is then applied to ensure that funds are directed to airports that are ready to apply them.



Process Overview



EDS

EDS is the main technology used in the checked baggage screening process. This equipment automates what was previously a manually-intensive baggage inspection, allowing faster bag throughput (up to 300 percent) and improved threat detection capabilities. EDS machines are the largest and most expensive security screening equipment in the TSA inventory.

Most of the currently deployed EDS technology developed prior to the Aviation and Transportation Security Act (ATSA) was based on standards set forth by Congress in the Aviation Security Improvement Act of 1990. Since large-scale deployment of EDS systems by TSA in 2002 and 2003, manufacturers have made improvements to lower alarm rates and increase throughput capacity for this equipment. The EDS program saw new technological introductions in the form of the Reveal CT-80, GE 9400 and 9800, and the L-3/Analogic. Newly entrant EDS machines and significant upgrades to existing EDS technology are constantly under development.

These technologies will offer a variety of enhancements that will improve screening capabilities, increase throughput, and reduce equipment footprint. In FY 2010, TSA will procure and deploy equipment offering significant improvements to screening efficiency.

ETD

ETD machines are used both as a primary screening method and a secondary screening method (i.e., resolving EDS alarms). ETDs are the second largest component of equipment cost within the program. ETDs are designed to detect explosives residue left on an item and/or bag. Since the enactment of the ATSA, TSA has implemented the 100 percent checked baggage screening requirement; however some solutions in place may not be sustainable as passenger loads increase. TSA continues its efforts to replace 100 percent ETD checked baggage screening solutions with EDS or reduced sized dual-use EDS where appropriate.

The following table provides the components of this PPA.

(dollars in millions)

	FY 2010
Installation	\$886
Purchase of Checked Baggage Equipment	\$203
Payroll	\$17
Total	\$1,106

^{1/} Includes mandatory funding of \$250M

Installation: The FY 2010 request includes \$886 million to support the installation of electronic baggage screening equipment in our Nation's airports. Installation costs, along with purchase costs, are a component of the total cost of equipment deployment. This funding will cover the TSA cost share of approximately 28 airport facility modifications, to include Letters of Intent (LOI). The cost of installing EDS and ETD systems consist of some or all of the following, depending on the equipment and specific location: 1) site survey and design, 2) site preparation/facility modification, 3) warehousing and shipping, 4) testing, and 5) program support.

The funding also supports the Security Technology Integrated Program (STIP). The STIP effort benefits EDS by: 1) providing enhanced security, 2) improving resource management, and 3)

assisting in decreasing operational costs by increasing equipment reliability and reducing downtime.

Installation also has funding for the Advanced Surveillance Program (ASP). ASP: 1) provides remote visibility into the baggage resolution and screening areas, 2) provides an additional layer of security into the locations that TSA screens checked baggage to reduce the risk of threats from being introduced into checked baggage, and 3) creates overall situational awareness to support oversight control for loss prevention.

Purchase: A total of \$203 million is requested in FY 2010 to support the purchase of 233 EDS for deployment in our nation's airports. The procurement will consist of medium throughput, high throughput, and reduced size EDS. Purchases in FY 2010 are planned to support projects where facility modifications will be completed from prior year funded projects and recapitalization of existing equipment as required.

Payroll: The request provides \$17 million to support 107 full time positions.

FY 2008 significant accomplishments include:

- Established a two-year Letter of Intent for PANYNJ (The Port Authority of New York and New Jersey) to complete in-line systems at Newark, LaGuardia, and John F. Kennedy airports.
- 23 additional in-line systems became operational in airports nationwide
- Purchase of 40 reduced-size EDS
- Certified and began deploying reduced-size EDS that achieves more than 200 bags per hour
- Conducted operational testing and evaluation of several checked baggage screening systems and process flow enhancement tools, including operational evaluations for Explosives Detection Systems; the GE ViewLink Remote Viewing Station; the CT Image Quality Toolkit; On-Screen Alarm Resolution Protocol (OSARP) revisions designed to leverage enhanced EDS capabilities, and checked baggage management tools.

FY 2009 planned accomplishments include:

- Certification of high volume EDS
- Procurement of EDS units in support of in-line systems
- Funding of facility modifications at 11 airports nationwide with appropriated FY09 funds
- Begin recapitalization process for life cycle replacement of EDS
- Top down/bottom up prioritization of projects across all program areas
- Testing and evaluation of several emerging EDS and baggage screening enhancement tools, including the High Speed, Medium Speed, Reduced Size, Dual Use and Stationary Gantry Fixed Source EDS systems;
- Operational evaluation of the Multiplexing upgrade; and improvements to checked baggage screening procedures utilizing combinations of Advanced Technology X-ray, Reduced Size EDS and Explosive Trace Detection protocols.
- Funding of facility modifications and EDS purchase and installation at an additional 16 airports nationwide with funding received in The American Recovery and Reinvestment Act of 2009

PPA: SCREENING TECHNOLOGY MAINTENANCE & UTILITIES

	Perm Pos	FTE	Amount
2008 Actual			\$263,415
2009 Enacted			305,625
2010 Adjustments-to-Base			2,000
2010 Current Services	307,625
2010 Program Change	19,000
2010 Request			326,625
Total Change 2009-2010	21,000

The Transportation Security Administration requests \$326.6 million for this activity. This is an increase of \$21 million over FY 2009. The program increase of \$19 million supports increases to maintenance costs for higher-than-projected quantities of security equipment. The adjustments-to-base is a \$2 million adjustment to accommodate increased reimbursements for the utility costs associated with TSA screening equipment.

CURRENT SERVICES PROGRAM DESCRIPTION

The following table provides the components of this PPA.
(dollars in millions)

	FY 2010
Checked Baggage Equipment Maintenance	\$262.4
Checkpoint Equipment Maintenance	\$52.2
Utilities	\$8.0
Disposal	\$4.0
Total	\$326.6

This funding supports the maintenance and associated utilities of security technology equipment in our Nation’s airports. Maintenance is essential to preserve the operational capability of security technology equipment. Equipment failures can increase when maintenance is neglected or delayed. When equipment fails, Transportation Security Officers (TSO) are deprived from using their advanced technological capabilities for screening baggage and passengers to detect unauthorized weapons, explosives, incendiaries, and other destructive devices, items, or substances. Material availability of security screening equipment preserves airport efficiency and minimizes impact on the traveling public.

Once warranties expire (normally 12 months), all TSA checkpoint and checked baggage screening equipment requires maintenance throughout its life cycle. Most maintenance is performed by contractor Field Service Technicians (FST) working for Original Equipment Manufacturers (OEM) and a 3rd party Maintenance Service Provider (MSP). Preventive maintenance is performed according to the manufacturer’s recommended schedule (e.g. monthly, annually, etc). Corrective maintenance support is provided 24 hours a day, 7 days a week to perform unplanned corrective repairs in the field. Maintenance contracts include labor costs for

all preventive and corrective maintenance, as well as material costs for repair parts or consumables (e.g. ETD swabs).

FY 2008 significant accomplishments include:

- Provided preventative and corrective maintenance to over 10,000 pieces of security equipment.
- Created working group to establish management control procedures for TSA personnel located at airports to assist the Contracting Officer's Technical Representative (COTR) to verify that security equipment maintenance is performed in accordance with contract schedules.

FY 2009 planned accomplishments include:

- Measure EDS maintenance contract performance at the airport-level (vs. fleet wide) to better align with operational requirements.
- Implement management control procedures at airports to verify that security equipment maintenance is performed in accordance with contract schedules.
- Prepare solicitation packages for competitive re-bid of maintenance contracts that expire in FY 2010.

Checked Baggage Equipment Maintenance: This request includes \$262.4 million for preventive and corrective maintenance activities required to maintain the operation of deployed checked baggage screening systems.

Below is a breakout of projected maintenance costs for baggage screening equipment:

Equipment	Quantity	Maintenance Cost
EDS		
CTX-2500	70	5,964,314
CTX-5500	489	44,469,361
CTX-9000	298	36,760,446
CTX-9400	90	7,880,180
CTX-9800	11	995,278
e6000	602	68,947,452
e6600	92	5,957,737
Reveal	227	12,671,178
Dual Use EDS	20	306,088
ETD		
400B	3,460	39,023,247
Itemiser-W	2,284	24,618,125
Consumables		4,209,088
Excepted Maintenance/Call Center/Environment Issues		7,589,121
Checked Baggage Equipment Maintenance		\$259,391,615
Support Services		3,008,385
Total FY10 Maintenance Requirement		\$262,400,000

Checkpoint Equipment Maintenance: This request includes \$52 million for the preventive and corrective maintenance activities required to maintain the operation of deployed passenger screening security equipment.

Below is a breakout of projected maintenance costs for passenger screening systems:

Equipment	Quantity	Maintenance Cost
ETD		
IonScan 400B	784	8,932,489
Itemiser-W	500	5,247,898
Next Generation	215	489,969
Consumables		1,073,523
EMD		
Ceia	1395	907,874
Metorex	129	109,849
Garrett	223	166,425
EMD-2	125	30,917
TRX		
Rapiscan	443	5,785,043
Smiths	511	5,777,454
AT Systems		
TBD	1300	14,144,511
WBI		
L-3	250	1,978,809
Universal Conveyor Systems		
TBD	250	2,656,250
Bottle Liquid Scanners (BLS/ ILD)		
TBD	1266	955,103
Cast & Prosthesis Imagers		
Spectrum	35	362,250
Standoff Detection		
QinetiQ	60	778,449
Credential Authentication Technology		
TBD	577	800,443
Shoe Scanners		
TBD	120	385,538
Checkpoint Equipment Maintenance		
		\$ 50,582,794
Support Services		1,642,206
Total FY10 Checkpoint Maintenance Requirement		\$ 52,225,000

Utilities: This request includes \$8 million in utility payments associated with operation of security equipment and is a recurring cost borne by TSA.

Disposal: This request includes \$4.0 million to provide disposal of equipment. Security equipment is decommissioned when evolving operational requirements (e.g. higher screening throughput), technological advancements (e.g. improved detection capability) or supportability problems (e.g. frequent failures) dictate the need for replacement. Sometimes equipment is

redeployed to satisfy screening requirements at other airports. Security equipment that is not redeployed is considered for disposal in accordance with the TSA National Disposal Plan and all applicable laws and regulations governing the disposal of hazardous materials. This budget includes funding to dispose excess security equipment through an agreement with the Defense Reutilization and Marketing Service (DRMS) to provide disposition/ disposal services, including hazardous property.

Cost reduction initiatives: TSA is pursuing several initiatives to reduce the unit price of equipment maintenance, including:

- Expansion of competition in the security equipment industry
- Competitive award of new maintenance contracts in FY 2009 and FY 2010
- Development of a Remote Maintenance Monitoring (RMM) capability
- Life cycle replacement of aging and unreliable machines
- Improved reliability and maintainability specifications for new security equipment
- Review of excess capacity for potential machine decommissioning

PPA: OPERATION INTEGRATION

	Perm		
	Pos	FTE	Amount
2008 Actual	24	17	\$23,734
2009 Enacted			21,481
2010 Adjustments-to-Base			0
2010 Current Services	21,481
2010 Program Change	0
2010 Request	21,481
Total Change 2009-2010

The Transportation Security Administration requests \$21.5 million for this activity.

CURRENT SERVICES PROGRAM DESCRIPTION

TSA requests \$21.5 million to evaluate the impact of new security technologies, procedures, and policies. TSA analyzes integration of new and modified systems and concepts of operation to ensure operational effectiveness and suitability prior to full system production and deployment. The purpose of this work is to test, evaluate, and analyze pre-production or production representative systems under realistic conditions, including operation by those who will use the equipment under the proposed concept of operations, in the field under a variety of environmental conditions. In particular, this includes:

- Operational test and evaluation as part of the acquisition process for items procured by TSA, including Early Utility Assessments, Initial Operational Test and Evaluation, and Follow-on Operational Test and Evaluation over the project lifecycle;
- Operational test and evaluation in support of regulatory and policy decisions in areas such as air cargo;

- Pilots, concept demonstrations, and field experimentation in support of mission area analyses, concept of operations development, process optimization and improvement, and workforce / vector characterizations; and
- Testing and evaluation capabilities development, to improve the quality and utility of evaluation products.

This program includes aviation security programs covering passenger, baggage, cargo, and airport infrastructure as well as a program addressing surface transportation protection. The following table provides the components of this PPA.

(dollars in millions)

	FY 2010
Passenger Screening	\$3.5
Checked Baggage	3.2
Cargo	3.1
Infrastructure	1.0
Surface	8.0
Test Capabilities	2.7
Total	\$21.5

FY 2008 significant accomplishments include:

- Conducted operational testing and evaluation of new and improved aviation checkpoint screening technologies, including bottled liquid screening equipment, cast and prosthesis scanning devices, computed-tomography Carry-on Explosives Detection Systems, millimeter-wave and x-ray backscatter whole body imager passenger screening equipment, Advanced Technology / Next Generation carry-on article screening systems, and boarding pass scanners / document authentication devices;
- Conducted operational testing and evaluation of several checked baggage screening systems and process flow enhancement tools, including operational evaluations for Explosives Detection Systems; the GE ViewLink Remote Viewing Station; and improved On-Screen Alarm Resolution Protocol (OSARP) revisions designed to leverage enhanced EDS capabilities;
- Conducted operational testing and evaluation of EDS and Explosives Trace Detection (ETD) systems to develop an initial list of cargo screening equipment;
- Conducted a cargo composition and vector characterization study to obtain information on the distribution and makeup of cargo transported on both commercial and all-cargo aircraft;
- Conducted field experimentation of a portal for detection of Vehicle-Borne Improvised Explosives Devices (VBIEDs) in trucks, buses and other large vehicles; and
- Established TSA's first cyber security program remedying vulnerabilities in pipeline Supervisory Control and Data Acquisition (SCADA) controls.

FY 2009 planned accomplishments include:

- Conduct integrated testing and evaluation in support of development of Qualified Product Lists for enhanced whole body imagers, Advanced Technology carry-on baggage screening systems with improved detection capabilities, and improved bottled liquid scanners;

- Conduct operational testing and evaluation of Credential Authentication Technology / Boarding Pass Scanning Systems;
- Continue integrated testing and evaluation of explosives trace detection systems and technologies, to expand the current list of qualified products;
- Conduct limited user testing in support of a concept demonstration involving aviation checkpoint shoe scanners;
- Conduct testing and evaluation in support of process optimization / process enhancement initiatives, including an EDS alarm resolution comparative study, alternative checked baggage ETD screening protocol, and conduct of the “primary position” whole body imager concept demonstration;
- Continue enhancement of testing and evaluation capabilities, including update and refinement of checkpoint and checked baggage common data standards, continued development of accredited threat surrogates for OT&E and training purposes through the threat surrogate working group, and development of the integrated testing and evaluation strategy paradigm, in support of TSA and DHS acquisition policy and procedures;
- Conduct operational test and evaluation of enhanced imagery EDS and other emerging explosives detection systems with enhanced capabilities, including advanced multiplexing capabilities, as well as the CT Image Quality Toolkit for assessing EDS image quality;
- Continue FY 2008 projects to evaluate current and emerging technologies and systems for air cargo screening, including continued characterization studies and counter-to-counter initiatives;
- Introduce new chemical/biological detection technologies into high vulnerability/high consequence facilities and conduct pilot testing; and
- Continue to develop and transition technologies for use in the mass transit and passenger rail environment including advanced suicide bomber detection and VBIED detection.

In FY 2010, assessments will continue on new technologies in support of passenger, baggage, cargo, and surface screening, as well as enhancing existing T&E capabilities. TSA will also continue to evaluate technologies planned for checkpoint, improvements to existing screening technologies, and products emerging from DHS Science and Technology’s R&D program.

PPA: AVIATION REGULATION

	Perm		
	Pos	FTE	Amount
2008 Actual	1,096	940	\$232,663
2009 Enacted	1,168	1,086	248,943
2010 Adjustments-to-Base	11	11	5,121
2010 Current Services	1,179	1,097	254,064
2010 Program Change			0
2010 Request	1,179	1,097	254,064
Total Change 2009-2010	11	11	5,121

TSA requests \$254.1 million for this activity. This is an increase of \$5.1 million

and includes \$1.9 million for general aviation and annualization of 9/11 funding and \$3.2 for pay inflation.

PROGRAM DESCRIPTION:

Aviation Regulation is responsible for providing law enforcement and regulatory presence at airports to ensure compliance with required security measures and respond to security incidents. It also provides an international component to foster consistency in worldwide security requirements.

The following table provides the components of this PPA.

(dollars in millions)

	FY 2010
Regulatory Inspections	\$104.2
International Programs	18.8
Repair Station Inspections	3.4
Airport Law Enforcement & Assessments	82.2
National Explosive Detection Canine Training Program	33.9
Transportation Sector Network Management	11.7
Total	\$254.1

Regulatory Inspections: The mission of the regulatory inspection program is broad and involves the evaluation of the security integrity of more than 450 U.S. airports, 550 foreign airports, and a combined total of over 1,500 domestic and international carriers that operate in the United States. These inspectors also conduct periodic inspections of over 7,500 indirect air carriers operating in the U.S.

The following chart provides historical and current information on the total number of TSA Inspectors (TSIs):

TSA Inspectors

	Full Time Permanent Positions					
	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
TSI - Aviation Domestic ¹	601	681	657	778	755	755
TSI - Aviation Int'l	40	39	39	45	45	45
Total, Aviation Inspectors	641	720	696	823	800	800
TSI - Int'l Repair Stations	0	2	15	15	15	15
TSI - Cargo ²	100	225	300	535	535	535
TSI - Cargo Int'l			10	10	10	10
Total, Cargo	100	225	310	545	545	545
TSI - Surface ³	99	100	100	175	225	225
TOTAL	840	1,047	1,121	1,558	1,585	1,585

1/ Includes 46 FTP for Canine teams and 75 FTP for VIPR. In FY 09, 23 of 46 Canine handlers converted to FAMS.

2/ Includes 85 FTP for Canine teams and 150 FTP for Inspectors from the FY 07 Supplemental

3/ Includes 75 FTP for VIPR and 50 FTP for 9/11

TSIs have an essential role in formulating annual plans for local inspections. TSIs review the documentation and plans that have been approved by TSA and implemented in support of TSA regulatory mandate as well as records and files pertaining to criminal history records checks performed pursuant to Federal law. The inspectors also review records and files to ensure compliance of indirect air carriers, private passenger and/or cargo charters, airmen and aircrew with security requirements. The TSIs investigate incidents related to violations of TSA regulation, security directives, and approved security programs. Inspectors deliver technical briefings and assistance to the aviation industry in interpreting agency policies to ensure compliance with rules. Inspections are both scheduled and random and may include one or all of the critical security elements required by TSA.

To ensure the adequacy and integrity of security at airports, TSIs evaluate the types of fences, lighting, and locks being used, among many other important security measures through visual and hands-on inspection as well as by walking the grounds and interacting with airport personnel. Based on these assessments inspectors will recommend enhancements, where appropriate, for non-regulated airports/facilities, including general aviation landing facilities and airports, and for aircraft operators. Areas of emphasis for inspection and/or assessment include: access control systems, security identification systems, surveillance systems, law enforcement response capabilities, physical security of aviation facilities and aircraft.

Inspectors are given the authority to initiate enforcement actions against airports, air carriers, and indirect air carriers where compliance violations have occurred or corrections have not been made. This includes misconduct of employees that threaten the security of an airport and/or aircraft. Inspectors must be well trained and knowledgeable in the principles of investigation and civil enforcement in order to assist the agency Chief Counsel in the preparation of formal enforcement actions against those who violate security requirements.

Significant accomplishments in FY 2008 include:

- Completed over 1,100 airport inspections to ensure compliance with current requirements as well as conducted follow up inspections to address previously identified compliance

issues. Also participated in 6,000 Aviation Screening Assessment Program (ASAP) tests, VIPR activities across all modes of transportation, Aviation Direct Access Screening Program (ADASP) activities at all airports.

- Conducted week-long full scale airport and aircraft operator inspections (Airport Strike) at Boston, Philadelphia, Denver, Seattle, Chicago O'Hare, Cincinnati, and Phoenix.
- Tested and deployed new technology (Sabre 4000/FIDO) for aircraft screening.
- Audited the SIDA badge accountability of all Category X and I airports.

FY 2009 planned accomplishments include:

- Conduct a baseline comprehensive inspection of all airports, aircraft operators, and foreign air carriers at domestic airports.
- Continue support of the ASAP, ADASP, VIPR and SIDA activities.
- Continue routine and random airport inspections, conduct follow up activities to resolve non-compliance issues and increase the frequency and number of airport/aircraft operator inspections at domestic airports.

TSIs will continue these efforts in FY 2010. Inspectors will continue to schedule, oversee, and record the TSA ASAP program, as well as actively participate in VIPR activities. Airport Strikes will be expanded in order to include more testing protocols as well as 100% audit of specific airport badging offices. Additional covert testing protocols will be done for testing of all regulated entities.

International Programs: TSA promotes alignment and consistency between the security requirements of the U.S. and foreign governments. TSA takes a leadership role as a permanent U.S. member in the regional and international organizations concerned with transportation security [e.g., International Civil Aviation Organization (ICAO), the Group of Eight (G8) Transportation Security Subgroup, the European Civil Aviation Conference (ECAC), the International Working Group on Land Transport Security, and the Asian Pacific Economic Cooperation (APEC)]. Through interaction with foreign officials at the bilateral, multilateral and regional levels, best practices in transportation security can be advanced to achieve our vision of a secure, global transportation system.

TSA strives to lead worldwide improvements in transportation security using a multi-layered approach, which includes:

- 23 TSA representatives responsible for liaison activity and representation with over 100 foreign governments;
- On-site liaison activity and representation in 19 foreign countries;
- Non-stop assessment activity by approximately 75 International Aviation Security Inspectors verifying security measures of U.S. and foreign air carriers and compliance with International Civil Aviation Organization standards at more than 500 foreign airports to include passenger and cargo;
- Assessment activity in the near future at nearly 700 foreign and 4,500 domestic repair stations;
- Active leadership within the regional and international community that comprises the world's transportation security expertise engaged in policy development; and
- An expanding capacity building program for nations needing assistance in order to meet international standards.

TSA Representatives (TSARs) serve as on-site coordinators for the TSA response to terrorist incidents and threats to U.S. assets at foreign transportation modes. The TSARs serve as principal advisors on transportation security affairs to U.S. Ambassadors and other embassy officials responsible for transportation issues to ensure the safety and security of the transportation system. TSA also supports the Department of State, Office of Foreign Missions, by assisting with the Escort Screening Courtesies program. A central point of contact is assigned to the Department of State to assist with facilitating the movement of dignitaries who either are eligible for escort privileges or to whom expedited screening courtesies are provided.

Locations of TSARs	No. TSARs	Locations of TSARs	No. TSARs
Amman	1	Manila	1
Athens	1	Mexico City	1
Bangkok	1	New Delhi	1
Beijing	1	Ottawa	1
Berlin	1	Paris	1
Brussels	1	Rome	1
Buenos Aries	1	Singapore	1
Caribbean (Miami)	3	Sydney	1
London	2	Tokyo	1
Madrid	1	Warsaw	1

During FY 2008, TSA implemented an expanding program of capacity building initiatives with those governments needing transportation security assistance. Through identification of threats and vulnerabilities in each country and internal coordination efforts, TSA is working with regional leaders to leverage existing resources for harmonization, training, assistance, and information exchange opportunities. The greatest emphasis is placed on Africa, Latin America and Asia Pacific, in light of the exponential increases in traffic from these regions to the United States and the concerns about security of U.S. passengers and goods. In FY 2009, TSA will staff three new TSAR positions – one each in Brasilia, Brazil; Johannesburg, South Africa; and Nassau, The Bahamas. These TSARs will address the increasing air traffic, harmonization and capacity building efforts, and potential risks noted in each region.

The Foreign Airport Assessment Program and Air Carrier Inspection Program at foreign airports differ significantly from domestic compliance operations. During airport assessments conducted in foreign countries, Transportation Security Specialists (TSSs) focus on application of International Standards and Recommended Practices (SARPs) defined by the International Civil Aviation Organization, to which nearly 190 countries are signatories. TSA is congressionally mandated under 49 U.S.C. 44907 to assess all airports from which there is service to/from the United States against these SARPs. A thorough foreign airport assessment requires approximately four weeks for completion. TSSs also inspect the operations of both domestic and foreign air carriers with U.S. service from these airports to insure compliance with TSA security directives and emergency amendments. Carrier inspections can occur up to two times annually with airport assessments occurring at least once every three years and more frequently according to risk based scheduling.

Locations of TSSs	No. TSSs
Miami	16
Dallas	10
LAX	8
Singapore	4
Frankfurt	17
HQ	1

TSA implements the Foreign Air Carrier Model Security Program (MSP), in accordance with 49 CFR Part 1546, which requires non-U.S. air carriers, landing or taking off in the United States, to adopt and carry out a security program for each scheduled and public operation meeting specific seating capacity and/or airport access criteria. Such non-U.S. air carriers are assigned an International Industry Representative (IIR). TSA IIRs coordinate the sharing of aviation security related requirements, intelligence, incidents; and/or threat information affecting passengers, air carriers, the United States, and civil aviation worldwide. In FY 2009, TSA will staff two new overseas IIRs positions in Beijing and Dubai, United Arab Emirates.

Significant accomplishments in FY 2008 include:

- Created a team to revise the Foreign Airport Assessment Program to reduce inefficiencies while enhancing the quality and usefulness of reports by streamlining the format to: (1) focus on substantive issues and provide analysis; and (2) allow for easy electronic transmission. Completed implementation of the team's recommendations in FY09.
- Conducted over 120 airport assessments and well over 800 air carrier assessments.
- Deployed inspectors to monitor aviation security compliance with TSA regulations, Security Directives, Emergency Amendments and ICAO Annex 17 Standards and Recommended Practices; and served as technical experts to assist the People's Republic of China (PRC) in protecting U.S. passengers traveling on all modes of transportation from acts of violence, terrorism, or unlawful acts of interference prior to, during, and after the Olympic Games.

Other planned accomplishments for FY 2009 include:

- Revising the Foreign Airport Assessment Program.
- Expanding outreach efforts to Latin America, Asia-Pacific, and the Middle East.
- Creating an air carrier startup policy and establish a formal pre-clearance support team.
- Expansion of explosives detection pilot programs based on threat reporting.

Repair Station Inspection Program: Mandated by Vision 100 (P.L. 108-176), this program serves to ensure the security of maintenance and repair work conducted on air carrier aircraft and components at foreign and domestic repair stations. This will be achieved through specific inspection activities including security reviews and audits, vulnerability assessments and surveys. This security measure is now a requirement for repair stations to retain their FAA certification (14 CFR Part 145).

The Repair Station Inspection program uses a risk-based methodology to schedule foreign airport assessments and foreign air carrier inspections. Currently, all air carriers are inspected once annually unless they have a high "Airport Vulnerability" rating. This rating is used to determine the frequency of assessment and inspection planning based on the outcome of threat, vulnerability and consequence analysis. This methodology allows TSA to efficiently utilize its workforce by visiting airports with a higher likelihood of being a target for criminal or terrorist acts, while taking into account analysis of the protective measures in place and the potential impact for loss.

In absence of a final rule, this program engages industry through a voluntary audit program. This voluntary program involves a three-tier approach for conducting audits:

- Scheduling visits using the risk-based prioritization in conjunction with TSA Foreign Airport Assessment Program.
- Outreach to U.S. Air Carriers to capture the foreign repair stations they contract.
- Contacting corporations having multi-station ownership for information on their foreign repair stations.

When the Implementing the 9/11 Commission Recommendations Act of 2007 (P.L. 110-53) authorization was enacted, it included language that set a deadline for DHS to publish the final rule 12 months from enactment. Provided that the final rule is not in place within this timeframe, FAA would not be permitted to certify any new foreign repair stations. To meet this deadline and prevent any losses to the industry, TSA has taken steps to publish the final rule in FY 2009 while concurrently expanding outreach efforts and inspection activities.

Significant accomplishments in FY 2008 include:

- Completion of 267 foreign air carrier inspections, 952 air carrier station inspections and 144 repair stations audits.
- 26 surveys completed in the Middle East.
- Creation of a repair station security inventory to capture current security posture and best practices. Researched, cataloged, and prioritized 4,900 repairs stations and developed a list of “best practices” to disseminate to repair stations.
- Development of an audit plan to implement upon publication of final rule.
- Development of regulation and standard security training.

FY 2009 planned accomplishments include:

- Publishing the final rule.
- Conducting 118 airport assessments and 300 foreign air carrier inspections.
- Collecting repair station profile data.
- Performing foreign repair station security audits to assess current security posture to meet the six month deadline expressed in P.L. 110-53.

In FY 2010, TSA will continue the full implementation of the repair station program to assess and inspect all repair stations both foreign and domestic.

Airport Law Enforcement & Assessments: In accordance with the Aviation and Transportation Security Act (ATSA) of 2001, TSA established reimbursable agreements with state and local law enforcement agencies to provide uniformed officers at passenger security checkpoints under the flexible response authorities granted to TSA. These agreements provide financial assistance to partially reimburse airports at screening points throughout the U.S for post 9/11 law enforcement hours. They ensure that a consistent law enforcement presence is always available to deter suspicious activity and respond quickly in the event of a breach of security at designated checkpoints. In addition to these agreements, 80 airports have Assistant Federal Security Directors (AFSDs) for Law Enforcement to further coordinate TSA’s security efforts with local law enforcement.

Through the Cooperative Agreements process and adjusting allocations to account for prior year expenditures, TSA has been able to significantly increase the number of airports participating in the Law Enforcement Officer (LEO) program (271 in FY 2007 to 353 in FY 2008) while maintaining the existing level of base program resources. TSA has also instituted more effective program management and oversight to ensure that the resources awarded best meet the program's intended purpose of improving the level of security at our nation's airports.

In FY 2008, TSA funded 353 Cooperative Agreements that included the following LEO patrol and response hours:

Airport Category	Hours
Cat I	524,663
Cat II	465,587
Cat III	352,469
Cat IV	346,169
Cat X	666,154
Total	2,355,042

In FY 2009, TSA will continue to improve program efficiencies and maximize the use of available program funds by reviewing participant's actual annual expenditures and adjusting award levels accordingly. This review process will include site visits to a select number of airports during the course of the fiscal year, which will ensure appropriate use and expenditure of program funding by airport participants.

The FY 2010 Request continues the program at FY 2009 operating levels.

National Explosive Detection Canine Training Program (NEDCTP): TSA's NEDCTP develops, trains, deploys, and certifies explosives detection canine teams to deter and detect the introduction of explosive devices into the transportation system. Each team is comprised of a specially trained canine and either a TSA or State and local law enforcement handler. Bomb threats cause disruption of air, land, and sea commerce and pose an unacceptable danger to the traveling public. Explosives detection canine teams are proven and reliable resources in the detection of explosives and are a key component in a balanced counter-sabotage program. The use of highly trained explosives detection canine teams is also a proven deterrent to terrorist activities directed towards transportation systems, and provides a timely and mobile response in support of the operations of facilities, rail stations, airports, passenger terminals, seaports, and surface carriers. Fostering partnerships throughout the Federal government, State and local law enforcement, and the international community is a key element of NEDCTP's mission.

Through cooperative agreements, TSA provides funding for training, certification and maintenance of the explosive detection capable canines, training for the handlers, and partial reimbursement of handlers' salaries and other costs (up to \$50,000 annually per team). Local law enforcement agencies deploy these valuable canine teams and provide DHS with a mobile response platform for specific threats to the transportation systems.

In FY 2008, the NEDCTP was expanded considerably. Additional funding was received to add another 92 teams to the highest risk airports and mass transit systems across the nation, of which, 46 will be TSA led teams. TSA currently has funding to support a total of 780 teams in the Aviation and Mass Transit sectors.

Funded Canine Teams					
<u>Funding Source</u>	<u>Legacy Aviation</u>	<u>Proprietary</u>		<u>Mass Transit</u>	<u>Total</u>
		<u>OSO</u>	<u>FAM</u>		
Base Funding	419			100	519
Supplemental	50	120			170
FY08 Enhancement	46	23	22		91
Total	515	143	22	100	780

Due to personnel needs, 1 FTE for the FAM Proprietary Teams is used to help manage the program

To meet its training targets, NEDTCP doubled the number of 12-student classes from nine to 18. As of December 31, 2008, 548 explosives detection canine teams were deployed nationwide in Aviation and Air Cargo, including TSA led teams.

In FY 2009, the NEDCTP will complete the training and deployment of the 92 teams that were funded in FY 2008. TSA plans to conduct a total of 15 training classes in FY 2009. Taking into account currently deployed teams and planned training efforts, TSA plans to have over 749 teams deployed in Aviation, Air Cargo, and Surface systems by the end of FY 2009.

The FY 2010 Request will continue the program at FY 2009 operating levels, while fulfilling the total number of expected teams in all Transportation sectors.

Transportation Security Network Management (TSNM) -- This program coordinates aviation security efforts with airlines, airports, and within the general aviation community.

Commercial Airlines

This activity both develops and reviews existing policy for modification or elimination based on the evolving threat to commercial airlines. The program provides regulatory oversight of commercial airlines including management of the Aircraft Operator Standard Security Program, the Private Charter Program, and associated Security Directives. The office includes 15 Principal Security Inspectors (PSIs) who provide the industry with supporting interpretations, clarification, and assessments of the regulations and the level of carrier compliance. The PSIs conduct over 250 comprehensive audits each fiscal year covering all mandated security requirements implemented system-wide by the airlines corporate offices, and included in the audits are reviews of security training programs provided to the flight deck, crew cabin, and ground security coordinators.

In FY 2010, the program plans to strengthen its relationship with the commercial airlines by providing stronger support on regulatory oversight, providing the industry with supporting interpretations, clarification and assessments of the regulations, and the level of carrier compliance. Additionally, as the number of commercial airlines increases, PSIs will increase the number of comprehensive audits, covering all security requirements.

Commercial Airports

The Commercial Airports activity builds meaningful relationships with the commercial airport industry and oversees the development of policies and programs that enhance security at the Nation's commercial airports. The program also ensures a robust communications system for relaying TSA guidance and information to transportation security stakeholders.

Building upon substantial work accomplished in FY 2008 and FY 2009, under the rubric "SIDA II", in FY 2010, the Division will focus on:

- Coordinating (with the Office of Transportation Threat Assessment & Credentialing) the development and implementation of consensus-based biometric identification and access control standards for domestic commercial airports
- Facilitating the implementation of methods and technologies to screen airport employees more effectively and efficiently

These two items summarize a series of actions that collectively will constitute major planned undertakings requiring technological acquisition and integration by airports, inter-agency interoperability and coordination at Federal, State and local levels, and extensive private sector outreach and information exchange.

Additionally, in FY 2010, the program will also:

- Hold a Commercial Airport Security Symposium to enhance private sector outreach and effectiveness, promote information exchange and support planned airport security initiatives. The Symposium will recur every other year.
- Take a larger role in coordinating the exchange of sensitive airport vulnerability information developed by the Federal Air Marshal Service (FAMS) and the Federal Bureau of Investigation (FBI), through the Joint Vulnerability Analysis (JVA) program
- Revise and reissue the "Recommended Security Guidelines for Airport Planning, Design and Construction" guidelines. The current version of the document was issued on June 15, 2006. Technology, procedures, policies, requirements, and capabilities have improved and continue to grow quickly in this field. The guidelines will be updated in FY 2010, for public release in early FY 2011.

General Aviation (GA)

The GA program is responsible for all types of aviation including corporate operators, recreational and private aircraft, charter operations, private and public use of general aviation airports, airmen, and airspace. TSNM serves as the 'one-stop' shop for all GA security matters and is responsible for all issues concerning GA security. The program works collaboratively

with industry and government stakeholders, and uses a threat based and risk management approach to develop strategies, policies, plans, and programs to reduce the security risks and vulnerabilities associated with GA operations.

In accordance with TSA/TSNM organizational goals and strategies, GA has developed specific strategies for FY 2009 and FY 2010 to reduce the likelihood that general aviation aircraft are used as a weapon or as a method to transport illicit materials and/or malefactors. Key activities supporting these strategies include:

- Establish Large Aircraft Security Program (LASP) rulemaking for all domestic registered aircraft in excess of 12,500 Maximum Gross Take-off Weight (MTOW)
- Develop security action items for Fixed Based Operators (FBO) and aircraft operators
- Update GA security guidelines
- Develop a vulnerability assessment tool for GA airports
- Continue to assess the feasibility of funding mechanism (Grant Program) to allocate resources to enhance security at GA airports and ensure a threat based, risk management and consequence analysis approach to compliment other TSA initiatives
- Further modify and enhance the Automatic Detection and Processing Terminal (ADAPT) tool to positively identify aircraft operation to, from, over, and within the National Airspace System (NAS)
- Develop a method/system that positively identifies pilots operating aircraft in flight and the beneficial operator of the aircraft.

These initiatives will continue into the future as the proposed rulemakings and programs take effect.

PPA: AIRPORT MANAGEMENT AND SUPPORT

	Perm		
	Pos	FTE	Amount
2008 Actual	2,198	1,971	\$635,730
2009 Enacted	2,243	2,064	401,666
2010 Adjustments-to-Base	31	29	46,408
2010 Current Services	2,274	2,093	448,074
2010 Program Change			350
2010 Request	2,274	2,093	448,424
Total Change 2009-2010	31	29	46,758

The Transportation Security Administration requests \$448.1 million for this activity. The requested level includes adjustments-to-base for increased costs of field rent, construction, and field vehicle expenses and the remainder for pay COLA.

CURRENT SERVICES PROGRAM DESCRIPTION

(dollars in millions)

	FY 2010
FSD Staff and HQ PC&B	\$251.4
FSD Staff Non PC&B	31.2
TSOC	28.3
Airport Parking and Transit Benefits	29.8
Airport Rent and Furniture	107.7
Total	\$448.4

Federal Security Directors Staff and Headquarters PC&B and Non PC&B: This funding supports the salaries and benefits of Federal Security Directors (FSDs) and their staff, as well as travel, training, and contract requirements to support the staff. In addition, there are headquarters positions that direct the policy, analysis, and administration of aviation screening. FSD and staff are critical to supporting the front line operations of the TSOs. To streamline the administrative operations and gain efficiency at the airports, larger airports have been designated as hubs. These hubs provide security direction, administrative support, and staffing/personnel as needed to smaller, lower staffed airports (spokes). For example, Boston-Logan International Airport is the hub for 7 spoke airports (Bedford-Hanscom, Barnstable, Martha's Vineyard, Nantucket, Provincetown, Westover and Worcester airports). FSD and staff travel frequently between the hubs and spoke airports. Funding of airport management and staff will provide the proper direction, support, and staff at the spokes to ensure efficient and effective operations.

Airport management and staff have developed operational strategies to make the screening process more efficient for the traveling public especially during peak travel seasons. They will continue to be the central reference point on policy development, information technology, training, performance management, finance, and human resources to support the mission of TSA.

TSA will adapt to a dynamic and changing environment with industry accepted scheduling and modeling programs, such as the Sabre Streamline Suite of applications. These applications will allow TSA to efficiently determine and schedule the TSO workforce at the nation's diverse airports. By accurately predicting, executing and measuring the number of TSOs required, TSA ensures that the public has a positive experience while maintaining the proper number of TSOs at each airport.

Transportation Security Operations Center (TSOC): The TSOC is located at TSA's Freedom Center in Northern Virginia. The TSOC serves as TSA's 24/7 command center for transportation security-related operations, incidents, and/or crises. The TSOC correlates and fuses real-time intelligence and operational information, ensuring unity of command and action in the prevention of, and response to, terrorist-related incidents across transportation modes. The TSOC is co-located and closely aligned with TSA's Continuity of Operations (COOP) and Emergency Preparedness activities.

In FY 2008, TSA has worked to implement a common operating picture throughout TSA, improve information sharing, and support WebEOC as TSA's primary incident management tool. Emphasis has also been placed on operational outreach, to include the development of additional multi-modal entities.

The FY 2009 Request continues to improve upon TSOC's program capabilities and capacity through the effective and efficient use of existing base program resources.

The FY 2010 Request continues the program at FY 2009 operating levels.

Airport Parking and Transit Benefits: The Employee Parking Assistance Program (EPAP) provides parking, shuttle service, and fee collection for TSA employees participating in this program. The services required must be able to provide sufficient parking for TSA employees at the airport, provide parking spaces that are available on a 24 hour basis, provide shuttle service to and from the terminal and provide fee collection services from participants. Significant Employee Parking Assistance Program (EPAP) FY 2008 accomplishments include the following:

- Expansion of the requirement for full payment of parking costs for Dulles International Airport (IAD). Current TSO staffing level is 614, however the target is at minimum 725.
- Expansion of the requirement to extend full payment of parking costs to McCarran International Airport (LAS) for approximately 750 screeners.

FY 2009 planned accomplishments include:

- Conducting a pilot at two additional airports to see if parking benefits will reduce the attrition of the part-time workforce.

In FY 2010, the EPAP will continue to support collections and payments for the 26 airports that currently fall under the program.

Field Vehicles: The funding will be used to replace aged/high mileage vehicles. Since its inception, TSA has replaced a minimal number of vehicles; thus, there are a significant number of old/high mileage vehicles in service. Funding is required to maintain the TSA fleet of vehicles and provide transit benefits for field office employees. Significant accomplishments in FY 2008 include the continued efforts to increase percentage of alternative fuel vehicles and related fuel utilization.

FY 2009 planned accomplishments include continuing to improve acquisition planning to promote efficiency and ensure compliance with environmental and energy requirements and improving fleet information management.

FY 2010 planned accomplishments include reviewing and refining the accident program in order to ensure customer service, identify trends, and operational risks and increasing awareness of the transit benefits program and promote maximum participation.

Airport Rent and Furniture: Funding is requested for rent payments and furniture for TSA's field offices (including FSD and TSO staff locations). In FY 2008, the Chief Administrative Officer implemented the "Workplace 2008" initiative to develop options to more efficiently house new requirements within the existing footprint. TSA also continued the implementation of the real estate customer service model, which is based on field customer electronic surveys and feedback; and earned a "best-practices" agency award in DHS real estate services.

In FY 2009 and 2010, the Chief Administrative Officer plans to conclude its update of the program requirements for field space and furniture, involving field customers and Security Operations as prime stakeholders. While the aviation business model changes from external economic forces, TSA will remain agile and deploy its assets in the most economic manner in

reacting to the changes. TSA will be a valuable partner in the planning and design of security at airports through assistance with checkpoint redesigns and perimeter security. FSD and staff will continue to build relationships with airport officials, airlines, local law enforcement, and Joint Terrorism Task Force officials.

In support of its field operational programs, TSA must lease more than 3.5 million square feet of space with more than 700 assignments at 657 separate locations throughout the nation. The on-airport spaces are used for break-rooms, lockers, and training. The annual rent at airports set by the local airport authority is significantly higher than the increase in the Consumer Price Index. Field rent is expected to increase by 5.7 percent from FY 2009 to FY 2010.

PPA: FEDERAL FLIGHT DECK OFFICER (FFDO) AND FLIGHT CREW TRAINING

	Perm		
	Pos	FTE	Amount
2008 Actual	30	22	\$24,403
2009 Enacted	30	29	25,025
2010 Adjustments-to-Base			102
2010 Current Services	30	29	25,127
2010 Program Change			
2010 Request	30	29	25,127
Total Change 2009-2010	102

The Transportation Security Administration (TSA) requests \$25.1 million for this activity. This is an increase of \$102,000 to fund pay cost of living adjustments (COLA).

CURRENT SERVICES PROGRAM DESCRIPTION

The FFDO program was created by the Arming Pilots Against Terrorism Act of 2003 (APATA – P.L. 107-296), which authorizes the deputation of qualified airline pilots to act as Federal law enforcement officers in order to defend the flight decks of aircraft against acts of criminal violence or air piracy. This voluntary program provides a combination of law enforcement training in firearms proficiency, self-defense tactics, authority, use-of-force, and decision-making in defense of both commercial and cargo aircraft.

The Crew Member Self Defense (CMSD) Program was established via the Vision 100 – Century of Aviation Reauthorization Act (FAA Reauthorization Act) in 2004. The Act requires TSA to develop and make available to flight and cabin crewmembers a voluntary, advanced self-defense training program as another means of safeguarding the civil aviation system.

In FY 2007, TSA began discussions with air carriers to conduct CMSD training at airlines’ training facilities to increase the opportunity for participation. Efforts continued in FY 2008 with the exportation of CMSD training to two additional air carrier facilities in addition to the classes offered through community colleges, resulting in the training of 1,190 crew members. Although TSA realized an increase in the number of crew members trained in 2008, there has not

been a significant increase in attendance rates considering the number of potential participants. Currently, TSA anticipates that approximately 800 crew members will participate in this voluntary program in FY 2009.

In FY 2008, TSA provided basic FFDO training to 1,582 new volunteers, conducted thousands of bi-annual firearms re-qualifications for active volunteers, and recertified (i.e. provided recurrent training) 751 FFDOs in their fourth and fifth years of deputation. Also, TSA distributed new DHS credentials, badge sets, and new holsters to participating FFDOs and conducted mandatory FFDO training on proper holster use. In addition, TSA awarded a contract for the establishment of a regional recurrent training facility in Dallas, TX enabling TSA to meet increased FFDO recurrent training requirements for 2009 and providing improved access to required training for volunteers living throughout the West and Midwestern regions of the United States. The Dallas FFDO Recurrent Training Facility is scheduled to become operational in June 2009.

In FY 2009, TSA estimates that basic FFDO training will be provided to approximately 1,500 new volunteers. Recurrent training (recertification) will be delivered for approximately 3,400 volunteers at the Atlantic City, New Jersey and Dallas, Texas facilities for FFDOs who are in their fourth and fifth year of service. The program will also provide required bi-annual firearms re-qualification training to FFDO program volunteers.

Starting in FY 2010, TSA plans to permanently transfer \$1.5 million from the CMSD program to the FFDO program in order to best meet the emerging requirement to provide recurrent training to the thousands of existing FFDOs who are reaching their fourth and fifth years within the program. This fund transfer will support the training of no less than 220 new FFDOs in FY 2010, which will cover the estimated yearly attrition rate and maintain the current population of FFDOs. TSA will also continue to examine its base resources and if possible, seek to continue growing the FFDO program.

In FY 2010, TSA will continue to provide Crew Member Self-Defense (CMSD) Training at currently operated facilities based on historic attendance and participation levels in addition to supporting the continuing FFDO program operations and requirements within the base levels provided in the PPA.

PPA: AIR CARGO

	Perm		
	Pos	FTE	Amount
2008 Actual	636	444	\$110,770
2009 Enacted	669	642	122,849
2010 Adjustments-to-Base			(14,731)
2010 Current Services	669	642	108,118
2010 Program Change			
2010 Request	669	642	108,118
Total Change 2009-2010	(14,731)

TSA requests \$108.1 million for this activity. The request includes non-recurring \$18 million received in FY 2009 for air cargo pilots and then provides funding for pay inflation and the realignment of to fund additional canine costs.

Safeguarding the nation's air cargo transportation system is a shared public and private sector responsibility. The Aviation and Transportation Security Act (ATSA) charges TSA with the enforcement of statutory and regulatory requirements for ensuring the security of transportation systems and passengers when cargo is transported by air.

Section 1602 of the Implementing the Recommendations of the 9/11 Commission Act of 2007 (9/11 Act), which amended 49 U.S.C. 44901(g)(1), requires TSA to:

- Establish a system to screen 50 percent of cargo transported on passenger aircraft by February 3, 2009, and 100 percent by August 3, 2010;
- Provide a level of security commensurate to that of passenger baggage; and
- Meet inspection benchmarks.

TSA has also been mandated to conduct Vulnerability Assessments at 27 Category X airports to assess security vulnerabilities at specific airports and system-wide.

TSA concluded that this mandate could not be achieved by relying solely on aircraft operators to conduct screening without creating significant delays and missed flights, which would impede the flow of commerce. Screening capacity at a single point in the supply chain is not sufficient enough to accomplish 100 percent screening. TSA has initiated the following to aid industry in achieving the 100 percent screening requirements:

- Narrow Body Aircraft Screening Amendment - Achieved October 1, 2008. This requires 100% screening of cargo placed on these aircraft used in passenger service and originating in the U.S. This covers 95 percent of passenger flights, 85 percent of passengers, and 25 percent of cargo on passenger flights that originate within the U.S.

- The Certified Cargo Screening Program (CCSP) – Allows screening of cargo early in the air cargo supply chain by a trusted, vetted and validated facility. TSA certifies and regulates shippers, indirect air carriers, and other entities as Certified Cargo Screening Facilities (CCSFs) to screen cargo prior to its being tendered for transport on passenger aircraft.

The following table provides the components of this PPA.

(dollars in millions)

	FY 2010
Air Cargo Policy and Programs	\$26.0
Air Cargo Inspectors	62.2
Nat'l Explosive Detection Canine Training Prgm	19.9
Total	\$108.1

Air Cargo Policy and Programs: The program is responsible for securing the air cargo supply chain including cargo, conveyances, and people. The air cargo transportation system consists of 450 domestic airports, 300 air carriers, and approximately 4,100 indirect air carriers and shippers. An estimated 32 billion pounds of cargo is shipped within the United States by air annually. About 88 percent of this amount is transported via all-cargo aircraft; the remainder travels aboard passenger aircraft. TSA focuses on two primary security threats related to the air cargo transportation system: (1) introduction of an explosive device on a passenger aircraft, and (2) the hijacking of an all-cargo aircraft resulting in its use as a weapon of mass destruction.

TSA developed the philosophy behind the CCSP by working closely with the U.S and international agencies and associations to incorporate key aspects of commensurate security programs. Currently, air carriers have primary responsibility for air cargo screening. CCSP extends screening through the air cargo supply chain (i.e. shippers, manufacturers, and freight forwarders) thus reducing impediments to flow of commerce by encouraging screening at the point of entry into the supply chain (e.g. prior to consolidation).

Under the CCSP program, TSA will certify high-volume indirect air carriers (IAC), shippers and distribution centers to screen cargo before it leaves these facilities. The CCSP will ensure that industry shares the responsibility of screening air cargo across the supply chain. Screening air cargo early in the supply chain, rather than relying almost exclusively on air carriers to screen all the cargo at the airport prior to loading provides the greatest opportunity to ensure optimal security while not unduly impeding commerce.

Under the CCSP, facilities upstream in the air cargo supply chain such as shippers, manufacturers, warehousing entities, distributors, third party logistics companies, and Indirect Air Carriers (IACs) or other entities may apply to TSA to be designated as a Certified Cargo Screening Facility (CCSF). Aircraft operators that screen cargo off-airport must also become a CCSF in order to screen cargo for transport on passenger aircraft. These applicants must submit to TSA an application for certification of each facility, including an evaluation of the applicant's security measures by a TSA-approved validator.

Validation firms must apply to TSA for approval, must hold and carry out a TSA-approved security program, must have security coordinators to be the primary point of contact for security at the facility, and must ensure that individuals conducting assessments have professional qualifications, receive training, do not have conflicts of interest with facilities to be assessed, and conduct assessments impartially. TSA is developing an interim final rule and final rule to give regulatory framework to the 100 percent screening program. This rule requires security threat assessments for validators and their supervisors and for validation firm security coordinators and alternates.

As part of the CCSP, TSA is conducting an Indirect Air Carrier (IAC) Screening Technology Pilot (STP). Approximately 65 percent of passenger air cargo volume originates at 18 airports, and a significant amount is tendered by a concentrated number of large IACs at each airport. TSA's objectives of the STP are:

- To assist industry in achieving the screening requirements of the 9/11 Act by creating screening capacity at the IACs;
- To measure the effectiveness of select screening technologies on various commodity classes; and,
- To evaluate chain-of-custody procedures for screened cargo as it moves from the IAC to the air carrier.

TSA will authorize participating facilities to screen cargo using an appropriate mix of technologies and reimburse them up to \$375,000 per participating facility. Facilities must meet stringent security requirements and provide detailed reporting on cargo volumes screened and data on the effectiveness and efficiency of screening technologies.

IACs participating in the STP must:

- Have a facility located in one of the 18 major cargo gateways;
- Have a minimum annual volume of 200 consolidations (ULDs) tendered to passenger aircraft;
- CCSP facility security and chain of custody standards verified through an audit by TSA; and,
- Sign an Other Transactional Agreement (OTA) to receive funding from TSA

Air Cargo Inspectors: Air Cargo Inspectors enforce statutory and regulatory requirements and provide guidance to industry on securing air cargo. Inspectors ensure that air carriers (passenger and all-cargo) and indirect air carriers meet their operational responsibility by implementing the security requirements issued by TSA. This includes maintaining a TSA-approved security program that describes the security policies, procedures, and systems that must be implemented in order to comply with TSA security requirements. These requirements include measures related to the acceptance, handling, and inspection of cargo; training of employees in security and cargo inspection procedures; testing employee proficiency in cargo inspection; and access to cargo areas and aircraft.

TSA-approved security programs include (1) Aircraft Operators Standard Security Program (AOSSP), which applies to domestic passenger air carriers; (2) Indirect Air Carrier Standard Security Program (IACSSP), which applies to domestic indirect air carriers; (3) Domestic

Security Integration Program (DSIP), a voluntary program that applies to domestic all cargo carriers; (4) the Twelve-Five Program, which applies to certain operators of aircraft weighing 12,500 pounds or more in scheduled or charter service that carry passengers, cargo, or both; (5) Model Security Program applies to foreign passenger air carriers; and (6) All-Cargo International Security Procedures, which applies to each foreign air carrier engaged in the transportation of cargo to, from, within, or over-flying the U.S. in all-cargo aircraft with a maximum certified takeoff weight of 12,500 pounds or more.

TSA inspectors carry out planned and random inspections of foreign and domestic air carriers and indirect air carriers (IACs). In addition, inspectors conduct monthly cargo strikes at airports and IAC facilities. TSA also promotes the full compliance with security requirements through outreach programs and collaboration with industry.

In FY 2007, TSA received additional funds through a supplemental appropriation to enhance these inspection activities by hiring 150 more inspectors dedicated specifically to air cargo. This brought the total inspector workforce to 450 FTP. In FY 2008, the program was able to leverage this expanded workforce to conduct an estimated 3,500 additional inspections. A small cadre of inspectors was used to conduct vulnerability assessments and provide assistance for certified shipper validations. During surge and periods of elevated threat, cargo inspectors supported and participated in VIPR activities.

International Cargo Inspections: In addition to domestic inspections, TSA has developed a program to ensure the security of inbound cargo from outside the U.S. Currently, screening international cargo poses unique challenges and constraints of the international air cargo environment. These constraints are due to limited control over foreign supply chain activities, scale of diversity among supply chains, and diplomatic considerations. While TSA does not plan to mirror the domestic mandate of 100% screening, a joint effort with CBP and its international partners is actively working to strengthen air cargo security through the development of a global air cargo security strategy. This strategy will include establishing a risk assessment regime using CBP's Automated Targeting System (ATS) and TSA's Vulnerability Assessment methodology.

Currently, TSA has ten International Cargo Transportation Security Inspectors deployed to four international field offices in Los Angeles, Dallas Fort Worth, Miami, and Frankfurt, Germany. These inspectors examine cargo operations at last points of departure to the U.S. to establish a baseline by which compliance can be measured.

National Explosive Detection Canine Training Program (NEDCTP): Canines provide a valuable tool to assist in the screening of air cargo. TSA has deployed 419 local law enforcement officer-led (LEO) canine teams at 77 airports. LEO teams spend approximately 25 percent of their time screening air cargo and associated facilities.

The FY 2007 Iraq War Supplemental provided funding for 170 additional canine teams, split between LEO canine teams and proprietary (Federal handler teams) led by TSA cargo inspectors dedicated to screening passenger air cargo at high volume IAC and air carrier facilities. There are currently 80 proprietary canine teams with plans to have a total of 85 proprietary canine teams. In addition, there are 49 LEO canine teams deployed as of January 21, 2009, with an additional team just graduating. Of the 170 teams, the remaining 35 teams may be filled with

additional state/local law enforcement teams based on demand, or may be shifted to proprietary handlers.

Significant accomplishments in FY 2008 include:

- Implemented the Certified Cargo Shipper Program (CCSP).
- Began implementation of the IAC Screening Technology Pilot in 18 major gateway cities where 65% of all cargo destined for passenger aircraft originates. Began procurement of equipment to test CCSP concepts and screening for high volume facilities.
- Processed approximately 170,000 Security Threat Assessments (STA) applications through the Indirect Air Carrier Management System (IACMS), conducted 10 vulnerability assessments of Category X airports, conducted over 37,000 inspections of foreign and domestic air carriers and indirect air carriers (IACs) and transitioned and vetted over 800,000 shipper profiles to the Known Shipper Management System (KSMS) – a system used to vet shippers of cargo on passenger aircraft.

In FY 2009, the Air Cargo Program will

- Publish the Certified Cargo Screening Program (CCSP) Interim Final Rule (IFR).
- Develop and deploy a third-party validator regime to support CCSP.
- Develop and implement the Air Cargo Data Management Systems (ACDMS) – critical to full deployment of the Certified Cargo Security Program (CCSP)
- Continue to work with international partners to harmonize air cargo security programs as well as other DHS agencies, specifically Customs and Border Protection (CBP), to leverage programs and systems to protect international inbound air cargo.

One hundred percent screening of all passenger air cargo will be in place by August 2010.

In FY 2010, the CCSP will be fully deployed. It is estimated that up to 15,000 individual shipping locations and over 250 IAC locations may be engaged in screening cargo. By accomplishing this earlier in the supply chain (before cargo arrives at airports), this program is expected to reduce congestion and potential delays for cargo handling at airports.

The shippers and IAC's engaged in the program will be approved by an estimated seventy five 3rd Party Validation companies (3PV's), who will be regulated by TSA. As part of the overall CCSP, an estimated 543,000 additional Security Threat Assessments (STAs) will have been processed for employees of shippers and 3PV's.

A full complement of 170 TSA canine teams will provide considerable screening capabilities for air cargo and account for a significant amount of the screening needed to achieve 100% screening of all passenger air cargo by 2010. With 450 fully trained and operational cargo inspectors, this program will accomplish a greater level of compliance inspections, including oversight of the Certified Cargo Screener Program.

Additional covert testing protocols will be done in order to include the testing of critical air cargo security measures. Cargo strikes will be expanded in order to include evaluation of new requirements.

PPA: IMPLEMENTING REQUIREMENTS OF P.L. 110-53

In FY 2008, Congress appropriated \$30.0 million to implement the provision of Public Law 110-53, the Implementing the 9/11 Commission Recommendations Act of 2007. These funds were distributed between four appropriations to support several program initiatives as directed by the FY 2008 appropriation language.

(dollars in millions)

Appropriation	FY 2008 Distribution
Aviation Security	\$1.2
Surface Transportation Security	14.8
Transportation Threat Assessment and Credentialing	10.1
Transportation Security Support	3.9
TOTAL	\$30.0

In FY 2009, Congress appropriated an additional \$20.0 million to conduct vulnerability assessments of high risk public transportation agencies, railroads, and over-the-road bus operators; conduct additional security exercises for public transportation, over-the-road bus, and railroad employees; hire additional surface transportation security inspectors; establish and implement an information sharing plan for transportation security and an Information Sharing and Analysis Center for transportation security; conduct security reviews of foreign repair stations; develop procedures and initial implementation of a law enforcement officer biometric credential; and improve security at general aviation airports. These funds were distributed between three appropriations to support these activities as follows:

Appropriation	FY 2009 Distribution
Aviation Security	\$3.7
Surface Transportation Security	8.8
Surface Inspectors	5.0
Transportation Security Support	2.5
TOTAL	\$20.0

This request includes base adjustments within the various appropriations for the continued support of these programs.

PPA: AIRPORT PERIMETER SECURITY

	Perm Pos	FTE	Amount
2008 Actual			\$7
2009 Enacted			\$4,000
2010 Adjustments-to-Base			(4,000)
2010 Current Services	0
2010 Program Change			
2010 Request	0
Total Change 2009-2010	(4,000)

The Transportation Security Administration does not request funding for this activity in FY 2010. Funds appropriated in FY 2009 were not requested.

FEE: AVIATION SECURITY CAPITAL FUND

	Perm Pos	FTE	Amount
2008 Actual	\$245,674
2009 Enacted	250,000
2010 Adjustments-to-Base	0
2010 Current Services	250,000
2010 Program Change			
2010 Request	250,000
Total Change 2009-2010	0

The Aviation Security Capital Fund was extended by the 9/11 Bill and is authorized through 2028.

CHECKPOINT SCREENING FUND

Checkpoint Screening Fund

	Perm		
	Pos	FTE	Amount
2008 Actual			\$187,356
2009 Enacted			
2010 Adjustments-to-Base			
2010 Current Services
2010 Program Change			
2010 Request
Total Change 2009-2010

The Transportation Security Administration does not request funding for this activity in FY 2010.

FEE: GENERAL AVIATION AT RONALD REAGAN NATIONAL AIRPORT (DCA)

	Perm		
	Pos	FTE	Amount
2008 Actual			\$20
2009 Enacted			120
2010 Adjustments-to-Base			(20)
2010 Current Services	100
2010 Program Change			
2010 Request	100
Total Change 2009-2010	(20)

This offsetting collection supports General Aviation flights into Reagan National (DCA) as provided by the Vision 100 Act. TSA levies a \$15 fee for each person onboard the flight for security threat assessments and flight authorization services. In addition, a \$296 fee per roundtrip is charged to flight operators for the screening personnel and equipment used to support such flights at DCA. These fee collections cover program costs associated with the legislated mandate requiring the establishment of a security program to allow General Aviation flights into and out of DCA.

FEE: INDIRECT AIR CARGO

	Perm Pos	FTE	Amount
2008 Actual	3	3	\$1,892
2009 Enacted	3	2	2,600
2010 Adjustments-to-Base			
2010 Current Services	3	2	2,600
2010 Program Change			
2010 Request	3	2	2,600
Total Change 2009-2010	0

This program change provides for the security fee collections supporting security threat assessments of security workers in the air cargo supply chain. TSA levies a \$28 per assessment fee to offset costs of the assessments and program management costs. The total FY 2010 collections from these fees are estimated to be \$2,600,000. This fee is collected in accordance with the Final Rule on Air Cargo Security Requirements and as authorized by the FY 2004 DHS Appropriations Act (Public Law 108-90).

FEE: CERTIFIED CARGO SCREENING PROGRAM

	Perm Pos	FTE	Amount
2008 Actual			\$0
2009 Enacted	0	0	0
2010 Adjustments-to-Base			5,200
2010 Current Services	0	0	5,200
2010 Program Change			
2010 Request	0	0	5,200
Total Change 2009-2010	5,200

This program change provides for the security fee collections to fund security threat assessments for the Certified Cargo Screening Program. The program will utilize existing shipping infrastructure to help TSA meet cargo screening mandates.

FEE: LARGE AIRCRAFT SECURITY PROGRAM

	Perm Pos	FTE	Amount
2008 Actual			\$0
2009 Enacted	0	0	0
2010 Adjustments-to-Base			1,600
2010 Current Services	0	0	1,600
2010 Program Change			
2010 Request	0	0	1,600
Total Change 2009-2010	1,600

This program change provides for the security fee collections to fund security threat assessments for the large aircraft security program. The Large Aircraft Security Program (LASP) Notice of Proposed Rulemaking (NPRM) would require all U.S. operators of aircraft over 12,500 maximum gross take-off weight (MTOW) to adopt and implement a TSA-approved security program. The comment period for this NPRM closed February 29, 2009. The rule is currently undergoing analysis by TSA with additional feedback from industry regarding alternatives to the rule's proposed requirements. The program would require all domestic registered aircraft in excess of the MTOW to adopt a security plan with TSA that includes security threat assessments of certain individuals.

FEE: SECURE IDENTIFICATION DISPLAY AREA CHECKS

	Perm Pos	FTE	Amount
2008 Actual			\$0
2009 Enacted	0	0	0
2010 Adjustments-to-Base			10,000
2010 Current Services	0	0	10,000
2010 Program Change			
2010 Request	0	0	10,000
Total Change 2009-2010	10,000

This program change provides for the security fee collections to fund security threat assessment required for certain airport and air carrier workers.

FEE: OTHER SECURITY THREAT ASSESSMENTS

	Perm		
	Pos	FTE	Amount
2008 Actual			\$0
2009 Enacted	0	0	0
2010 Adjustments-to-Base			100
2010 Current Services	0	0	100
2010 Program Change			
2010 Request	0	0	100
Total Change 2009-2010	100

This program change provides for the security fee collections to fund other various security threat assessment that are required for very small transportation populations not mentioned above.

IV. Program Justification of Changes.

**Department of Homeland Security
Transportation Security Administration
Aviation Security
Justification of Program Changes
(Dollars in Thousands)**

Program Increase 1: Bomb Appraisal Officers

Strategic Goal(s) & Objective(s): 3.1 Protect and Strengthen the resilience of the Nation’s critical infrastructure and key resources; Enhance preparedness protection, screening and risk mitigation

PPAs: Passenger and Baggage Screener PC&B
Screener Training and Other
Airport management and Support

Program Increase: Positions 109 FTE 55 Dollars \$7,400

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level- Screener PC&B, Screener Training & Other and Airport Mgmt							52,517	47,790	3,429,162
Program Increase – Screener PC&B							109	55	5,365
Program Increase – Screener Training & Other							0	0	1,685
Program Increase – Airport Management							0	0	350
Total Request	50,857	47,158	3,380,637	52486	47,761	3,314,998	52,626	47,845	3,436,562

Description of Item

Expand **Bomb Appraisal Officers** (BAO) Program by 109 FTP / 55 FTE and \$9 million. Includes \$5.365M for Screener PC&B, \$1.685 for Screener Training and other and \$.35M for Airport Management and \$1.6M in the Transportation Security Support Appropriation.

Justification

Bomb Appraisal Officers (BAOs) are highly skilled bomb technicians located within selected airports to provide a rapid response for advanced resolution of alarms at the passenger screening checkpoint and baggage screening areas. BAOs also provide expert training to Transportation Security Officers (TSOs) to increase their ability to recognize potential Improvised Explosive Devices (IEDs) and IED components. TSA requests 109 FTP / 55 FTE and \$9 million for the expansion of the BAO program.

Impact on Performance (Relationship of Increase to Strategic Goals)

TSA supports DHS Objective 3.1: Protect and strengthen the resilience of the Nation's critical infrastructure and key resources, by focusing resources on the Transportation Security Officer (TSO) workforce, specifically through ensuring readiness in areas where the threat is greatest. TSA will accomplish this objective by dedicating resources to workforce expansion, workforce retention incentives, workforce succession planning and leadership training, and workplace infrastructure support.

TSA has identified the Bomb Appraisal Officer (BAO) program as a key area to expand. BAOs provide invaluable training to the employees on the front lines of Homeland Security on perhaps the most dangerous threat to aviation security - IEDs. The current allocation of 297 BAOs will provide approximately 93,000 hours of IED training to the TSO Workforce. The 109 requested BAOs will enable TSA to provide 40% more IED training to TSOs. The pilot programs indicated a 50% improvement in TSO capability to detect IEDs after training and frequent interaction with BAOs.

The additional 109 BAOs will provide coverage at 50% more airports, including all Category X, I, and II airports and will provide a BAO in every hub-spoke airport system. The BAO program has the added benefit to industry and the traveling public of preventing the costly disruption of airport terminal operations. BAOs respond to unresolved alarms at the checkpoint, obviating the need to disrupt terminal operations while waiting for local law enforcement and bomb squad response. TSA estimates that closed terminals cost industry \$61.37 per minute. In 2007 BAOs responded to 1,156 calls for advanced alarm resolutions, preventing 1,103 hours of potential terminal disruption. Using the \$61.37 per minute figure, this represented industry cost avoidance of approximately \$3.9M and a benefit to the traveling public that will grow along with the size of the BAO workforce.

BAOs will also provide frequent interaction with and formal training to TSOs to increase their ability to recognize potential IEDs and IED components. These preventative measures also reduce costly airport delays and closures. The goal is to increase the TSO pass rate of Aviation Screening Assessment Program Basic Test by one percent. BAOs will also provide advance resolution of suspect alarms to preclude LEO and Bomb Squad response with a plan of reducing alarm resolution time by 50% at airports without an organic Bomb Squad. In order to accurately gauge the success of this initiative, TSA will measure security effectiveness at Category X, I and II airports in two ways; one through gauging the enhanced security capability of the BAOs and the second by conducting IED Checkpoint Drills. By establishing targets for these measures, TSA will be able to determine on a bi-monthly basis the success of this initiative.

Program Increase 2: EDS/ETD Procurement and Installation

In order to meet the challenging demands of optimal systems deployment and stabilizing the recapitalization and system resizing requirements, the EBSP will require an increase in base funding. This helps achieve Strategic Plan Goals and Objectives 1, 2 and 3, “Protecting Our Nation from Dangerous People”, “Protecting Our Nation from Dangerous Goods” and “Protect Critical Infrastructure”.

PPA: EDS/ETD Procurement and Installation

Program Increase: Positions 0 FTE 0 Dollars \$565M

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars* (\$000)	Pos	FTE	Dollars* (\$000)	Pos	FTE	Dollars* (\$000)
Current Services Level	18	9	521,997	111	106	\$294,000	107	102	\$291,191
Program Increase									\$565,400
Total Request									\$856,591

* Excludes mandatory funding of \$250M

Description of Item

This is a \$565.4 million increase over FY 2009 to accelerate optimal solution deployments.

Justification

The Transportation Security Administration (TSA) requests \$565.4 million in FY10 for the acceleration of the Electronic Baggage Screening Program (EBSP) at the Nation’s airports. The funding will be used for facility modifications, recapitalization efforts, and to purchase and deploy electronic baggage screening technology systems. The program is responsible for ensuring that 100% of all checked baggage is screened with an in-line explosive detection capability system, or a suitable alternative.

Facility modifications are essential for adherence to this policy, as many airports do not currently have the capability to fund the necessary baggage handling systems to meet their optimal solution. The two primary technologies acquired and deployed under the EBSP are Explosive Detection System (EDS) equipment and Explosives Trace Detection (ETD) devices. Replacing machines that are nearing the end of their life cycle is also a priority of EBSP.

Impact on Performance (Relationship of Increase to Strategic Goals)

Accelerating the Electronic Baggage Screening Program supports DHS Goal 1: Protect our Nation from Dangerous People and Objective 1.3 Strengthen Screening of Travelers and Workers, as well as Goal 3: Protect Critical Infrastructure; Objective 3.1: Protect and Strengthen the Resilience of the Nation’s Critical Infrastructure and Key Resources Against All Threats.

This initiative will ensure that TSA can continue to meet its legislative mandate of screening 100% of checked baggage in a manner that is both timely and cost effective.

The most recent analysis of the baseline funding, published in the Baggage Screening Investment Study Report, indicated program completion in 2024. TSA estimates increased funding would reduce the timeline by one to two years.

Program Increase 3: Screening Technology Maintenance

Strategic Goal(s) & Objective(s): Goal 1: Protect our Nation from Dangerous People; Objective 1.3: Strengthen Screening of Travelers and Workers and Goal 3: Protect Critical Infrastructure; Objective 3.4: Protect Transportation Sectors.

PPA: Screening Technology Maintenance and Utilities

Investments in maintenance and logistics support are critical to preserve the operational capability of TSE, which supports the DHS Strategic Plan Goals and Objectives of “Protecting Our Nation from Dangerous People”, “Protecting Our Nation from Dangerous Goods” and “Protect Critical Infrastructure”.

Program Increase: Positions 0 FTE 0 Dollars \$19.0M

Funding Profile

	FY 2008. Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level			263,415			305,625			307,625
Program Increase									19,000
Total Request									326,625

Description of Item

This is an \$19 million increase over FY 2009 to maintain TSA’s screening technology equipment.

Justification

This increase is attributed to maintenance costs for higher-than-projected quantities of security equipment. The equipment purchased in FY 2009 will be out of warranty in FY 2010, thus requiring increased funding for maintenance. Tables 1 and 2 indicate the projected quantities and maintenance cost by type of security equipment. Table 3 provides the overall PPA breakout in FY10 incorporating this increase.

Table 1: Checked Baggage Equipment Maintenance

Equipment	Quantity	Maintenance Cost
EDS		
CTX-2500	70	5,964,314
CTX-5500	489	44,469,361
CTX-9000	298	36,760,446
CTX-9400	90	7,880,180
CTX-9800	11	995,278
e6000	602	68,947,452
e6600	92	5,957,737
Reveal	227	12,671,178
Dual Use EDS	20	306,088
ETD		
400B	3,460	39,023,247
Itemiser-W	2,284	24,618,125
Consumables		4,209,088
Excepted Maintenance/Call Center/Environment Issues		7,589,121
Checked Baggage Equipment Maintenance		\$259,391,615
Support Services		3,008,385
Total FY10 Maintenance Requirement		\$262,400,000

Table 2: Checkpoint (Passenger) Screening Equipment Maintenance

Equipment	Quantity	Maintenance Cost
ETD		
IonScan 400B	784	8,932,489
Itemiser-W	500	5,247,898
Next Generation	215	489,969
Consumables		1,073,523
EMD		
Ceia	1395	907,874
Metorex	129	109,849
Garrett	223	166,425
EMD-2	125	30,917
TRX		
Rapiscan	443	5,785,043
Smiths	511	5,777,454
AT Systems		
TBD	1300	14,144,511
WBI		
L-3	250	1,978,809
Universal Conveyor Systems		
TBD	250	2,656,250
Bottle Liquid Scanners (BLS/ ILD)		
TBD	1266	955,103
Cast & Prosthesis Imagers		
Spectrum	35	362,250
Standoff Detection		
QinetiQ	60	778,449
Credential Authentication Technology		
TBD	577	800,443
Shoe Scanners		
TBD	120	385,538
Checkpoint Equipment Maintenance		\$ 50,582,794
Support Services		1,642,206
Total FY10 Checkpoint Maintenance Requirement		\$ 52,225,000

Table 3: Total FY-10 Maintenance Budget

Activity	FY 2010 (\$M)
Checked Baggage Equipment Maintenance	\$262.4
Checkpoint Equipment Maintenance	52.2
Utilities	8.0
Disposal	4.0
Total	\$326.6

Impact on Performance (Relationship of Increase to Strategic Goals)

Screening Technology and Maintenance supports DHS Goal 1: Protect our Nation from Dangerous People and Objective 1.3: Strengthen Screening of Travelers and Workers, as well as DHS Goal 3: Protect Critical Infrastructure and Objective 3.4: Protect Transportation Sectors. This initiative will ensure that both new and existing technologies are well maintained, so that airport checkpoint lanes can continue to operate at optimal capacity and will ensure that TSA can continue to meet its legislative mandate of screening 100% of checked baggage in a manner that is both timely and cost effective.

TSA is implementing a change in the service level agreement performance metric from Mean Down Time (MDT) at the fleet level to Operational Availability at the airport level. While the contractors have been largely successful in meeting contract MDT requirements, measuring MDT across the fleet population tends to reward good performance at large airports with large equipment installations, while smaller or more remote airports are given less priority. In order to address this inequity and provide better equipment availability at *every* airport, a contract modification is pending to change the performance metric from *fleet-wide* MDT to *airport-level* Operational Availability.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Transportation Security Administration
Justification of Proposed Changes in Aviation Security
Appropriation Language**

For necessary expenses of the Transportation Security Administration related to providing civil aviation security services pursuant to the Aviation and Transportation Security Act (Public Law 107-71; 115 Stat. 597; 49 U.S.C. 40101 note), [\$4,754,518,000] **\$5,310,850,000**, to remain available until September 30, [2010] **2011**, of which not to exceed \$10,000 shall be for official reception and representation expenses: *Provided*, That of the total amount made available under this heading, not to exceed [\$3,935,710,000] **\$4,475,117,000** shall be for screening operations [, of which \$621,106,000 shall be available for explosive detection systems]; and not to exceed [\$798,808,000] **\$835,733,000** shall be for aviation security direction and enforcement: [*Provided further*, That of the amount made available in the preceding proviso for explosives detection systems, \$294,000,000 shall be available for the purchase and installation of these systems, of which not less than \$84,500,000 shall be available for the purchase and installation of certified explosives detection systems at medium- and small-sized airports: *Provided further*, That the purchase of screening equipment for medium- and small-sized airports must be competitively awarded: *Provided further*, That any award to deploy explosives detection systems shall be based on risk, the airports current reliance on other screening solutions, lobby congestion resulting in increased security concerns, high injury rates, airport readiness, and increased cost effectiveness] *Provided further*, That security service fees authorized under section 44940 of title 49, United States Code, shall be credited to this appropriation as offsetting collections and shall be available only for aviation security: *Provided further*, That any funds collected and made available from aviation security fees pursuant to section 44940(i) of title 49, United States Code, may, notwithstanding paragraph (4) of such section 44940(i), be expended for the purpose of improving screening at airport screening checkpoints, which may include the purchase and utilization of emerging technology equipment; the refurbishment and replacement of current equipment; the installation of surveillance systems to monitor checkpoint activities; the modification of checkpoint infrastructure to support checkpoint reconfigurations; and the creation of additional checkpoints to screen aviation passengers and airport personnel: [*Provided further*, That of the amounts provided under this heading, \$20,000,000 may be transferred to the ``Surface Transportation Security'', ``Transportation Threat Assessment and Credentialing'', and ``Transportation Security Support'' appropriations in this Act for the purpose of implementing regulations and activities authorized in the Implementing Recommendations of the 9/11 Commission Act of 2007 (Public Law 110-53):] *Provided further*, That the sum appropriated under this heading from the general fund shall be reduced on a dollar-for-dollar basis as such offsetting collections are received during fiscal year [2009] **2010**, so as to result in a final fiscal year appropriation from the general fund estimated at not more than [\$2,434,518,000] **\$3,081,909,000**: *Provided further*, That security service fees collected in excess of the amount made available under this heading shall become available during fiscal year [2010] **2011**: ***Provided further, That notwithstanding section 44923 of title 49, United States Code, the share of the cost of the Federal Government for a project shall not exceed 90 percent, and all***

funding provided by section 44923(h) of title 49, United States Code, may be distributed in any manner deemed necessary to ensure aviation security: *Provided further,* That Members of the United States House of Representatives and United States Senate, including the leadership; and the heads of Federal agencies and commissions, including the Secretary, Under Secretaries, and Assistant Secretaries of the Department of Homeland Security; the United States Attorney General and Assistant Attorneys General and the United States attorneys; and senior members of the Executive Office of the President, including the Director of the Office of Management and Budget; shall not be exempt from Federal passenger and baggage screening. (*Department of Homeland Security Appropriations Act, 2009.*)

Explanation of Change:

No substantive changes proposed.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
Transportation Security Administration
Aviation Security Appropriation¹
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actuals	52,674	48,598	4,937,639
2009 Enacted	54,508	49,666	4,740,913
Adjustments-to-Base			
Transfers			
From Aviation Security to Transportation Support	(10)	(10)	(1,596)
From Transportation Support to Aviation Security	14	13	5,802
From TSA to OSEM for Secretary's Travel			(3)
Total Transfers:	<u>4</u>	<u>3</u>	<u>4,203</u>
Increases			
Annualization of 2009 pay raise			32,557
2010 pay increase			50,088
Annualize FY 08 and FY 09 9/11 Funding			428
Rent increase			3,900
Consumables and Utilities			6,000
Conversion of Contractors	24	23	---
Other Adjustments	10	10	27,998
Fee Adjustments			16,880
Total Increases	<u>34</u>	<u>33</u>	<u>137,851</u>
Decreases			
Termination of one-time costs			
Checkpoint Support			(122,317)
Air Cargo Pilot Project			(18,000)
Airport Perimeter			(4,000)
Total Decreases	<u>---</u>	<u>---</u>	<u>(144,317)</u>
Total Adjustments-to-Base	<u>38</u>	<u>36</u>	<u>(2,263)</u>
2010 Current Services	54,546	49,702	4,738,650
Program Changes			
Program Increases			
Bomb Appraisal Officers	109	55	7,400
EDS Procurement and Installation	---	---	565,400
Screening Technology Maintenance	---	---	19,000
Total Program Changes	<u>109</u>	<u>55</u>	<u>591,800</u>
2010 Request²	54,655	49,757	5,330,450
2009 to 2010 Total Change	147	91	589,537

¹FY 2008 - FY 2010 includes discretionary funding only.

²Total FY 2010 Request including both discretionary and mandatory funding is \$5,580,450,000.

C. Summary of Requirements

**Department of Homeland Security
Transportation Security Administration
Aviation Security Appropriation
Summary of Requirements
(Dollars in Thousands)**

	2010 Request		
	Perm. Pos.	FTE	Amount
2008 EOY Actual	52,674	48,598	4,937,639
2009 Enacted	54,508	49,666	4,740,913
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Adjustments	4	3	4,203
Increases	34	33	137,851
Decreases	---	---	(144,317)
Total Adjustments-to-Base	38	36	(2,263)
2010 Current Services	54,546	49,702	4,738,650
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	109	55	591,800
2010 Total Request	54,655	49,757	5,330,450
2009 to 2010 Total Change	147	91	589,537

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Screening Partnership Program	---	---	151,272	---	---	(1,629)	---	---	---	---	---	149,643	---	---	(1,629)
2 Passenger and Baggage PC&B	50,187	45,643	2,716,014	---	---	67,196	109	55	5,365	50,296	45,698	2,788,575	109	55	72,561
3 Screener Training & Other	56	54	197,318	---	---	4,460	---	---	1,685	56	54	203,463	---	---	6,145
4 Checkpoint Support	41	40	250,000	---	---	(121,261)	---	---	---	41	40	128,739	---	---	(121,261)
5 EDS/ETD Procurement and Installation	111	106	294,000	(4)	(4)	(2,809)	---	---	565,400	107	102	856,591	(4)	(4)	562,591
6 Screening Technology Maint & Utilities	---	---	305,625	---	---	2,000	---	---	19,000	---	---	326,625	---	---	21,000
7 Operation Integration	---	---	21,481	---	---	---	---	---	---	---	---	21,481	---	---	---
8 Aviation Regulation	1,168	1,086	248,943	11	11	5,121	---	---	---	1,179	1,097	254,064	11	11	5,121
9 Airport Management and Support	2,243	2,064	401,666	31	29	46,408	---	---	350	2,274	2,093	448,424	31	29	46,758
10 Federal Flight Deck Ofcr. & Flt. Crew Trng.	30	29	25,025	---	---	102	---	---	---	30	29	25,127	---	---	102
11 Air Cargo	669	642	122,849	---	---	(14,731)	---	---	---	669	642	108,118	---	---	(14,731)
12 Airport Perimeter Security	---	---	4,000	---	---	(4,000)	---	---	---	---	---	---	---	---	(4,000)
13 General Aviation at DCA Fee	---	---	120	---	---	(20)	---	---	---	---	---	100	---	---	(20)
14 Indirect Air Cargo	3	2	2,600	---	---	---	---	---	---	3	2	2,600	---	---	---
15 Certified Cargo Screening Program	---	---	---	---	---	5,200	---	---	---	---	---	5,200	---	---	5,200
16 Large Aircraft Security Program	---	---	---	---	---	1,600	---	---	---	---	---	1,600	---	---	1,600
17 Secure Identification Display Area Checks	---	---	---	---	---	10,000	---	---	---	---	---	10,000	---	---	10,000
18 Other Security Threat Assessments	---	---	---	---	---	100	---	---	---	---	---	100	---	---	100
Total	54,508	49,666	\$4,740,913	38	36	(\$2,263)	109	55	\$591,800	54,655	49,757	5,330,450	147	91	589,537

D. Summary of Reimbursable Resources

**Department of Homeland Security
Transportation Security Administration
Aviation Security Appropriation
Summary of Reimbursable Resources
(Dollars in Thousands)**

Collections by Source	2008 Actual			2009 Enacted			2010 Request			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
S&T (DHS-S&T,R&D Support Functions)	---	---		---	---	500	---	---	500	---	---	---
CBP - Human Capital	---	---		---	---	---	---	---	---	---	---	---
FAA (Safe Skies)	---	---		---	---	400	---	---	400	---	---	---
DOS/International Affairs	---	---		---	---	250	---	---	250	---	---	---
ICAO / Training	---	---		---	---	150	---	---	150	---	---	---
OAS / Technical Assistance & Training	---	---		---	---	300	---	---	300	---	---	---
Transport Canada	---	---		---	---	2,000	---	---	3,000	---	---	---
USSS - Presidential Candidates	---	---		---	---	500	---	---	---	---	---	(500)
DHS Watchlist	---	---		---	---	---	---	---	---	---	---	---
DOT / RITA/ BTS	---	---		---	---	262	---	---	262	---	---	---
Total Budgetary Resources	---	---	---	---	---	4,362	---	---	4,862	---	---	(500)

Obligations by Program/Project Activity	2008 Actual			2009 Enacted			2010 Request			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Screeners PC&B	---	---		---	---	500	---	---	---	---	---	(500)
EDS/ETD Procurement and Installation	---	---		---	---	2,500	---	---	3,500	---	---	1,000
Aviation Regulation and Other Enforcement	---	---		---	---	1,362	---	---	1,362	---	---	---
Total Obligations	---	---	---	---	---	4,362	---	---	4,862	---	---	500

E. Summary of Requirements by Object Class

**Department of Homeland Security
Transportation Security Administration
Aviation Security Appropriation
Summary of Requirements by Object Class ¹
(Dollars in Thousands)**

Object Classes	2008 Actuals ²	2009 Enacted	2010 Request	2009 to 2010 Change
11.1 Total FTE & personnel compensation	\$1,685,667	\$1,832,346	\$1,896,759	\$64,413
11.3 Other than full-time permanent	\$234,437	\$255,003	\$261,669	6,666
11.5 Other Personnel Compensation	\$315,302	\$356,169	\$366,096	9,927
11.6 Pay Differential (Sunday/Night)	\$216	\$0	\$0	---
11.8 Special Service Pay	\$1,120	\$1,311	\$1,311	---
12.1 Benefits	\$722,687	\$758,308	\$793,286	34,978
13.0 Benefits - former	\$104	\$97	\$97	---
Total, Personnel Comp. & Benefits	\$2,959,533	\$3,203,234	\$3,319,217	\$115,983
Other Object Classes:				
21.0 Travel	\$72,980	\$49,655	\$56,429	6,774
22.0 Transportation of things	\$1,398	\$337	\$1,273	936
23.1 GSA rent	\$86,810	\$34,850	\$38,750	3,900
23.2 Other rent	\$8,636	\$7,186	\$9,328	2,142
23.3 Communications, utilities, & other misc. charges	\$75,521	\$27,995	\$35,266	7,271
24.0 Printing and reproduction	\$791	\$361	\$353	(8)
25.1 Advisory and assistance services	\$177,692	\$218,640	\$339,248	120,608
25.2 Other services	\$1,246,384	\$653,230	\$898,116	244,886
25.3 Purchases of goods & svcs. from Gov't accounts	\$37,930	\$18,892	\$18,858	(34)
25.4 Operation & maintenance of facilities	\$2,404	\$5,937	\$5,937	---
25.5 Research and development contracts	\$0	\$0	\$0	---
25.6 Medical care	\$3	\$5	\$5	---
25.7 Operation and maintenance of equipment	\$268,190	\$300,631	\$316,297	15,666
25.8 Subsistence and support of persons	\$14,515	\$13,892	\$142	(13,750)
26.0 Supplies and materials	\$55,765	\$39,245	\$50,642	11,398
31.0 Equipment	\$252,233	\$325,159	\$397,118	71,960
32.0 Land & structures	\$12,939	\$4,546	\$6,353	1,807
41.0 Grants/Subsidies/Contributions	\$95,372	\$86,557	\$86,557	---
42.0 Indemnity	\$1,573	\$563	\$563	---
Total, Other Object Classes	\$2,411,136	1,787,679	\$2,261,233	\$473,554
Total, Direct Obligations	\$5,370,669	\$4,990,913	\$5,580,450	\$589,537
Unobligated balance, start of year	(657,372)	(566,801)		
Unobligated balance, end of year	566,801	566,801		
Recoveries of prior year obligations	(74,746)			
Total requirements	\$5,205,352	\$4,990,913	\$5,580,450	\$589,537

1) Object Class Summary tables include appropriated and fee funds (i.e., discretionary and mandatory) for FY 2008 - FY 2010. Tables do not include the \$1 billion in American Recovery and Reinvestment Act.

2) FY 2008 actuals do not include funds from accounts pending closeout/reconciliation.

F. Permanent Positions by Grade

**Department of Homeland Security
Transportation Security Administration
Aviation Security Appropriation
Permanent Positions by Grade**

Grades and Salary Ranges	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
	Pos.	Pos.	Pos.	Total
Total, SES	86	86	86	---
Total, EX				---

M Band	---	---	---	---
L Band	13	13	13	---
K Band	443	458	460	1
J Band	774	801	803	2
I Band	1,676	1,734	1,739	5
H Band	1,569	1,624	1,628	4
G Band	5,539	5,732	5,748	15
F Band	6,817	7,055	7,074	19
E Band	19,819	20,510	20,566	55
D Band	15,932	16,488	16,532	45
C Band	5	5	5	---
B Band	1	1	1	---
A Band	---	---	---	---
	---	---	---	
	---	---	---	
Other Graded Positions				
Ungraded Positions				
Total Permanent Positions	52,674	54,508	54,655	147
Unfilled Positions EOY	4,076	4,842	4,898	56
Total Perm. Employment EOY	52,674	54,508	54,655	147
FTE	48,598	49,666	49,757	91
Headquarters	629	693	744	51
U.S. Field	51,950	53,720	53,811	91
Foreign Field	95	95	100	5
Total Permanent Positions	52,674	54,508	54,655	147
Average ES Salary	\$ 152,306	\$ 157,180	\$ 162,524	\$ 5,344
Average Salary, Banded Positions	\$ 38,378	\$ 39,606	\$ 40,953	\$ 1,347
Average Band	E	E	E	

G. Capital Investment and Construction Initiative Listing

TRANSPORTATION SECURITY ADMINISTRATION
AVIATION SECURITY

INITIATIVE NAME	FY 2010 FUNDING REQUEST (\$000)			FUNDING FROM:	
	Current Services Level	New Initiative	Total	Budget Activity	Program's Name
Initiative #1 Electronic Baggage Screening Program (EBSP)	\$788,591	\$580,400	\$1,368,991	Aviation Security	- EDS / ETD Purchase And Install - Screening Technology Maintenance and Utilities
Initiative #2 Passenger Screening Program	\$176,939	\$4,000	\$180,939	Aviation Security	- Checkpoint Support - Screening Technology Maintenance and Utilities
Total Non-IT Investments	\$965,530	\$584,400	\$1,549,930		
Total of IT Investments	\$0	\$0	\$0		
Total all IT and Non-IT Investments	\$965,530	\$584,400	1,594,930		

INITIATIVE #1

TSA – ELECTRONIC BAGGAGE SCREENING PROGRAM (EBSP)

1. Project Description, Justification and Scope

The Electronic Baggage Screening Program (EBSP) implements a national checked-baggage screening system to protect against criminal and terrorist threats, while minimizing transportation industry and traveling public burdens. TSA provides life-cycle procurement, deployment, integration, and maintenance of security equipment at over 450 U.S. airports. This program includes: (1) maintaining first generation Explosives Detection Systems (EDS), and Explosives Trace Detection (ETD) devices deployed after 9/11; (2) improving efficiency and effectiveness by acquiring and deploying next generation inline explosive detection technology, and by relocating lobby equipment at some airports; and (3) Efforts to establish operational, functional, performance and integration requirements for TSA security screening equipment.

While the Congressionally-mandated requirement for 100 percent screening of aviation-checked baggage by electronic or other approved means has been achieved, the program must continue to research, evaluate, and deploy refinements to EDS and ETD technology and associated systems, that

allow for improvements in: (1) throughput (checked bags per hour), (2) false alarm rate, (3) system availability, and (4) total cost of ownership for baggage screening (cost per checked bag). Equipment must be also be relocated from airport lobby areas to baggage room areas.

The following programs are funded under EBSP:

a) Operation Integration (OI): TSA analyzes integration of new technologies into existing systems to ensure operational effectiveness and suitability before full system production and deployment. The purpose of this work is to test, evaluate, and analyze pre-production or production representative systems under realistic conditions, including operation by those who will use the equipment in the field in a variety of environmental conditions. The division conducts:

- Operational test and evaluation as part of the acquisition process for items procured by TSA
- Operational test and evaluation in support of regulatory and policy decisions in areas such as air cargo
- Pilots, demonstrations, and field experimentation in support of mission area analyses, concept of operations development and workforce characterization

b) Security Technology Integrated Program (STIP): STIP will be an agency wide system which enables TSA to move their established airport security system to the next generation of capability by connecting the myriad of transportation security equipment (TSE) to one network. STIP will establish a centralized enterprise data management system that will facilitate the exchange of information between TSE located at the nation’s airports and the people, who use, procure and service them. Functions that are performed manually today, such as collecting and storing TSO performance data, monitoring screening equipment status, and collecting checkpoint throughput and performance data, will be automated through this new system.

The Program will enhance security, improve resource management, and improve operational efficiency and effectiveness at the security checkpoints.

c) ASP: ASP partners with Transportation Authorities to leverage existing surveillance and detection systems at the transportation facilities to increase situational awareness and cooperative engagement in mitigating encountered threats.

2. Significant Changes

The President’s budget proposes a \$565M increase to accelerate the implementation of optimal EDS systems.

3. Project Schedule

	Fiscal Quarter and Year				Total Estimated Completion Cost (\$000)	Total Project Cost (\$000)
	Work Initiated	Work Completed	Project Start	Project Complete		
Program initiation (MNS, draft ConOps); Deployed NEXGEN units; Deployed LOI systems; Developed Strategic Program Plan	N/A	N/A		Q4 2005	1,541,130	1,541,130
Deployed NEXGEN to improve system detection capabilities and improve	N/A	N/A		Q4 2006	706,024	693,428

throughput; Expedited EDS deployment in accordance with Strategic Plan; Deployed LOI systems; Updated Strategic Plan, LCCE, CBA, Deployment Schedule						
Perform program management, system deployment, operations and maintenance, and tech management in accordance with draft final deployment plan	N/A	N/A	Q1 2007	Q4 2007	774,400	725,950
Perform program management, system deployment, operations and maintenance, and tech management utilizing final strategic plan	N/A	N/A	Q1 2008	Q4 2008	486,920	387,782
Perform operations and maintenance utilizing final strategic plan	N/A	N/A	Q1 2008	Q4 2008	227,000	181,600
Perform program management, system deployment, and tech management utilizing final strategic plan	N/A	N/A	Q1 2009	Q4 2009	374,000	0,000
Perform operations and maintenance utilizing final strategic plan	N/A	N/A	Q1 2009	Q4 2009	266,700	0,000
Perform program management in accordance with the final strategic plan	N/A	N/A	Q1 2010	Q4 2010	65,000	65,000
Execute engineering initiatives for continuous quality and improvements	N/A	N/A	Q1 2010	Q4 2010	98,400	98,400
Perform facility modification, purchase of EDS, and installation of EDS for Airport Optimal Solutions utilizing final strategic plan	N/A	N/A	Q1 2010	Q4 2010	832,,200	832,200
Perform facility modification, purchase of EDS, and installation of EDS for Recapitalization of existing airport systems for sustained operations and compliance	N/A	N/A	Q1 2010	Q4 2010	94,191	94,191
Perform operations and maintenance utilizing final strategic plan	N/A	N/A	Q1 2010	Q4 2010	262,400	262,400
Perform program management in accordance with the final strategic plan	N/A	N/A	Q1 2011	Q4 2011	38,156	
Execute engineering initiatives for continuous quality and improvements	N/A	N/A	Q1 2011	Q4 2011	26,709	
Perform facility modification, purchase of EDS, and installation of EDS for Airport Optimal Solutions utilizing final strategic plan	N/A	N/A	Q1 2011	Q4 2011	267,090	
Perform facility modification, purchase of EDS, and installation of EDS for Recapitalization of existing airport systems for sustained operations and compliance	N/A	N/A	Q1 2011	Q4 2011	49,602	
Perform operations and maintenance utilizing final	N/A	N/A	Q1 2011	Q4 2011	319,600	

strategic plan						
Perform program management in accordance with the final strategic plan	N/A	N/A	Q1 2012	Q4 2012	39,737	
Execute engineering initiatives for continuous quality and improvements	N/A	N/A	Q1 2012	Q4 2012	27,816	
Perform facility modification, purchase of EDS, and installation of EDS for Airport Optimal Solutions utilizing final strategic plan	N/A	N/A	Q1 2012	Q4 2012	278,158	
Perform facility modification, purchase of EDS, and installation of EDS for Recapitalization of existing airport systems for sustained operations and compliance	N/A	N/A	Q1 2012	Q4 2012	51,658	
Perform operations and maintenance utilizing final strategic plan	N/A	N/A	Q1 2012	Q4 2012	322,700	
Perform program management in accordance with the final strategic plan	N/A	N/A	Q1 2013	Q4 2013	41,382	
Execute engineering initiatives for continuous quality and improvements	N/A	N/A	Q1 2013	Q4 2013	28,967	
Perform facility modification, purchase of EDS, and installation of EDS for Airport Optimal Solutions utilizing final strategic plan	N/A	N/A	Q1 2013	Q4 2013	289,672	
Perform facility modification, purchase of EDS, and installation of EDS for Recapitalization of existing airport systems for sustained operations and compliance	N/A	N/A	Q1 2013	Q4 2013	53,796	
Perform operations and maintenance utilizing final strategic plan	N/A	N/A	Q1 2013	Q4 2013	325,800	
Total					7,889,208	4,882,081

**4. Schedule of Project Funding
(Dollars in Thousands)**

Projects (Appropriation: Aviation Security)	Prior	FY 2008	FY 2009	FY 2010	Total
Program initiation (MNS, draft ConOps); Deployed NEXGEN units; Deployed LOI systems; Developed Strategic Program Plan; Deployed NEXGEN to improve system detection capabilities and improve throughput; Expedited EDS deployment in accordance with Strategic Plan; Deployed LOI systems; Updated Strategic Plan, LCCE, CBA, Deployment Schedule	3,021,554				3,021,554
Perform program management, system deployment, operations and maintenance, and tech management in accordance with draft final deployment plan		713,920			713,920
Perform program management, system deployment, operations and maintenance, and tech management in accordance with draft final deployment plan			640,700		640,700
Perform program management in accordance with the final strategic plan; execute engineering initiatives for continuous quality and improvements; perform facility modification, purchase of EDS, and installation of EDS for Airport Optimal Solutions utilizing final strategic plan, and for Recapitalization of existing airport systems for sustained operations and compliance; and perform operations and maintenance utilizing final strategic plan.				1,352,191	1,352,191
Total Project Expenditures	3,021,554	713,920	640,700	1,352,191	5,728,365

**5. Cost Estimate Detail and Changes
(Dollars in Thousands)**

Description of Milestone	Initial Total Cost (\$mil)	Planned Total Cost (\$mil)	Actual Total Cost (\$mil)	Explanation of Difference Between Current and Previous Estimate
Year*: '05 Program initiation (MNS, draft ConOps); Deployed NEXGEN units; Deployed LOI systems; Developed Strategic Program Plan	1,541,130	1,541,130	1,541,130	
Year: '06 Deployed NEXGEN to improve system detection capabilities and improve throughput; Expedited EDS deployment in accordance with Strategic Plan; Deployed LOI systems; Updated Strategic Plan, LCCE, CBA, Deployment Schedule	706,024	706,024	693,428	Airport scheduling delays slowed deployment of equipment.
Year: '07 Perform program management, system deployment, operations and maintenance, and tech management in accordance with draft final deployment plan	774,400	774,400	725,950	Airport scheduling delays slowed deployment of equipment.
Year: '08	713,920	713,920	569,382	Airport scheduling

Perform program management, system deployment, operations and maintenance, and tech management utilizing final strategic plan				delays slowed deployment of equipment.
Year: '09 Perform program management, system deployment, operations and maintenance, and tech management utilizing final strategic plan	640,700	640,700	0.000	
Year: '10 Perform program management in accordance with the final strategic plan; execute engineering initiatives for continuous quality and improvements; perform facility modification, purchase of EDS, and installation of EDS for Airport Optimal Solutions utilizing final strategic plan, and for Recapitalization of existing airport systems for sustained operations and compliance; and perform operations and maintenance utilizing final strategic plan.	1,352,191	1,352,191	0.000	
Year: '11 Perform program management in accordance with the final strategic plan; execute engineering initiatives for continuous quality and improvements; perform facility modification, purchase of EDS, and installation of EDS for Airport Optimal Solutions utilizing final strategic plan, and for Recapitalization of existing airport systems for sustained operations and compliance; and perform operations and maintenance utilizing final strategic plan.	701,157	701,157	0.000	
Year: '12 Perform program management in accordance with the final strategic plan; execute engineering initiatives for continuous quality and improvements; perform facility modification, purchase of EDS, and installation of EDS for Airport Optimal Solutions utilizing final strategic plan, and for Recapitalization of existing airport systems for sustained operations and compliance; and perform operations and maintenance utilizing final strategic plan.	720,069	720,069	0.000	
Year: '13 Perform program management in accordance with the final strategic plan; execute engineering initiatives for continuous quality and improvements; perform facility modification, purchase of EDS, and installation of EDS for Airport Optimal Solutions utilizing final strategic plan, and for Recapitalization of existing airport systems for sustained operations and compliance; and perform operations and maintenance utilizing final strategic plan.	739,617	739,617	0.000	

*Year maps to Section 3: Project Schedule, "Project Complete" column

6. Method of Performance

EBSP is a 20 year program. Expenditures are approved based on an overall strategic plan that is submitted to Congress annually.

Operational performance will be measured based on the following criteria:

- 100 percent electronic screening of checked baggage for explosives at all commercial airports nationwide.
- Number of airports with integrated in-line systems
- Cost per bag screened
- Number of false alarms on Electronic Detection Systems

**7. Related Annual Funding Requirements
(Dollars in Thousands)**

	FY 2010	
	Current Estimate	Previous Estimate
N/A (All operations and maintenance are included in program cost estimates.)	N/A	N/A
Total	N/A	N/A

8. Budget Allocation to Programs

Program	Allocated Budget (\$000)	
	FY 2009	FY 2010
EDS/ETD Purchase & Install	544,000	1,106,591
Screening Technology Maintenance & Utilities	266,700	262,400
Total	810,700	1,368,991

9. Compliance with applicable Public Laws, Regulations, Standards and Executive Orders

This program is mandated under the Aviation and Transportation Security Act (PL No. 107-71) which requires screening of checked baggage by EDS.

Initiative #2

TSA – PASSENGER SCREENING PROGRAM (PSP)

1. Project Description, Justification and Scope

The Passenger Screening Program provides the resources required to deploy and maintain passenger screening and carry-on baggage screening equipment and processes at approximately 2,200 passenger checkpoint lanes at airports nationwide, in order to minimize the risk of injury or death of people, or damage of property, due to acts of terrorism. The Passenger Screening Program’s role consists of the identification, evaluation, field testing, procuring, deploying, integrating, maintaining, disposing and replacing of existing and emerging technologies necessary to meet those requirements. The ever-changing threat environment necessitates investment in new and improved technology to increase threat detection capabilities needed to provide the traveling public with optimal security screening benefits.

After the attacks on 9/11, Congress directed TSA to screen all passengers and their carry-on articles for explosives and components of weapons of mass destruction, as well as other prohibited items. At the time, choices in technology were limited to legacy systems, namely metal detectors and basic x-ray equipment, all of which had significant shortfalls in the detection of explosives and non-metallic threats on people and in their carry-on articles. Since then, the Passenger Screening Program has replaced the legacy systems with Enhanced Metal Detectors and TIP Ready X-ray

systems, providing an expanded level of security and threat detection at the checkpoint. Explosives Trace Detector usage was expanded to more sites and higher quantities and recently, Bottled Liquids Scanners, Whole Body Imagers, and Advanced Technology Systems have been deployed, providing additional levels of explosives security at the checkpoints. The Passenger Screening Program continues evaluating and deploying the next generation of detection systems that address existing weaknesses in detection capabilities, detect new threats, and reduce false alarm rates.

2. Significant Changes

No significant changes in these programs will occur in FY 2010.

3. Project Schedule

Projects	Fiscal Quarter and Year				Total Estimated Completion Cost (\$000)	Total Project Cost (\$000)
	Work Initiated	Work Completed	Project Start	Project Complete		
Transfer from FAA			1st Qtr FY2002	1st Qtr FY2002	0.000	0.000
Planning and Testing			1st Qtr FY2002	4th Qtr FY2002	0.000	0.000
Procurement and Deployment			1st Qtr FY2002	4th Qtr FY2002	21.980	0.000
Technology Deployment			1st Qtr FY2002	4th Qtr FY2002	5.000	5.000
Planning and Testing			1st Qtr FY2003	4th Qtr FY2003	2.000	2.000
Procurement and Deployment			1st Qtr FY2003	4th Qtr FY2003	0.000	28.000
Operations and Support (Maintenance)			1st Qtr FY2003	4th Qtr FY2003	10.000	10.000
Planning and Testing			1st Qtr FY2004	4th Qtr FY2004	3.000	3.000
Procurement and Deployment			1st Qtr FY2004	4th Qtr FY2004	8.700	8.700
Operations and Support (Maintenance)			1st Qtr FY2004	4th Qtr FY2004	14.000	14.000
Planning and Testing			1st Qtr FY2005	4th Qtr FY2005	4.000	4.000
Procurement and Deployment			1st Qtr FY2005	4th Qtr FY2005	59.300	32.990
Operations and Support (Maintenance)			1st Qtr FY2005	4th Qtr FY2005	31.000	30.050
Personnel Cost and Benefits			1st Qtr FY2005	4th Qtr FY2005	1.000	1.000
Planning and Testing			1st Qtr FY2006	4th Qtr FY2006	8.000	8.000
Procurement and Deployment			1st Qtr FY2006	4th Qtr FY2006	101.600	54.600
Operations and Support (Maintenance)			1st Qtr FY2006	4th Qtr FY2006	35.000	34.720
Personnel Cost and Benefits			1st Qtr FY2006	4th Qtr FY2006	1.000	1.000
Planning and Testing			1st Qtr FY2007	4th Qtr FY2007	8.000	8.000
Procurement and Deployment			1st Qtr FY2007	4th Qtr FY2007	115.070	186.666
Operations and Support (Maintenance)			1st Qtr FY2007	4th Qtr FY2007	40.000	40.000
Advanced Surveillance Program			1st Qtr FY2007	4th Qtr FY2007	10.300	10.300
Security Technology Integration Program			1st Qtr FY2007	4th Qtr FY2007	1.796	1.796
Personnel Cost and Benefits			1st Qtr FY2007	4th Qtr FY2007	1.200	1.000
Planning and Testing			1st Qtr FY2008	4th Qtr FY2008	1.000	1.000
Procurement and Deployment			1st Qtr FY2008	4th Qtr FY2008	228.450	175.450
Operations and Support (Maintenance)			1st Qtr FY2008	4th Qtr FY2008	37.000	45.000
Advanced Surveillance Program			1st Qtr FY2008	4th Qtr FY2008	10.900	10.900
Security Technology			1st Qtr FY2008	4th Qtr FY2008	8.000	8.000

Integration Program						
Personnel Cost and Benefits			1st Qtr FY2008	4th Qtr FY2008	1.650	1.200
Planning and Testing			1st Qtr FY2009	4th Qtr FY2009	1.000	
Procurement and Deployment			1st Qtr FY2009	4th Qtr FY2009	210.500	
Operations and Support (Maintenance)			1st Qtr FY2009	4th Qtr FY2009	48.200	
Advanced Surveillance Program			1st Qtr FY2009	4th Qtr FY2009	11.000	
Security Technology Integration Program			1st Qtr FY2009	4th Qtr FY2009	8.000	
Safety Optimization			1st Qtr FY2009	4th Qtr FY2009	13.500	
Personnel Cost and Benefits			1st Qtr FY2009	4th Qtr FY2009	6.000	
Planning and Testing			1st Qtr FY2010	4th Qtr FY2010	1.000	
Procurement and Deployment			1st Qtr FY2010	4th Qtr FY2010	91.100	
Operations and Support (Maintenance)			1st Qtr FY2010	4th Qtr FY2010	52.200	
Advanced Surveillance Program			1st Qtr FY2010	4th Qtr FY2010	11.500	
Security Technology Integration Program			1st Qtr FY2010	4th Qtr FY2010	4.000	
Safety Optimization			1st Qtr FY2010	4th Qtr FY2010	13.600	
Personnel Cost and Benefits			1st Qtr FY2010	4th Qtr FY2010	7.500	
Total					1248.046	726.372

4. Schedule of Project Funding (Dollars in Thousands)

Projects (Appropriation: Aviation Security)	Prior	FY 2008	FY 2009	FY 2010	Total
Transfer from FAA	0.000	0.000	0.000	0.000	0.000
Technology Deployment	5.000	0.000	0.000	0.000	5.000
Planning and Testing	25.000	1.000	1.000	1.000	28.000
Procurement and Deployment	306.650	228.450	210.500	91.100	836.700
Operations and Support (Maintenance)	130.000	37.000	48.200	52.200	267.400
Advanced Surveillance Program	10.300	10.900	11.000	11.500	43.700
Security Technology Integration Program	1.796	8.000	8.000	4.000	21.796
Safety Optimization	0.000	0.000	13.500	13.600	27.100
Personnel Cost and Benefits	3.200	1.650	6.000	7.500	18.350
Total Project Expenditures	481.946	287.000	298.200	180.900	1248.046

**5. Cost Estimate Detail and Changes
(Dollars in Thousands)**

Description of Milestone		Initial Total Cost (\$mil)	Planned Total Cost (\$mil)	Actual Total Cost (\$mil)	Explanation of Difference Between Current and Previous Estimate
FY2002	Procurement and Deployment		21.980	0.000	Waiting for technology readiness, carryover spent next year
FY2003	Procurement and Deployment		0.000	28.000	Previous carryover spent in this fiscal year
FY2005	Procurement and Deployment		59.300	32.990	Expected technology did not meet specifications
FY2005	Operations and Support (Maintenance)		31.000	30.050	
FY2006	Procurement and Deployment		101.600	54.600	Expected portal procurements not made due to contractual obligations of vendor not being met
FY2006	Operations and Support (Maintenance)		35.000	34.720	
FY2007	Procurement and Deployment		115.070	186.666	Previous carryover spent in this fiscal year
FY2008	Procurement and Deployment		228.450	175.450	Budget authority delayed caused procurements to slip to following year
FY2008	Operations and Support (Maintenance)		37.000	45.000	Needed additional funds to cover accelerated deployments

6. Method of Performance

Expenditures are approved based on an overall strategic plan that is submitted to Congress annually.

Operational performance will be measured based on the following criteria:

- Cost per passenger screened.
- Operational Availability of fielded screening systems
- Ratio of number of FTEs expended to passengers.

**7. Related Annual Funding Requirements
(Dollars in Thousands)**

	FY 2010	
	Current Estimate	Previous Estimate
N/A (All operations and maintenance are included in program cost estimates.)	N/A	N/A
Total	N/A	N/A

8. Budget Allocation to Programs

Program	Allocated Budget (\$000)	
	FY 2009	FY 2010
Checkpoint Support	250,000	128,739
Screening Technology Maintenance and Utilities	43,900	52,200
Total	293,900	180,939

9. Compliance with applicable Public Laws, Regulations, Standards and Executive Orders

This program is mandated under the Aviation and Transportation Security Act (P.L. 107-71) which requires screening of all passengers and property including carry-on baggage and other articles that will be carried aboard a passenger aircraft.

H. PPA Budget Justifications

**Department of Homeland Security
Transportation Security Administration
Aviation Security Appropriation
Screening Partnership Program
Funding Schedule**
(Dollars in Thousands)

PPA: Screening Partnership Program	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
21.0 Travel	\$40	\$42	\$42	---
23.3 Communication, Utilities, and misc charges	2	3	3	---
25.1 Advisory & Assistance Services		713	713	---
25.2 Other Services	148,453	150,514	148,885	(1,629)
Total, Other Object Classes	148,495	151,272	149,643	(1,629)
Total, Screening Partnership Program	\$148,495	\$151,272	\$149,643	(\$1,629)
Full Time Equivalents	---	---	---	---

PPA Mission Statement

The Screening Partnership Program (SPP) allows an airport operator to submit an application to have screening carried out by a qualified private screening company. The contractor must perform under federal oversight and the contracted screeners must perform at the same or at higher performance levels as federal TSOs.

Summary Justification and Explanation of Changes

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$40	\$42	\$42	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2010 Request has no change.

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Communication, Utilities, and Miscellaneous charge	\$2	\$3	\$3	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 Request has no change.

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$0	\$713	\$713	\$0

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

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$148,453	\$150,514	\$148,885	(\$1,629)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 reflects built in increases for the airport screening services provided by the privatized screening contracts of \$3.371 million and the realignment of \$5 million to airport management.

**Department of Homeland Security
Transportation Security Administration
Aviation Security Appropriation
Passenger and Baggage Screener PC&B**

Funding Schedule

(Dollars in Thousands)

PPA: Screener Personnel Comp & Benefits	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
11.1 Perm Positions	\$1,389,468	\$1,487,515	\$1,527,424	\$39,909
11.3 Other than perm	232,392	252,499	\$259,029	6,530
11.5 Other per comp	293,817	332,021	\$340,728	8,707
12.1 Benefits	610,366	642,939	\$660,354	17,415
13.0 Benefits-former	48	40	\$40	0
Total, Personnel Comp & Benefits	2,526,091	2,715,014	2,787,575	72,561
Other Object Classes				
21.0 Travel	\$726	\$1,000	\$1,000	---
25.2 Other Services	637			---
25.3 Purchase from Govt. Accts.	1			---
42.0 Indemnity	622			---
Total, Other Object Classes	1,986	1,000	1,000	---
Total, Screener Personnel Comp & Benefits	\$2,528,077	\$2,716,014	\$2,788,575	\$72,561
Full Time Equivalents	45,118	45,643	45,698	55

PPA Mission Statement

Includes all Transportation Security Officer (TSO), TSO Lead, TSO Supervisor, and TSO Manager salaries, benefits and compensation, and net effects of federal pay raise assumptions, transfers out of personnel and annualizations. Includes funds to pay worker's compensation payments.

Summary Justification and Explanation of Changes

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$2,526,091	\$2,715,014	\$2,787,575	\$72,561

Salaries and benefits includes costs for 45,698 FTEs. The FY 2010 request reflects an increase of \$67.196 million for pay annualization and pay inflation and \$5.365 million for an additional 109FTP/55FTE Bomb Appraisal Officers.

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$726	\$1,000	\$1,000	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Other Services	\$637	\$0	\$0	\$0

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Purchase from Government Accounts	\$1	\$0	\$0	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 Request has no change.

**Department of Homeland Security
Transportation Security Administration
Aviation Security Appropriation
Screener Training & Other
Funding Schedule**

(Dollars in Thousands)

PPA: Screener Training & Other	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
11.1 Perm Positions		\$5,314	\$5,442	\$128
11.5 Other per comp	50			---
12.1 Benefits	3	1,282	1,314	32
Total, Personnel Comp & Benefits	53	6,595	6,755	160
Other Object Classes				
21.0 Travel	\$41,587	\$29,621	\$29,621	---
22.0 Transportation of things	69	34	\$34	---
23.2 Other rent	23	15	\$15	---
23.3 Communication, Utilities, and misc charges	351	242	\$242	---
24.0 Printing	417	246	\$246	---
25.1 Advisory & Assistance Services	45,046	49,594	\$49,594	---
25.2 Other Services	70,480	60,680	\$62,365	1,685
25.3 Purchase from Govt. Accts.	3,359	3,227	\$3,227	---
25.4 Operation & maintenance of facilities	4,535	5,097	\$5,097	---
25.6 Medical care ^{1/}	(15)	0	\$0	---
25.7 Operation & maintenance of equipment	43	30	\$30	---
25.8 Subsistence & Support of persons	124	66	\$66	---
26.0 Supplies & materials	43,301	35,443	\$39,743	4,300
31.0 Equipment	6,555	5,901	\$5,901	---
42.0 Indemnity	902	527	\$527	---
Total, Other Object Classes	216,777	190,723	196,708	5,985
Total, Screener Training & Other	\$216,830	\$197,318	\$203,463	\$6,145
Full Time Equivalents	69	54	54	---

^{1/} Negative due to decrease in prior year Undelivered Order Balance occurring in FY08 from accounting data corrections.

PPA Mission Statement

Provides the ATSA-mandated and discretionary training to new TSO hires and the current TSO workforce. Provides all the operational support, such as consumables, uniforms, supplies, claims, checkpoint janitorial services, and checkpoint hazardous material disposal to maintain the TSO Workforce.

Summary Justification and Explanation of Changes

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$53	\$6,595	\$6,755	\$160

Salaries and benefits includes costs for 54 FTEs. The FY 2010 request reflects an increase of \$160,000 for pay annualization and pay inflation.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Travel	\$41,587	\$29,621	\$29,621	\$0

Travel includes all costs for full accommodations and fare for TSOs for required training and the cost of the travel and per diem for the National Deployment Force. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Transportation of Things	\$69	\$34	\$34	\$0

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Other Rent	\$23	\$15	\$15	\$0

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Communication, Utilities, and misc charges	\$351	\$242	\$242	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Printing	\$417	\$246	\$246	\$0

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. This object class includes expenditures for the reproduction and distribution of TSO training materials. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Advisory and Assistance Services	\$45,046	\$49,594	\$49,594	\$0

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

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Other Services	\$70,480	\$60,680	\$62,365	\$1,685

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Base funds support the continuance of contracts that provide logistical and programmatic support for TSO training and workforce career progression programs. These funds also provide for training courses sponsored by the Model Workplace program. The FY 2010 request includes a program increase of \$1.685 million for costs associated with 109 new Bomb Appraisal Officer positions.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Purchase from Government Accounts	\$3,359	\$3,227	\$3,227	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Operation & maintenance of facilities	\$4,535	\$5,097	\$5,097	\$0

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Operation & Maintenance of equipment	\$43	\$30	\$30	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Subsistence & Support of Persons	\$124	\$66	\$66	\$0

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Supplies & materials	\$43,301	\$35,443	\$39,743	\$4,300

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2010 request includes a base increase for consumables.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Equipment	\$6,555	\$5,901	\$5,901	\$0

This category is comprised primarily of training equipment used to demonstrate equipment use and to test the capabilities of TSOs. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Indemnity	\$902	\$527	\$527	\$0

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2010 Request has no change.

**Department of Homeland Security
Transportation Security Administration
Aviation Security Appropriation
Human Resource Services**

Funding Schedule

(Dollars in Thousands)

PPA: Human Resource Services	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
11.5 Other per comp	3			---
12.1 Benefits	13,892			---
Total, Personnel Comp & Benefits	13,895	---	---	---
Other Object Classes				
21.0 Travel	\$921			---
22.0 Transportation of things	42			---
23.2 Other rent	16			---
24.0 Printing	13			---
25.1 Advisory & Assistance Services ^{1/}	(10)			---
25.2 Other Services	184,120			---
25.3 Purchase from Govt. Accts.	6,741			---
25.6 Medical care	3			---
26.0 Supplies & materials	280			---
Total, Other Object Classes	192,126	---	---	---
Total, HR Services	\$206,021	\$0	\$0	\$0
Full Time Equivalents	---	---	---	---

^{1/} Negative due to decrease in prior year Undelivered Order Balance occurring in FY08 from accounting data corrections.

PPA Mission Statement

Human Resources (HR) Services -- HR Services develops and manages human resources, payroll, personnel policies, programs, and systems. This PPA is being realigned to the new Human Capital Services PPA under the Transportation Security Support Appropriation.

	2007 Actual	2008 Enacted	2009 Request	2008 - 2009 Change
Salaries and Benefits	\$13,895	\$0	\$0	\$0

Salaries and benefits includes costs for FTEs.

	2007 Actual	2008 Enacted	2009 Request	2008 - 2009 Change
Travel	\$921	\$0	\$0	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations.

	2007	2008	2009	2008 - 2009
	Actual	Enacted	Request	Change
Other Rent	\$16	\$0	\$0	\$0

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	2007	2008	2009	2008 - 2009
	Actual	Enacted	Request	Change
Printing	\$13	\$0	\$0	\$0

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	2007	2008	2009	2008 - 2009
	Actual	Enacted	Request	Change
Other Services	\$184,120	\$0	\$0	\$0

Other services includes report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	2007	2008	2009	2008 - 2009
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$6,741	\$0	\$0	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	2007	2008	2009	2008 - 2009
	Actual	Enacted	Request	Change
Medical Care	\$3	\$0	\$0	\$0

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help.

	2007	2008	2009	2008 - 2009
	Actual	Enacted	Request	Change
Supplies & Materials	\$280	\$0	\$0	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property.

**Department of Homeland Security
Transportation Security Administration
Aviation Security Appropriation
Checkpoint Support**

Funding Schedule
(Dollars in Thousands)

PPA: Checkpoint Support	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
11.1 Perm Positions	\$538	\$4,559	\$4,650	\$91
11.5 Other per comp		241	245	4
12.1 Benefits	122	1,200	1,224	24
Total, Personnel Comp & Benefits	660	6,000	6,119	119
Other Object Classes				
21.0 Travel	\$284	\$828	\$1,576	748
22.0 Transportation of things	5	0	941	941
23.2 Other rent		1,759	403	(1,356)
23.3 Communication, Utilities, and misc charges	14			0
25.1 Advisory & Assistance Services	1	58,608	99,925	41,317
25.2 Other Services	8,570	10,370	10,769	399
25.4 Operation & maintenance of facilities	53			0
25.7 Operation & maintenance of equipment ^{1/}	(4,242)			0
25.8 Subsistence & Support of persons	35	13,750	0	(13,750)
26.0 Supplies & materials	54			0
31.0 Equipment	18,151	158,685	9,006	(149,679)
Total, Other Object Classes	22,925	244,000	122,620	(121,380)
Total, Checkpoint Support	\$23,585	\$250,000	\$128,739	(\$121,261)
Full Time Equivalents	5	40	40	---

¹ Negative due to decrease in prior year Undelivered Order Balance occurring in FY08 from accounting data corrections.

PPA Mission Statement

The Checkpoint Support PPA provides the resources required to deploy passenger screening, carry-on baggage screening and electronic surveillance equipment. This equipment is a vital component of TSA's efforts to secure our nation's air transportation. The FY 2010 request reflects support for the implementation of the evolving strategy to improve detection capability for weapons and explosives, and to further develop the capability to detect hostile intent.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$660	\$6,000	\$6,119	\$119

Salaries and Benefits provides funding to support 40 FTE and includes an increase for the annualization of 2009 and the proposed 2010 pay cost of living adjustments.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$284	\$828	\$1,576	\$748

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request reflects an increase of \$748,000 in travel costs.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	5	\$0	\$941	\$941

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request reflects a \$941,000 increase in transportation costs.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Rent	\$0	\$1,759	\$403	(\$1,356)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request reflects a decrease of \$1,356,000 in rental payments

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and misc charges	\$14	\$0	\$0	\$0

Communications, utilities, and miscellaneous charges includes all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Funds are not requested in FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$1	\$58,608	\$99,925	\$41,317

Advisory and assistance services includes services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request reflects an increase of \$41,317,000 which is associated with the implementation of Advanced Surveillance Systems. It also includes costs associated with the field testing of emerging technology screening equipment.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$8,570	\$10,370	\$10,769	\$399

Other services includes report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. These expenditures consist primarily of program management support and contract support for reconfiguration of checkpoint equipment. The FY 2010 request reflects an increase of \$399,000 which will fund additional program management support.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$53	\$0	\$0	\$0

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. Funds are not requested in FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	(\$4,242)	\$0	\$0	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment when done by contract with the private sector or another Federal Government account. Funds are not requested in FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Subsistence & Support of Persons	\$35	\$13,750	\$0	(\$13,750)

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. Funds are not requested in FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$54	\$0	\$0	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. Funds are not requested in FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$18,151	\$158,685	\$9,006	(\$149,679)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request reflects a decrease of \$149,679,000, including \$120,317,000 non-recurring from the FY 2009 Enacted level. Funding will permit the continued acquisition and deployment of Advanced Technology Systems, Whole Body Imagers, Bottle Liquid Scanners, as well as the initial production of new emerging technologies to be purchased and field tested and other operational testing needed for the advancement of checkpoint security.

**Department of Homeland Security
Transportation Security Administration
Aviation Security Appropriation
EDS/ETD Procurement and Installation**

Funding Schedule
(Dollars in Thousands)

PPA: EDS/ETD Procurement and Installation	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
11.1 Perm Positions	\$1,050	\$11,399	\$10,956	(\$443)
11.5 Other per comp	9	602	572	(30)
12.1 Benefits	253	2,999	2,858	(141)
Total, Personnel Comp & Benefits	1,312	15,000	14,386	(614)
Other Object Classes				
21.0 Travel	\$106	\$2,935	\$8,860	5,925
23.2 Other rent		1,733	5,231	3,498
23.3 Communication, Utilities, and misc charges	519	0	0	0
25.1 Advisory & Assistance Services	18,115	49,142	148,343	99,201
25.2 Other Services	378,470	105,545	318,604	213,059
25.4 Operation & maintenance of facilities	30	0	0	0
25.7 Operation & maintenance of equipment	867	0	0	0
25.8 Subsistence & Support of persons	5,301	0	0	0
26.0 Supplies & materials	19	0	0	0
31.0 Equipment	117,258	119,645	361,167	241,522
Total, Other Object Classes	520,685	279,000	842,205	563,205
Total, EDS/ETD Procurement and Installation	\$521,997	\$294,000	\$856,591	\$562,591
Full Time Equivalents	9	106	102	(4)

PPA Mission Statement

EDS/ETD Purchase and Installation is the purchase of electronic baggage screening equipment for deployment and the installation of electronic baggage screening equipment in our nations airports. The deployment of this equipment is a key component of TSA's ability to ensure the security of the air transportation system. Installation is an integral cost associated with the deployment of equipment that enhances the security of our air transportation system.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$1,312	\$15,000	\$14,386	(\$614)

Salaries and Benefits provides funding to support 102 FTEs. The FY 2010 request reflects a decrease of \$614,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$106	\$2,935	\$8,860	\$5,925

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request reflects an increase of \$5,925,000 due to increases in per diem rates and transportation costs.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Rent	\$0	\$1,733	\$5,231	\$3,498

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request reflects an increase of \$3,498,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charge	\$519	\$0	\$0	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Funds are not requested in FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$18,115	\$49,142	\$148,343	\$99,201

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY10 request reflects an increase of \$99,201,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$378,470	\$105,545	\$318,604	\$213,059

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request reflects an increase of \$213,059,000 which will fund additional program management support.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$30	\$0	\$0	\$0

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. Funds are not requested in FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$867	\$0	\$0	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. Funds are not requested in FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Subsistence & Support of Persons	\$5,301	\$0	\$0	\$0

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. Funds are not requested in FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$19	\$0	\$0	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. Funds are not requested in FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$117,258	\$119,645	\$361,167	\$241,522

Equipment includes all costs for the purchases of property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request reflects an increase of \$241,522,000 and will continue funding the purchase of screening systems.

**Department of Homeland Security
Transportation Security Administration
Aviation Security Appropriation
Screening Technology Maintenance and Utilities**

Funding Schedule

(Dollars in Thousands)

PPA: Screening Technology Maintenance & Utilities	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
21.0 Travel	\$38	\$50	\$195	\$145
23.3 Communication, Utilities, and misc charges	5,293	0	7,271	7,271
25.1 Advisory & Assistance Services	483	10,303	0	(10,303)
25.2 Other Services	233	25	2,425	2,400
25.4 Operation & maintenance of facilities	626		0	---
25.7 Operation & maintenance of equipment	256,736	295,247	310,913	15,666
26.0 Supplies & materials	6	0	5,821	5,821
Total, Other Object Classes	263,415	305,625	326,625	21,000
Total, Screening Technology Maint & Utilities	\$263,415	\$305,625	\$326,625	\$21,000
Full Time Equivalents	---	---	---	---

PPA Mission Statement

Screening Technology Maintenance and Utilities funds the maintenance and associated utilities of passenger and baggage screening equipment in our nation's airports. This funding is essential to ensure that all security screening equipment is operationally ready and supportable over its anticipated lifetime.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$38	\$50	\$195	\$145

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. Travel is a required part of program implementation allowing personnel to collect and evaluate information to develop requirements and monitor implementation of projects. The FY 2010 Request reflects an increase of \$145,000 to cover the cost of employee travel required to implement and monitor maintenance programs.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Communication, Utilities, and misc charges	\$5,293	\$0	\$7,271	\$7,271

Communications, utilities, and miscellaneous charges includes all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 Request reflects an increase of \$7,271,000 for utilities for EDS/ETD checked baggage screening facilities including the cost of the base services and the cost of supplying utilities to newly installed equipment.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$483	\$10,303	\$0	(\$10,303)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request reflects a decrease of \$10,303,000 due to a correction in object class reporting.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$233	\$25	\$2,425	\$2,400

Other services includes report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. This included contractual support for the Integrated Logistics Support program to sustain the Security Equipment deployed and utilized by TSA. The FY 2010 Request reflects an increase of \$2,400,000 to support costs of newly deployed equipment.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$626	\$0	\$0	\$0

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. Funds are not requested in FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$256,736	\$295,247	\$310,913	\$15,666

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. Maintenance costs increase from approximately 3% to about 15% of original purchase cost as equipment warranties expire. The FY 2010 request reflects an increase of \$15,666,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$6	\$0	\$5,821	\$5,821

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2010 Request reflects an increase of \$5,821,000 to support the additional requirements associated with newly deployed

**Department of Homeland Security
Transportation Security Administration
Aviation Security Appropriation
Operation Integration
Funding Schedule**

(Dollars in Thousands)

PPA: Operation Integration	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
11.1 Perm Positions	\$2,168			---
11.3 Other than perm	14			---
11.5 Other per comp	46			---
12.1 Benefits	582			---
Total, Personnel Comp & Benefits	2,810	---	---	---
Other Object Classes				
21.0 Travel ^{1/}	(\$23)	\$100	\$100	\$0
22.0 Transportation of things	37	0	0	---
25.1 Advisory & Assistance Services	2,169	21,299	15,753	(5,546)
25.2 Other Services	18,296	82	5,628	5,546
25.8 Subsistence & Support of persons	3			---
31.0 Equipment	442	0	0	---
Total, Other Object Classes	20,924	21,481	21,481	---
Total, Operation Integration	\$23,734	\$21,481	\$21,481	\$0
Full Time Equivalents	17	---	---	---

^{1/} Negative due to decrease in prior year Undelivered Order Balance occurring in FY08 from accounting data corrections.

PPA Mission Statement

Operation Integration supports efforts to develop technology requirements and perform operational integration on new security equipment, including passenger, baggage and cargo screening equipment, infrastructure security systems and conveyance security technologies.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$2,810	\$0	\$0	\$0

Salaries and Benefits includes salary and benefits costs of personnel supporting both the passenger and checkpoint technology programs. There are no positions funded out of this PPA. Funds are not requested in FY 2010.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	(\$23)	\$100	\$100	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. Travel is a required part of program implementation allowing personnel to collect and evaluate information to develop requirements and monitor implementation of projects. Funds are not requested in FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$37	\$0	\$0	\$0

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. Transportation costs are associated with equipment that is purchased or leased as part of program implementation. Funds are not requested in FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$2,169	\$21,299	\$15,753	(\$5,546)

Advisory and assistance services includes services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request reflects a decrease of \$5,546,000 due to a correction in object class reporting.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$18,296	\$82	\$5,628	\$5,546

Other services includes contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request reflects an increase of \$5,546,000 due to a correction in object class reporting.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Subsistence & Support of Persons	\$3	\$0	\$0	\$0

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. Funds are not requested in FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$442	\$0	\$0	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. Funds are not requested in FY 2010.

**Department of Homeland Security
Transportation Security Administration
Aviation Security Appropriation
Aviation Regulation
Funding Schedule**

(Dollars in Thousands)

PPA: Aviation Regulation	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
11.1 Perm Positions	\$79,836	\$91,668	\$95,765	\$4,097
11.3 Other than perm	357	620	\$620	---
11.5 Other per comp	6,790	7,885	\$7,885	---
11.6 Pay Differential	86	0	\$0	---
11.8 Spec Srvc Pay	1,120	1,311	\$1,311	---
12.1 Benefits	27,013	30,089	\$31,113	1,024
13.0 Benefits-former				---
Total, Personnel Comp & Benefits	115,202	131,573	136,694	5,121
Other Object Classes				
21.0 Travel	\$9,300	\$7,716	\$7,716	---
22.0 Transportation of things	304	84	\$84	0
23.1 GSA rent	529	491	\$491	0
23.3 Communication, Utilities, and misc charges	1,774	1,217	\$1,217	0
24.0 Printing	28	17	\$17	0
25.1 Advisory & Assistance Services ^{1/}	(107)	0	\$0	0
25.2 Other Services	11,863	14,710	\$14,710	0
25.3 Purchase from Govt. Accts.	4,969	7,666	\$7,666	0
25.4 Operation & maintenance of facilities ^{1/}	(5,349)	0	\$0	0
25.6 Medical care	15	5	\$5	0
25.7 Operation & maintenance of equipment		1	\$1	0
25.8 Subsistence & Support of persons	175	72	\$72	0
26.0 Supplies & materials	1,274	743	\$743	0
31.0 Equipment	6,695	4,979	\$4,979	0
32.0 Land & Structures	1,095	888	\$888	0
41.0 Grants/Subsidies/Contributions	84,896	78,781	\$78,781	0
Total, Other Object Classes	117,461	117,370	117,370	---
Total, Aviation Regulation	\$232,663	\$248,943	\$254,064	\$5,121
Full Time Equivalents	940	1,086	1,097	11

^{1/} Negative due to decrease in prior year Undelivered Order Balance occurring in FY08 from accounting data corrections.

PPA Mission Statement

The purpose of Aviation Regulation and Other Enforcement is to provide activities that ensure that TSA continues to build a strong security regulation and enforcement presence on-site at the nation's commercial airports. Funding requested under this decision unit supports airport regulation compliance through domestic and international inspections, K-9 units, international outreach programs to ensure alignment and consistency in security requirements of the United States and those of the other nations to ensure transportation system integrity; and reimbursements provided to State and local law enforcement for support provided at commercial airport checkpoints.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Salaries and Benefits	\$115,202	\$131,573	\$136,694	\$5,121

Salaries and benefits includes costs for 1,097 FTEs. The FY 2010 request reflects an increase of \$5,121 for pay annualization and pay inflation, as well as the annualized costs of 10 FTE to support efforts mandated under P.L. 110-53.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Travel	\$9,300	\$7,716	\$7,716	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Transportation of Things	\$304	\$84	\$84	\$0

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
GSA rent	\$529	\$491	\$491	\$0

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Communication, Utilities, & Misc. Charges	\$1,774	\$1,217	\$1,217	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Printing	\$28	\$17	\$17	\$0

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

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Other Services	\$11,863	\$14,710	\$14,710	\$0

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Purchase from Government Accounts	\$4,969	\$7,666	\$7,666	\$0

Purchases from Government Accounts include costs for purchases from other Government agencies or accounts that are not otherwise classified. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Subsistence & Support of Persons	\$175	\$72	\$72	\$0

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Supplies & materials	\$1,274	\$743	\$743	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Equipment	\$6,695	\$4,979	\$4,979	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Land & Structures	\$1,095	\$888	\$888	\$0

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Grants/Subsidies/Contributions	\$84,896	\$78,781	\$78,781	\$0

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. Funding supports reimbursable agreements for law enforcement officers as well as canine cooperative agreements. The FY 2010 Request has no change.

**Department of Homeland Security
Transportation Security Administration
Aviation Security Appropriation
Airport Management and Support**

Funding Schedule

(Dollars in Thousands)

PPA: Airport Management and Support	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
11.1 Perm Positions	\$177,683	\$177,699	\$196,790	\$19,091
11.3 Other than perm	1,484	1,495	\$1,631	136
11.5 Other per comp	11,855	11,400	\$12,627	1,227
12.1 Benefits	59,394	62,533	\$78,751	16,218
13.0 Benefits-former	56	57	\$57	0
Total, Personnel Comp & Benefits	250,559	253,183	289,856	36,673
Other Object Classes				
21.0 Travel	\$14,395	\$5,166	\$5,166	\$0
22.0 Transportation of things	551	189	\$189	---
23.1 GSA rent	85,601	33,588	\$37,488	3,900
23.2 Other rent	8,591	3,679	\$3,679	---
23.3 Communication, Utilities, and misc charges	67,469	26,520	\$26,520	---
24.0 Printing	304	79	\$79	---
25.1 Advisory & Assistance Services	35,448	14,679	\$14,679	---
25.2 Other Services	109,463	41,065	\$47,250	6,185
25.3 Purchase from Govt. Accts.	20,101	7,535	\$7,535	---
25.4 Operation & maintenance of facilities	2,089	840	\$840	---
25.7 Operation & maintenance of equipment	14,784	5,351	\$5,351	---
25.8 Subsistence & Support of persons	13	4	\$4	---
26.0 Supplies & materials	7,735	2,393	\$2,393	---
31.0 Equipment	9,219	3,703	\$3,703	---
32.0 Land & Structures	9,359	3,658	\$3,658	---
42.0 Indemnity	49	35	\$35	---
Total, Other Object Classes	385,171	148,483	158,568	10,085
Total, Airport Management and Support	\$635,730	\$401,666	\$448,424	\$46,758
Full Time Equivalents	1,971	2,064	2,093	29

PPA Mission Statement

This PPA supports approximately 2,006 FTE at the airports and HQ, including the staff of the 153 Federal Security Directors (FSDs), the offices under Security Operations that direct the policy, analysis, and the administration of aviation screening and airport security. In addition, this PPA supports aviation functions at the TSA's Transportation Security Operations Center. These offices and positions are critical to supporting the front line operations of our TSOs.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Salaries and Benefits	\$250,559	\$253,183	\$289,856	\$36,673

Salaries and benefits includes costs for 2,093 FTEs. The FY 2010 request reflects an increase for for pay annualization and pay inflation, as well as funding which was realigned to cover additional staffing costs.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Travel	\$14,395	\$5,166	\$5,166	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Transportation of Things	\$551	\$189	\$189	\$0

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
GSA rent	\$85,601	\$33,588	\$37,488	\$3,900

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 includes funding for lease of space including offices, break rooms, and storage at 657 locations throughout the United States.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Other Rent	\$8,591	\$3,679	\$3,679	\$0

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$67,469	\$26,520	\$26,520	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Printing	\$304	\$79	\$79	\$0

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

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Advisory and Assistance Services	\$35,448	\$14,679	\$14,679	\$0

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

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Other Services	\$109,463	\$41,065	\$47,250	\$6,185

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Purchase from Government Accounts	\$20,101	\$7,535	\$7,535	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Operation & maintenance of facilities	\$2,089	\$840	\$840	\$0

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Operation & Maintenance of equipment	\$14,784	\$5,351	\$5,351	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Subsistence & Support of Persons	\$13	\$4	\$4	\$0

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Supplies & materials	\$7,735	\$2,393	\$2,393	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. Some software purchases and computer supplies are included in this object class. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Equipment	<u>\$9,219</u>	<u>\$3,703</u>	<u>\$3,703</u>	<u>\$0</u>

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. Software and computers are also purchased in this object class. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Land & Structures	<u>\$9,359</u>	<u>\$3,658</u>	<u>\$3,658</u>	<u>\$0</u>

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Indemnity	<u>\$49</u>	<u>\$35</u>	<u>\$35</u>	<u>\$0</u>

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2010 Request has no change.

**Department of Homeland Security
Transportation Security Administration
Aviation Security Appropriation
Federal Flight Deck Officer (FFDO) & Flight Crew Training**

Funding Schedule

(Dollars in Thousands)

PPA: FFDO & Flight Crew Training	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
11.1 Perm Positions	\$2,028	\$2,599	\$2,724	125
11.3 Other than perm	7	11	\$10	(1)
11.5 Other per comp	318	405	\$423	18
11.6 Pay Differential (Sunday/Night)	3	0	\$0	---
11.8 Spec Srvc Pay		0	\$0	---
12.1 Benefits	844	1,093	\$1,145	52
Total, Personnel Comp & Benefit	3,200	4,108	4,302	194
Other Object Classes				
21.0 Travel	\$211	\$217	\$193	(\$24)
22.0 Transportation of things	37	30	\$25	(5)
23.3 Communication, Utilities, and misc charge		1	\$1	---
24.0 Printing	23	18	\$10	(8)
25.1 Advisory & Assistance Services	1,434	1,487	\$1,405	(82)
25.2 Other Services	15,847	16,269	\$15,131	(1,138)
25.3 Purchase from Govt. Accts. ^{1/}	(876)	351	\$317	(34)
25.7 Operation & maintenance of equipment	1,602		\$1,627	1,627
26.0 Supplies & materials	481	353	\$309	(44)
31.0 Equipment	2,444	2,193	\$1,807	(386)
Total, Other Object Classes	21,203	20,917	20,825	(92)
Total, FFDO & Flight Crew Training	\$24,403	\$25,025	\$25,127	\$102
Full Time Equivalentents	22	29	29	---

^{1/} Negative due to decrease in prior year Undelivered Order Balance occurring in FY08 from accounting data corrections.

PPA Mission Statement

TSA is mandated to provide the Federal Flight Deck Officer (FFDO) and Flight Crew Training programs to deputize qualified airline pilots as federal law enforcement officers and to train flight crew members to defend the flight decks and cabins of aircraft against acts of criminal violence or air piracy. This voluntary program provides training in firearms proficiency, self-defense tactics, authorities, and decision making to defend the cockpit.

Summary Justification and Explanation of Changes

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$3,200	\$4,108	\$4,302	\$194

Salaries and benefits includes costs for 29 FTEs. The FY 2010 request reflects an increase for pay annualization and pay inflation.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Travel	\$211	\$217	\$193	(\$24)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Transportation of Things	\$37	\$30	\$25	(\$5)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Advisory and Assistance Services	\$1,434	\$1,487	\$1,405	(\$82)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 decrease reflects an adjustment for non pay COLA.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Other Services	\$15,847	\$16,269	\$15,131	(\$1,138)

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 decrease reflects an adjustment for non pay COLA.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Purchase from Government Accounts	(\$876)	\$351	\$317	(\$34)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 decrease reflects an adjustment for non pay COLA.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Supplies & materials	\$481	\$353	\$309	(\$44)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 decrease reflects an adjustment for non pay COLA.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Equipment	\$2,444	\$2,193	\$1,807	(\$386)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 decrease reflects an adjustment for non pay COLA.

Department of Homeland Security
Transportation Security Administration
Aviation Security Appropriation
Air Cargo
Funding Schedule
(Dollars in Thousands)

PPA: Air Cargo	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
11.1 Perm Positions	\$32,649	\$51,367	\$52,782	\$1,415
11.3 Other than perm	183	378	\$378	---
11.5 Other per comp	2,402	3,605	\$3,605	---
11.6 Pay Differential (Sunday/Night)	40	0	0	---
12.1 Benefits	10,156	16,118	16,471	354
Total, Personnel Comp & Benefits	45,430	71,467	73,236	1,769
Other Object Classes				
21.0 Travel	\$4,812	\$1,923	\$1,923	\$0
22.0 Transportation of things	171	---	0	0
23.1 GSA rent	680	771	\$771	0
23.2 Other rent	6	0	\$0	0
23.3 Communication, Utilities, and misc charges	85	12	\$12	0
24.0 Printing	6	1	\$1	0
25.1 Advisory & Assistance Services	29,377	8,836	\$8,836	0
25.2 Other Services	9,223	1,641	\$3,141	1,500
25.3 Purchase from Govt. Accts.	610	113	\$113	0
25.7 Operation & maintenance of equipment	2	2	\$2	0
26.0 Supplies & materials	1,191	305	\$305	0
31.0 Equipment	8,660	30,002	\$12,002	(18,000)
32.0 Land & Structures	41	0	\$0	0
41.0 Grants/Subsidies/Contributions	10,476	7,776	\$7,776	0
42.0 Indemnity		1	\$1	0
Total, Other Object Classes	65,340	51,382	34,882	(16,500)
Total, Air Cargo	\$110,770	\$122,849	\$108,118	(\$14,731)
Full Time Equivalents	444	642	642	0

^{1/} Negative due to decrease in prior year Undelivered Order Balance occurring in FY08 from accounting data corrections.

PPA Mission Statement

The Air Cargo program operates through compliance activities, regulatory efforts, outreach initiatives and technology implementation. TSA uses a threat-based risk management approach based on two threats: introduction of an explosive device on a passenger aircraft, and the hijacking of an all-cargo aircraft resulting in its use as a weapon of mass destruction.

Summary Justification and Explanation of Changes

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$45,430	\$71,467	\$73,236	\$1,769

Salaries and Benefits includes an increase for the annualization of 2009 and the proposed 2010 pay cost of living adjustments.

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$4,812	\$1,923	\$1,923	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2010 Request has no change.

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
GSA rent	\$680	\$771	\$771	\$0

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 Request has no change.

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Communication, Utilities, and Miscellaneous charges	\$85	\$12	\$12	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 Request has no change.

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Printing	\$6	\$1	\$1	\$0

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The printing provides educational materials, training aids, and regulatory guidance. The FY 2010 Request has no change.

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$29,377	\$8,836	\$8,836	\$0

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. These services support the Air Cargo Systems development, operation, and support Known Shipper Management System, Indirect Air Carrier Management System and Air Cargo Risk Based Targeting. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Other Services	\$9,223	\$1,641	\$3,141	\$1,500

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 increase includes a realignment of funding to cover increased K-9 costs.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Purchase from Government Accounts	\$610	\$113	\$113	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Operation & Maintenance of equipment	\$2	\$2	\$2	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Supplies & materials	\$1,191	\$305	\$305	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 Request has no change.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Equipment	\$8,660	\$30,002	\$12,002	(\$18,000)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 decrease is a result of non-recurring funding provided in FY 2009 to expand technology pilots.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Grants/Subsidies/Contributions	\$10,476	\$7,776	\$7,776	\$0

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. Funding supports reimbursable agreements for law enforcement officers as well as canine cooperative agreements. The FY 2010 Request has no change.

Department of Homeland Security
Airport Perimeter
Funding Schedule
(Dollars in Thousands)

PPA: Airport Perimeter	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
21.0 Travel	\$7	\$20	\$0	(\$20)
25.1 Advisory & Assistance Services		3,980	0	(3,980)
Total, Other Object Classes	7	4,000	0	(4,000)
Total, Airport Perimeter	\$7	\$4,000	\$0	(\$4,000)
Full Time Equivalents	---	---	---	---

PPA Mission Statement

This funding supports technologies that provide perimeter security capabilities or significantly enhance current technology based capabilities. Responsive projects may include perimeter sensors, intelligent camera systems, biometric devices, technologies to detect and track potential intruders, and communication capabilities to provide appropriate alarm and response notification. TSA will utilize the results of this project to continue to develop processes, procedures, technical requirements, and standards for perimeter security. There is no request for funds in FY 2010.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$7	\$20	\$0	(\$20)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. Funds are not requested in FY 2010.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$0	\$3,980	\$0	(\$3,980)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. Funds are not requested in FY 2010.

**Department of Homeland Security
Transportation Security Administration
Aviation Security Appropriation
General Aviation at DCA Fees
Funding Schedule
(Dollars in Thousands)**

PPA: General Aviation @ DCA Fees	2008 Actuals	2009 Enacted ¹	2010 Request	2009 to 2010 Change
Object Classes:				
25.2 Other Services	20	112	90	(22)
26.0 Supplies & materials		8	10	2
Total, Other Object Classes	20	120	100	(20)
Total, General Aviation at DCA Fees	\$20	\$120	\$100	-\$20
Full Time Equivalents	---	---	---	---

1/ Includes adjustments to fees.

PPA Mission Statement

This funding is the fee collection supporting General Aviation flights into DCA as provided by the Vision 100 Act.

Summary Justification and Explanation of Changes

	2008 Actuals	2009 Enacted/1	2010 Request	2009 to 2010 Change
Other Services	\$20	\$112	\$90	(\$22)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	2008 Actuals	2009 Enacted/1	2010 Request	2009 to 2010 Change
Supplies and materials	\$0	\$8	\$10	(\$20)

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

**Department of Homeland Security
Transportation Security Administration
Aviation Security Appropriation
Indirect Air Cargo Fees**

Funding Schedule

(Dollars in Thousands)

PPA: Indirect Air Cargo Fees	2008 Actuals	2009 Enacted¹	2010 Request	2009 to 2010 Change
Object Classes:				
11.1 Perm Positions	\$247	\$227	\$227	\$0
11.5 Other per comp	12	\$11	11	---
12.1 Benefits	62	\$56	56	---
13.0 Benefits-former				---
Total, Personnel Comp & Benefits	321	\$294	294	---
Other Object Classes				
25.2 Other Services	1,571	\$2,306	2,306	---
Total, Other Object Classes	1,571	\$2,306	2,306	---
Total, Indirect Air Cargo Fees	\$1,892	\$2,600	\$2,600	\$0
Full Time Equivalents	3	2	2	---

1/ Includes adjustments to fees.

PPA Mission Statement

This funding is the fee collection supporting General Aviation flights into DCA as provided by the Vision 100 Act and the fee collection supporting security threat assessments of security workers in the air cargo supply chain.

Summary Justification and Explanation of Changes

	2008 Actuals	2009 Enacted/1	2010 Request	2009 to 2010 Change
Other Services	\$1,571	\$2,306	\$2,306	\$0

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

**Department of Homeland Security
Transportation Security Administration
Aviation Security Appropriation
Aviation Security Capital Fund**

Funding Schedule

(Dollars in Thousands)

PPA: Aviation Security Capital Fund (ASCF)	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
21.0 Travel	\$407	\$37	\$37	\$0
23.3 Communications, utilities, & other misc. charges	14			-
25.1 Advisory and assistance services	4,734			-
25.2 Other services	238,420	249,912	249,912	---
25.4 Operation & maintenance of facilities	420			---
25.8 Subsistence and support of persons	291			---
26.0 Supplies and materials	39			---
31.0 Equipment	1,349	51	51	---
Total, Aviation Security Capital Fund	\$245,674	\$250,000	\$250,000	\$0
Full Time Equivalents	---	---	---	---

PPA Mission Statement

This funding supports the installation of optimal screening systems.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$407	\$37	\$37	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. Travel is a required part of program implementation allowing personnel to collect and evaluate information to develop requirements and monitor implementation of projects. No change is reflected in FY 2010.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Communication, Utilities, and Miscellaneous charges	\$14	\$0	\$0	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Funds are not requested in FY 2010.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$4,734	\$0	\$0	\$0

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. Funds are not requested in FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$238,420	\$249,912	\$249,912	\$0

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. No change is reflected in FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$420	\$0	\$0	\$0

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. Funds are not requested in FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Subsistence & Support of Persons	\$291	\$0	\$0	\$0

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. Funds are not requested in FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$39	\$0	\$0	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. Some software purchases and computer supplies are included in this object class. Funds are not requested in FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$1,349	\$51	\$51	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. No change is reflected in FY 2010.

**Transportation Security Administration
Aviation Security Appropriation
Checkpoint Screening Security Fund**

Funding Schedule
(Dollars in Thousands)

PPA: Checkpoint Screening Security Fund	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
21.0 Travel	\$169			\$0
22.0 Transportation of things	\$182			\$0
25.1 Advisory and assistance services	41,002			\$0
25.2 Other services	50,718			---
25.3 Purchases of goods & svcs. from Gov't accounts	3,025			---
25.8 Subsistence and support of persons	8,573			---
26.0 Supplies and materials	264			---
31.0 Equipment	83,423			---
Total, Checkpoint Screening Security Fund	\$187,356	\$0	\$0	\$0
Full Time Equivalents	---	---	---	---

PPA Mission Statement

This funding supports the purchase, deployment, installation, research, and development of equipment to improve the ability of security screening personnel at screening checkpoints to detect explosives. It was only authorized in FY 2008.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$169	\$0	\$0	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. Travel is a required part of program implementation allowing personnel to collect and evaluate information to develop requirements and monitor implementation of projects. Funds are not requested in FY 2010.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$50,718	\$0	\$0	\$0

Other services includes report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Funds are not requested in FY 2010.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Equipment	\$83,423	\$0	\$0	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. Funds are not requested in FY 2010.

H: PPA Budget Justifications

**Transportation Security Administration
Aviation Security Appropriation
Certified Cargo Screening Program
Funding Schedule
(Dollars in Thousands)**

PPA: Certified Cargo Screening Program	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
25.2 Other services			5,200	5,200
Total, Checkpoint Screening Security Fund	\$0	\$0	\$5,200	\$5,200
Full Time Equivalents	--	---	---	---

PPA Mission Statement

This funding supports security fee collections to fund security threat assessments for the Certified Cargo Screening Program. The program will utilize existing shipping infrastructure to help TSA meet cargo screening mandates.

Summary Justification and Explanation of Changes

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$0	\$0	\$5,200	\$5,200

Other services includes report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

H: PPA Budget Justifications

Transportation Security Administration Aviation Security Appropriation Large Aircraft Security Program

Funding Schedule

(Dollars in Thousands)

PPA: Large Aircraft Security Program	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
25.2 Other services			1,600	1,600
Total, Other Object Classes	0	0	1,600	1,600
Total, Checkpoint Screening Security Fund	\$0	\$0	\$1,600	\$1,600
Full Time Equivalents	--	---	---	---

PPA Mission Statement

This funding supports security fee collections to fund security threat assessments required for certain airport and air carrier workers.

Summary Justification and Explanation of Changes

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$0	\$0	\$1,600	\$1,600

Other services includes report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

**Transportation Security Administration
Aviation Security Appropriation
Secure Identification Display Area Checks
Funding Schedule
(Dollars in Thousands)**

PPA: Secure Identification Display Area Checks	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
25.2 Other services			10,000	10,000
Total, Checkpoint Screening Security Fund	\$0	\$0	\$10,000	\$10,000
Full Time Equivalents	---	---	---	---

PPA Mission Statement

This funding supports security fee collections to fund other security threat assessments that are required for very small transportation populations not mentioned above.

Summary Justification and Explanation of Changes

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$0	\$0	\$10,000	\$10,000

Other services includes report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

H: PPA Budget Justifications

**Department of Homeland Security
 Transportation Security Administration
 Aviation Security Appropriation
 Other Security Threat Assessments
 Funding Schedule
 (Dollars in Thousands)**

PPA: Other Security Threat Assessments	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
25.2 Other Services			100	100
Total, Other Object Classes	0	0	100	100
Total, Screening Partnership Program	\$0	\$0	\$100	\$100
Full Time Equivalent	---	---	---	---

PPA Mission Statement

The Screening Partnership Program (SPP) allows an airport operator to submit an application to have screening carried out by a qualified private screening company. The contractor must perform under federal oversight and the contracted screeners must perform at the same or at higher performance levels as federal TSOs.

Summary Justification and Explanation of Changes

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$0	\$0	\$100	\$100

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 reflects built in increases for the airport screening services provided by the privatized screening contracts.

I. Changes in FTE

**Department of Homeland Security
Transportation Security Administration
Aviation Security
Changes in Full-Time Equivalents**

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	45,857	48,598	49,666
INCREASES			
Increase #1: FY07 Supplemental/FY08 Amendment Annualizaions and FY09 Realignment		380	10
Increase #2: TSO Hiring/TDC Initiative/Employee Screening	2,846	705	
Increase #3: Realignment & Adjustment of FTE			3
Increase #4: Conversion of Contractors to FTE			23
Increase #5: Workforce Shaping and Sustainment			55
Sub-Total Increases	2,846	1,085	91
DECREASES			
Decrease #1: Lapse Rate/Efficiencies	(105)	(17)	
Sub-Total Decreases	(105)	(17)	0
Year-end Actual/Estimated FTEs	48,598	49,666	49,757
Net Change from prior year base to Budget Year Estimate:	0	1,068	91

J. FY 2010 Schedule of Working Capital Fund by Program / Project Activity

**Department of Homeland Security
Transportation Security Administration
Aviation Security Appropriation**

**FY 2010 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)**

Program/Project Activity	FY 2008 Actual	2009 Anticipated	FY 2010 Anticipated	Increase / Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Airport Management, IT and Support	12,519	-	-	-
Total Working Capital Fund	\$12,519	\$0	\$0	\$0

Department of Homeland Security

Transportation Security Administration

Surface Transportation Security



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

TRANSPORTATION SECURITY ADMINISTRATION SURFACE TRANSPORTATION SECURITY

I. Appropriation Overview

A. Mission Statement for Surface Transportation Security:

TSA is mandated to protect the surface transportation system and ensure the freedom of movement for people and commerce. This mission is accomplished largely by a consortium of Federal, State, local, and private entities optimizing resources in a risk-based approach to security. In addition to coordination, TSA provides surface inspectors and other screening and detection programs.

These combined efforts play an essential role in DHS' mission to prevent terrorist acts within the U.S., to reduce vulnerability to terrorism, and to minimize the damage from potential attacks. The surface domain includes:

- Approximately 775 million passengers traveling on buses each year and over 9 billion passenger trips on mass transit per year.
- Over 140,000 miles of railroad track (of which 120,000 miles are privately owned); 3.8 million miles of roads (46,717 miles of Interstate highway and 114,700 miles of National Highway System roads); 582,000 bridges over 20 feet of span; 54 tunnels over 500 meters in length, and nearly 2.2 million miles of pipeline.
- Nearly 800,000 shipments of hazardous materials transported every day (95 percent by truck).
- The Marine Transportation System (MTS) consisting of waterways, ports, and their connections as well as commercial and recreational vessels, vehicles, and system users such as importers and exporters. It is geographically vast, with 95,000 miles of shoreline, 25,000 miles of rivers and canals.

There is a very real ongoing threat to transportation security, including surface modes within the transportation sector network, as evidenced by the World Trade Center bombing in 1993 and the Murrah Building bombing in 1995, both of which occurred on U.S soil, as well as the bombings in Madrid in March 2004, London in July 2005 and Mumbai, India in 2006. Given these events and continued threat, TSA, its government partners, industry owners, and operators have increased their vigilance by continuing to exchange real time information and by focusing on threat detection and preparedness measures to improve security and resilience of the transportation system. In addition, TSA plays a pivotal role in the President's Executive Order to Strengthen Surface Transportation Security through the identification of security gaps, development of appropriate security guidelines, and requirements to mitigate these gaps. In August 2007, DHS was directed by the 9/11 Commission Act to take specific measures to strengthen specific modes of transportation by conducting modal security assessments, requiring modal security plan development, providing guidelines for modal security training and conducting exercise activities to reinforce the modal security plans.

B. Budget Activities:

This appropriation includes two major programs – Surface Transportation Security Operations and Staffing and Surface Transportation Security Rail Inspectors and Canines.

Surface Transportation Security Operations and Staffing - Provides coordination among all surface security stakeholders to implement a regulatory framework and administration policy, develop national security programs, identify best practices through pilot programs and evaluation of system assessments, and use this information to assess risk and assist with prioritization of security resources.

Surface Transportation Security Inspectors Rail and Canines - Employs a cadre of inspectors and canine teams to provide compliance, national program delivery, and outreach on security assets in the surface transportation system. They interact daily within the transportation network to enhance security measures and are available for surge operations during times of heightened security. They also support TSA's Visible Intermodal Prevention and Response program (VIPR).

C. Budget Request Summary:

The Transportation Security Administration requests 734 positions, 545 FTE, and \$128,416,000 for FY 2010. The total adjustments-to-base is 23 FTE and \$8,335,000. The program increases include 338 positions, 169 FTE, and \$56,650,000 to:

- Annualize FY 2009 funding (non-pay) for the Implementation of the 9/11 Act (0 positions, 0 FTE, \$6,650,000)
- Support 15 new Visible Intermodal Prevention and Response (VIPR) teams to enhance surface transportation security (338 positions, 169 FTE, \$50,000,000).

II. Summary of FY 2010 Budget Estimates by Program/Project Activity

Department of Homeland Security
Transportation Security Administration
Surface Transportation Security
 Summary of FY 2010 Budget Estimates by Program/Project Activity
 (Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Surface Transportation Security Operations and Staffing	131	25,039	160	33,711	160	42,293	---	8,582	---	6,650	---	1,932
Surface Transportation Security Inspectors	94	18,712	193	29,720	385	86,123	192	56,403	169	50,000	23	6,403
HazMat CDL - Fees	---	18	---	---	---	---	---	---	---	---	---	---
Subtotal, Enacted Appropriations and Budget Estimates	225	\$43,769	353	\$63,431	545	\$128,416	192	\$64,985	169	\$56,650	23	\$8,335
Less: Adjustments for Other Funding Sources:												
Net, Discretionary Appropriations and Budget Estimates	225	\$43,769	353	\$63,431	545	\$128,416	192	\$64,985	169	\$56,650	23	\$8,335

III. Current Services Program Description by PPA

**Department of Homeland Security
Surface Transportation Security
Program Performance Justification**
(Dollars in Thousands)

PPA: SURFACE TRANSPORTATION SECURITY OPERATIONS AND STAFFING

	Perm		
	Pos	FTE	Amount
2008 Actual	198	131	25,039
2009 Enacted	171	160	33,711
2010 Adjustments-to-Base			1,932
2010 Current Services	171	160	35,643
2010 Program Change	0	0	6,650
2010 Request	171	160	42,293
Total Change 2009-2010			8,582

The Transportation Security Administration requests \$42.3 million for this activity to coordinate security efforts in non-aviation modes including pipelines, highway and motor carrier, maritime, mass transit, rail, and postal and shipping sectors. This is an increase from FY 2009 of \$480 thousand for pay inflation and \$8.1 million for annualization of Surface 9/11 initiatives. Funding for this PPA supports 171 FTP and 160 FTE.

PROGRAM DESCRIPTION:

TSA, in accordance with Aviation and Transportation Security Act (ATSA), is responsible for assessing the risk of terrorist attacks to all surface transportation modes, issuing regulations to improve modes' security, and enforcing those regulations to ensure that each transportation mode is protected. The objective of these efforts is to establish best practices and national standards, develop security plans and regulations, better assess security vulnerabilities, and identify needed security enhancements for surface transportation modes and related infrastructure. The key strategic plans and requirements documents driving TSA's security efforts are the Executive Order to Strengthen Surface Transportation, the National Strategy for Transportation Security, the National Infrastructure Protection Plan, 9/11 Commission Act of 2007 and the DHS Strategic Plan. Specific activities included in this PPA are:

Corporate Security Reviews: TSA conducts Corporate Security Reviews (CSRs) in multiple modes of transportation to establish baseline data against which to evaluate minimum-security standards and identify coverage gaps in reviewed systems. CSRs allow TSA and the system operators to develop first hand knowledge of security planning and execution at critical systems, establish communication between key security personnel, identify and share smart practices, and make recommendations for security improvements. In carrying out CSRs, teams of TSA modal experts evaluate and collect physical and operational preparedness information on critical assets, key point-of-contact lists, review emergency procedures and security plans, provide domain

awareness training, and provide an opportunity to share security practices. These on-site security reviews of transportation companies allow TSA to develop first-hand knowledge of security planning and execution at critical sites, establish communication with key security personnel, identify and provide security best practices, and make recommendations for security improvements.

Pipeline: As of August 2008, 77 CSRs on 93 natural gas and hazardous liquid transmission pipelines and natural gas distribution systems have been completed. CSRs will continue, with a goal of one major Pipeline System per month, or 12 total per fiscal year.

Highway: TSA continues to conduct CSRs to establish and reaffirm security baselines of all highway modal industries. As of August 2008, 113 CSRs on Highway transportation organizations have been completed. These include trucking companies, state Departments of Transportation (DOTs), transportation authorities, school districts (buses), and motor coach companies. CSRs will continue in 2009 at both previously unvisited owners and operators of transportation assets and at critical corporations where revisits are justified by high threat or vulnerability situations. TSA will conduct 12 CSRs per fiscal year.

Freight Rail: TSA conducts CSRs on Class I, II and III railroads to ensure security levels are maintained. Class I railroads are rail carriers with an annual operating revenue of \$319 million or more. Currently there are seven Class I carriers operating in the U.S. Class II railroads have annual operating revenues between \$25.5 million and \$319.2 million and Class III railroads have annual operating revenues less than \$25.5 million. There are over 400 Class II and III rail carriers operating in the U.S.

In FY 2008, two CSRs were conducted on Class II railroads. In FY 2009, TSA will conduct seven CSRs on Class I railroads, and in FY 2010, seven CSRs on Class II or Class III railroads will be conducted. The Freight Rail Division will use the results from the CSRs to develop standards for security plans.

High Threat Urban Area (HTUA) Vulnerability Assessments: TSA leads a team composed of Federal, State, and industry subject matter experts to conduct risk assessments of selected High Threat Urban Area (HTUA) rail corridors. These on-site assessments consist of a detailed examination of the railroad(s) operations and procedures within the HTUA. Assessments lead to security enhancements and mitigation strategies to address the handling and protection of Toxic Inhalation Hazards (TIH) rail shipments through the HTUA. These assessments will continue in FY 2009 and FY 2010. TSA has completed assessments on nine rail corridors. TSA has restructured the program to allow for compressed assessments at the remaining 34 HTUA rail corridors, which began in FY 2008 and will continue through FY 2010.

Toxic Inhalation Hazard Transportation Risk Reduction: TSA has established a program to objectively measure the security risk associated with the rail transportation of Toxic Inhalation Hazard (TIH) materials through high threat urban areas. This program, established in cooperation with industry stakeholders, measures the reduction in dwell time and implementation of positive security measures by the rail carriers. The rail carriers have developed operating plans and TSA is measuring the level of risk reduction. This measurement is regularly reported to stakeholders. TSA plans to conduct 2,700 TIH Security Surveys in FY 2009, and 3,000 surveys in FY 2010.

Security Standards Development: Two initiatives ongoing in this area will continue in FY 2010. First, the Federal Government is engaging with the American Public Transportation Association (APTA) Security Standards Policy and Planning Committee to develop security standards. Security

professionals from the public transportation industry, business and research security partner representatives, and the Federal Government (DHS, TSA, Federal Emergency Management Agency (FEMA), Federal Transit Administration (FTA), and Federal Railroad Administration (FRA)) collaborate to develop consensus-based standards to enhance security in mass transit and passenger rail systems. Working groups focus on specific security areas and concerns, including mass transit and passenger rail facilities and operations. Working groups are also beginning efforts to develop standards for two additional areas: risk assessments and emergency drills and exercises. Federal participation in the consensus-based efforts is effected through the Government Coordinating Council/ Sector Coordinating Council (GCC/SCC) framework and Critical Infrastructure Protection Advisory Council (CIPAC) process. The approved standards are issued as "recommended practices" and supported by the APTA for voluntary adoption by the transit industry. As of June 2008, draft recommended practices have been developed and distributed for transit community concurrence for deployment of close circuit television, placement of trash receptacles, and security and emergency preparedness planning. Additional recommended practices in multiple areas are expected to follow within the next 6 – 12 months. Published standards in multiple areas will occur throughout FY 2010.

The second initiative focuses on the development of standards for security technologies. This joint Federal-transit community effort aims to develop consensus-based standards for security technologies suitable for mass transit and passenger rail environments. The DHS Standards Executive and the American National Standards Institute co-lead this initiative. A key ongoing initiative entails testing and standards development for blast resistant trash receptacles. Testing commenced in FY 2008. It is anticipated that this technical standard will be completed by the end of FY 2009.

Grant Oversight and Management: TSA provides subject matter expertise and programmatic support to the National Preparedness Division at FEMA to issue guidance, evaluate, and approve grant applications for bus, trucks, ports, mass transit, and passenger rail systems including ferry systems. Under TSA's leadership, the grants are awarded based on risk while working collaboratively with the transportation systems to ensure that the selected projects are focused on increasing security.

Programs

TSA also conducts pilots to develop technology solutions, identify best practices, and inform the standards setting process. Examples of TSA pilot programs expected to be ongoing in FY 2010 are:

Intermodal Security Training Exercise Program (I-STEP): Provides exercise technology, services, and tools to conduct and evaluate multi-modal transportation security training exercises. TSA has leveraged I-STEP to meet the requirements of the 9/11 Commission Report, by creating a security exercise program in the mass transit, freight rail, and over-the-road bus sectors (2008). Additionally TSA and the U.S. Coast Guard (USCG) collaborate on multi-port, intermodal, exercises on a "Regional" level in the maritime sector. I-STEP is aligned with all national guidance and directives on exercises including the National Incident Management System, the National Response Framework, and other preparedness directives. The continuation of this program will further enhance public transportation agencies' ability to prevent, mitigate, respond to, and recover from terrorist incidents in FY 2010.

Security Enhancement And Capability Augmentation Program (SEACAP): SEACAP will enhance the capability to deter, detect, and prevent explosives from being introduced as a weapon on ferries and in cruise line terminals. This program builds upon technology pilots already conducted in Cape May-Lewes Ferry, New Jersey; Golden Gate Ferry, San Francisco, California; Jamestown River Ferry, Virginia; Manhattan Cruise Terminal and Staten Island Ferry, New York; and the Galveston-Bolivar Ferry, Texas to provide a platform and programmatic infrastructure for improving current security screening for high capacity passenger vessel operations (ferry systems and cruise ship terminals). This program will continue to conduct baseline screening assessments and screening deployment exercises in additional high capacity passenger vessel operations in FY 2010.

Security Training, Operational Readiness and Maritime Community Awareness Program (STORMCAP): Through STORMCAP, TSA develops and disseminates enhanced security training, community awareness products and operational guidance to enhance maritime security. Products have included Security Awareness for Passenger Vessel Employees CD (2007); Vehicle-borne improvised explosive device (VBIED) Recognition/Response for Passenger Vessels and Terminals CD (2008); and the Maritime Screening Guide (2009). In FY10, this program will provide increasingly detailed levels of security awareness information and training for passengers and industry personnel.

Bus Command and Control: The system provides over-the-air vehicle disabling through restriction of fuel to the engine using a programmable series of steps and also a keyless driver authentication where operators have a unique numeric code that must be entered in order to start a bus or drive a bus idling for a designated amount of time. Alarms are sent wirelessly to a command or dispatch center if an unauthorized user attempts to operate the bus. A successful proof-of-concept took place in August 2006. The full field operational testing (FOT) of this system began in FY 2007 and will continue through FY 2010. When completed, the system is expected to be commercially available.

Layered Security Operational Test Bed: This collaborative security engagement initiative tests the effectiveness of operational and technological solutions applied in a layered approach at mass transit and passenger rail facilities. The effort commenced with the Port Authority Trans Hudson (PATH) interstate rail system in FY 2007. In December 2007, TSA facilitated a workshop with appropriate operating and security officials of the Port Authority and DHS Science and Technology Directorate (S&T) to assist the Authority in identifying operational and technological security requirements for its 5 year strategic plan. TSA will partner throughout FY 2009 to test technological and operational solutions to prevent terrorism in mass transit and passenger rail systems. Continued development and extension to other systems and diverse public transportation environments – rail terminals and stations, system infrastructure, bus terminals and stations – will occur throughout FY 2010.

Stakeholder Interface:

Transit. In cooperation with the FTA and DHS, TSA facilitated eight Connecting Communities forums for transit operators, Federal and local first responders, and security experts to address gaps in security related emergency response capabilities. In addition, bi-annual safety and security roundtables are conducted with the security chiefs and directors of the Nation's 50 largest transit systems. These forums engage the assembled expertise in a focused working group format to address and develop solutions for current security issues and concerns. Additionally, the law

enforcement chiefs and security directors of the 50 largest mass transit and passenger rail agencies join their Federal partners from TSA, DHS/FEMA, and FTA twice yearly in the semi-annual Transit Safety and Security Roundtables. Through this engagement, security professionals from the mass transit and passenger rail community and the Federal Government collaborate to advance effective programs and initiatives to enhance security. The focused effort over a 3 to 4-day period fosters the networking and information sharing, notably of smart security practices, that is essential to elevating security posture throughout the passenger rail and mass transit mode. Finally, TSA subject matter experts in mass transit and the Transit Security Grant Program (TSGP) engage with Regional Transit Security Working Groups in eight major metropolitan areas and Amtrak to define security priorities and complete cooperative agreements on the most effective use of Federal grant funds to enhance public transportation security through the implementation of security projects. TSA will continue this cooperative approach in these Tier 1 areas (New York, Boston, Washington, DC, Philadelphia, Chicago, Los Angeles, San Francisco, and Atlanta) throughout FY 2009 and FY 2010 with possible extension to locations in Tier 2 under the TSGP.

Pipeline. The International Pipeline Security Forums are an ongoing initiative conducted annually by the TSA Pipeline Security Division in conjunction with Natural Resources Canada. This 2-day conference enhances government and industry pipeline security domain awareness and provides opportunities for discussion of major pipeline security issues, both domestic and international. The approximate 150 - 200 people who usually attend include representatives and officials from the U.S. and Canadian governments, pipeline related associations, pipeline owners and operators from the U.S. and Canada, and representatives from the security, intelligence and law enforcement communities. The first International Pipeline Security Forum was held in Calgary, Alberta, Canada in FY 2006; the second was in Chicago, Illinois in FY 2007; the third was in Ottawa, Ontario, Canada in FY 2008, and the fourth is scheduled to be held in Salt Lake City, Utah in FY 2009. While the forum site for FY 2010 has not been identified, forum sites will continue to alternate between the U.S. and Canada.

Highways. In cooperation with Federal Motor Carrier Safety Administration (FMCSA), Customs and Border Protection (CBP), FEMA, General Services Administration (GSA), US Department of Education, and USCG, TSA is sponsoring a series of regional highway security conferences for Highway and Motor Carriers and infrastructure owners and operators. This series will be repeated at the request of these stakeholders. Additionally, quarterly tele-conferences and CIPAC meetings are held with each of the four highway modal industry groups of trucking, motorcoach, school bus and infrastructure. TSA works with DHS to sponsor and manage the Truck Security Grant program that promotes security awareness among truckers and other professional drivers. This program also supports the Highway Information Sharing and Analysis Center (ISAC) and will be continued through FY 2010.

Security Awareness. Security awareness training packages for operators have been developed for the pipeline, mass transit, freight rail and highway modes of transportation. Public awareness and education is also fostered through Transit Watch, Highway Watch, and other joint campaigns in transportation systems emphasizing the importance of vigilance and timely reporting of security concerns. TSA distributes security awareness information products to stakeholders through programs such as the HAZMAT Motor Carrier Security Self-Assessment Training Program, the School Transportation Security Awareness for the school transportation industry, and Operation Secure Transport for the motorcoach industry. TSA will continue to provide these stakeholder services in FY 2010.

PPA: SURFACE TRANSPORTATION SECURITY INSPECTORS AND CANINES

	Perm		
	Pos	FTE	Amount
2008 Actual	183	94	\$18,712
2009 Enacted	225	193	\$29,720
2010 Adjustments-to-Base	0	23	\$6,403
2010 Current Services	225	216	\$36,123
2010 Program Change	338	169	\$50,000
2010 Request	563	385	\$86,123
Total Change 2009-2010	338	192	\$56,403

The Transportation Security Administration requests \$86.1 million for FY 2010 to support the Surface Transportation Security Inspection Program (STSIP) and explosive detection canine programs. This is an increase from FY 2009 of \$6.4 million for pay inflation and annualization of Surface 9/11 initiatives. Funding for this PPA supports 563 FTPs and 385 FTEs, as well as 100 mass transit canine teams. The 338 additional positions in FY 2010 will be dedicated to 15 new Visible Intermodal Prevention and Response (VIPR) teams.

PROGRAM DESCRIPTION:

The Surface Transportation Security Inspection Program (STSIP) is a unique and critically important federal inspection program with expanding responsibilities in U.S. surface transportation security. With initial emphasis on freight railroads, mass transit and passenger rail, the STSIP has set out to enhance security preparedness in an industry that is the largest transporter of passengers in the country.

These inspectors are deployed through a risk-based approach and provide coverage of key passenger rail and mass transit rail facilities in their regions, as well as 46 High Threat Urban Areas (HTUAs), as defined by DHS. The location and number of inspectors is also determined by transit ridership, proximity to Toxic Inhalation Hazard (TIH) shipment locations (freight rail), critical infrastructure ratings, and HTUA ranking. STSI personnel continue to provide stakeholder liaison functions, situational awareness of security conditions and, during surface transportation incidents, convey valuable first-hand information to Federal Security Directors (FSDs), security, policy and intelligence offices, and TSA leadership.

Baseline Assessment for Security Enhancement (BASE) Program: In conjunction with FTA, TSA developed the BASE inspection program to integrate various security requirements and guidelines into a comprehensive assessment that offers an in-depth profile of the security posture of a mass transit or passenger rail system. The BASE program consists of updated Security and Emergency Management Action Items and TSA Security Directives. BASE reviews are conducted either as a stand-alone effort or in conjunction with State Safety Oversight (SSO) review of a rail systems' compliance with 49 CFR Part 659, which directs transit agencies to maintain a system security plan. The action items represent the core of this program, detailing 17 functional areas, including security program management and accountability, security and emergency response training, drills and exercises, public awareness, protective measures for Homeland Security Advisory System (HSAS) threat levels, physical security, personnel security, information sharing,

and information security. As of April 15, 2009, 104 BASE reviews have been conducted, of which 46 were on the Nation's top 50 Mass Transit Systems.

Results of these security assessments are a major driver for the mass transit security programs and resource allocations, most notably the Transit Security Grant Program (TSGP). The comprehensive BASE results comport well with self-assessments of the top 50 transit agencies' posture in the six Transit Security Fundamentals that are priorities under the TSGP program. TSA has integrated the assessment results funding priorities, and resourcing in new and innovative ways to use Federal funds to elevate security posture. The BASE results have also identified a number of "smart practices" which are being packaged in products useful for sharing throughout the mass transit and passenger rail community.

Security Analysis and Action Program (SAAP): The SAAP is a systematic examination of a regulated party's transportation operations. The purpose of the evaluation is to gather information, complete a full risk assessment to include threat, vulnerability, and consequences, identify smart practices, and benchmark transportation security operations against established security guidelines and recommendations. In particular, evaluations:

- Provide regulated parties with an objective view of possible security gaps and vulnerabilities in order to better manage risk of terrorist attack.
- Identify new security innovations and smart practices.
- Determine whether transportation security activities and related programs comport with TSA identified smart practices.
- Assess whether the measures implemented are suitable to achieve overall security objectives.

Generally, an analysis is conducted by a team of Surface Transportation Security Inspectors, but may include participants from other federal agencies, state and local authorities, and/or private stakeholders as appropriate. The STSI Program will increase the use of SAAP methodology in the mass transit and rail domain.

Assessments and Inspections: Upon the issuance of the rail and mass transit regulation under 49 CFR 1580, Surface Transportation Security Inspectors will conduct compliance inspections throughout the rail and mass transit domain. Inspectors will remain fully engaged with outreach, stakeholder relations, and enforcement/assessment activities in the systems throughout their regions to ensure awareness and compliance with applicable security directives, policies, and regulations. In addition to conducting system security evaluations, inspectors are responsible for:

- Threat and vulnerability inspections, reviews and assessments which are used to determine the capability of a potentially targeted transportation system/asset in order to reduce the risk from a specified threat;
- Conducting Security Action Item (SAI) assessments regarding TIH/railcars and shippers
- Providing Terrorist Activity Recognition and Reaction (TARR) training to public transit entities;

- Responding to surface transportation security incidents (i.e. train derailments, possible improvised explosive devices (IED), major truck accidents, etc.) to gather real-time, on-scene information;
- Responding to natural disaster incidents to assist surface transportation entities in their recovery efforts and provide FSDs with localized, surface transportation specific information/updates from these catastrophic events;
- Staffing transit agency and freight rail operations centers in times of increased threat, heightened alert, or during a catastrophic event;
- Coordinating surface transportation security requirements for National Special Security Events; and,
- Planning and participating in TSA Visible Intermodal Prevention and Response (VIPR) deployments, on an increasing scale.

Inspectors previously conducted Corporate Security Reviews with primary focus on trucking, commercial drivers, motor coach/over-the-road buses and infrastructure.

In 2009, the STSIP will expand its assessment and inspection activities in the field to include Highway and Motor Carriers.

Visible Intermodal Prevention and Response (VIPR): The objective of VIPR deployments in mass transit and passenger rail systems is to augment capabilities that disrupt and deter potential terrorist activity and is advanced through a combination of intelligence-based and periodic random deployments for execution in timing, location, and types of activities. The nature of the activities and their unpredictability are essential to their deterrent effect as they maintain a dynamic and changing security program that will disrupt any observation, reconnaissance, and/or planning activities, thus precluding the detection and exploitation of patterns in security measures.

VIPR operations teams consist of TSA personnel that may include Transportation Security Inspectors (TSIs), Transportation Security Officers (TSOs), Federal Air Marshals (FAMs), Behavioral Detection Officers (BDOs), canine teams, and local and state law enforcement officers. Uniformed VIPR team members provide a visible and official security presence apparent to all who use or are observing the mass transit or passenger rail system. VIPR activities bolster the system's efforts to prevent an adversary from orienting on and breaching a pattern in security activities. TSA partners with the transit agency's security professionals to provide parameters for visible anti-terrorism security activities.

Since the programs inception in December 2005, TSA has conducted more than 450 VIPR operations in mass transit and passenger rail properties. In FY 2008, of the 517 Surface VIPR operations, 300 operations were conducted in mass transit and 28 were conducted in freight rail.

By the end of the first quarter of FY 2009, there were 309 Surface VIPR operations.

Transit Security Grant Program (TSGP): In addition to the expanding inspection responsibilities, STSIs serve as panel members on the TSGP. STSIP will continue its long standing support of this activity in FY 2010 by reviewing project proposals, helping assess grant applications, and assisting in the development of the process by which the grants will be awarded.

National Explosive Detection Canine Team Program (NEDCTP): The NEDCTP supports the Nation's largest passenger transportation systems in mass transit and in FY 2009 is expanding into the maritime (ferry systems). This program in partnership with State and local law enforcement agencies, fulfills the need to provide effective, low-cost security measures within the mass

transit/commuter rail sector. These full-time teams are highly effective, rapidly deployable, and critical to the ability of the Nation's largest passenger transportation systems to preempt terrorist attacks by deterring, detecting, and preventing explosives from being introduced as weapons.

Through cooperative agreements, TSA provides funding for training, certification and maintenance of the explosive detection capable canines, training for the handlers, and partial reimbursement of handlers' salaries and other costs (up to \$40,000 per team). Local law enforcement agencies deploy these valuable canine teams and provide DHS with a mobile response platform for specific threats to the transportation systems.

TSA currently has funding to support a total of 780 teams in the Aviation and Mass Transit sectors. There are currently 82 mass transit teams deployed through out the Nation's most critical transit systems. In FY 2009, TSA plans to add additional teams, including maritime (i.e. ferry) teams, for a total of 100 teams.

Funded Canine Teams					
<u>Funding Source</u>	<u>Legacy Aviation</u>	<u>Proprietary</u>		<u>Mass Transit</u>	<u>Total</u>
		<u>OSO</u>	<u>FAM</u>		
Base Funding	419			100	519
Supplemental	50	120			170
FY08 Enhancement	46	23	22		91
Total	515	143	22	100	780

Due to personnel needs, 1 FTE for the FAM Proprietary Teams is used to help manage the program

The FY 2010 request will continue the program at FY 2009 operating levels.

IV. Program Justification of Changes

**Department of Homeland Security
Transportation Security Administration
Surface Transportation Security
Justification of Program Changes**

(Dollars in Thousands)

Program Increase 1: Surface Transportation Security 9/11 Annualization

Strategic Goal(s) & Objective(s):

- 1. Continue to Protect our Nation from Dangerous People
- 3.1 Protect and Strengthen the resilience of the Nation’s critical infrastructure and key resources; Enhance preparedness protection, screening and risk mitigation

PPA: Staffing and Operations

Program Increase:

Surface Transportation Security: Positions 0 FTE 0 Dollars \$6,650

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FT E	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level									
Program Increase - Transportation Security Regulations, Strategies, Plan, development and review									3,850
Program Increase – Intermodal Security Training and Exercise Program (I-STEP)									2,000
Program Increase - Pipelines							0	0	800
Total Request									6,650

Description of Item

Regulations, Strategies, Plan Development and Review:

- Development of regulations and security plans to prevent, protect, respond, and recover from terrorist acts and other hazards. The regulations must then be implemented and disseminated to ensure thorough understanding and uniform and equitable enforcement throughout the country in Surface Transportation Modes.

I-STEP:

- Programmatic support and management of the Intermodal Security training Exercise program (I-STEP), to develop the Public Transportation Security Exercise Program requirements mandated by the 9/11 Commission Act under sections 1407, 1516, and 1533, through the TSNM I-STEP.

Pipeline:

- Rule development, compliance and enforcement of rules for pipelines based on the 9/11 Act.

Justification

This request provides funding to support Public Law 110-53 – 9/11 Implementation Bill, passed by Congress in August 2007. The bill significantly increased the regulatory burden on TSA. In addition, recent changes require a cost benefit analysis to be performed for all proposed regulations and recommendations to industry. The new Congressional mandates (9/11 Act) require additional FTE, program support, and new programs fulfill these operational requirements. Regulations, Strategies, Plan Development and Review, I-STEP, and Pipeline FTP funded in FY09 require annualization in FY 2010 to continue progress.

Impact on Performance (Relationship of Increase to Strategic Goals)

The enhancements requested within Surface Transportations Security, directly support the following DHS Strategic Goals:

Goal 3: Protect Critical Infrastructure;

Objective 3.1: Protect and strengthen the resilience of the Nation’s critical infrastructure and key resource against all threats.

The Transportation Security Administration (TSA) has primary responsibility for security in all transportation modes. The 9/11 Act included several new congressional mandates that intend to improve the Nation’s level of preparedness, reduce risks associated with terrorist and non terrorist events, and increase the security of our Nation’s critical infrastructure and key resources.

TSA has identified three broad categories of activity to address the requirements of the 9/11 Act. These are:

- Assessment of threats and risks to critical infrastructure
- Enforcement of compliance with security regulations ; and
- Development of infrastructure systems and tools.

3.1.1 Enhance preparedness, protection, screening, and risk mitigation within the 17 sectors of critical infrastructure, as defined in the National Infrastructure Protection Plan. Implement and update Sector Security Specific Plans

The Act mandates the development of regulations and security plans to prevent, protect, respond, and recover from terrorist acts and other hazards in the surface modes.

Program Increase 2: Surface Visible Intermodal Prevention and Response (VIPR)

Strategic Goal(s) & Objective(s):

3.4: Protect Transportation Sectors infrastructure and key resources:

PPA: Surface Transportation Security Inspectors and Canines

Program Increase:

Surface Transportation Security: Positions 338 FTE 169 Dollars \$50,000

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level ¹	225	113	\$20,000	225	225	\$30,000	225	225	\$30,300
VIPR enhancement for Surface specific operations							338	169	\$50,000
Total Request							563	394	\$80,300

¹Current Services reflects total TSA funding for VIPR teams included in Aviation, FAMS, and Surface appropriations.

Description of Item

In FY 2010, TSA requests an enhancement of \$50.0 million and 338/169 FTE to support 15 new Visible Intermodal Prevention and Response (VIPR) teams that will deploy on both a risk-based and random basis within the surface transportation sector.

Justification:

VIPR teams provide a tool with unique capabilities for use within the transportation system. Deterrence is best achieved through development and implementation of a joint plan for periodic random, unpredictable deployment of varying force packages at differing times and locations. VIPR teams also augment security during periods of heightened threat as well as during special events, such as political conventions, major sporting events, and other forums of national or regional significance that raise security concerns.

The additional requested positions and associated resources will enable TSA to complete a nationwide footprint for conducting VIPR operations and enhance capability to:

- Deploy to cover high-risk infrastructure, address intelligence-driven threats or support special event operations within surface transportation sectors
- Supplement local passenger rail, cruise line and mass transit agency security capabilities in response to a specific intelligence-driven threat or incident.

This funding will also provide additional Full Time Equivalent (FTE) at the TSA Joint Coordination Center (JCC) and VIPR program management offices to facilitate the effective deployment and management of the additional VIPR teams.

Impact on Performance (Relationship of Increase to Strategic Goals)

The enhancements requested within Surface Transportations Security, directly support the following DHS Strategic Goals:

Goal 3: Protect Critical Infrastructure;

Objective 3.4: Protect Transportation Sectors

By deploying VIPR teams in mass transit and passenger rail systems, TSA's ability to disrupt and deter potential terrorist activity is enhanced. Through periodic risk-based and random deployments of cross-functional teams, TSA can quickly and effectively raise the level of security in any mode of transportation across the country.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Transportation Security Administration
Justification of Proposed Changes in Surface Transportation Security
Appropriation Language**

For necessary expenses of the Transportation Security Administration related to providing surface transportation security activities, [\$49,606,000] **\$128,416,000** to remain available until September 30, [2010] **2011**. (Department of Homeland Security Appropriations Act, 2009.)

Explanation of Changes:

No substantive changes proposed.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
 Transportation Security Administration
 Surface Transportation Security
 FY 2009 to FY 2010 Budget Change
 (Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actuals	381	225	43,769
2009 Enacted	396	353	63,431
Adjustments-to-Base (ATBs)			
Increases			
Annualization of FY 2009 Pay Raise	---	---	383
Pay COLA	---	---	589
Annualization of FY08 & FY09 9/11 Implementation funding	---	23	7,363
Total Increases.....	---	23	8,335
Total ATBs.....	---	23	8,335
2010 Current Services.....	396	376	71,766
Program Changes			
Additional Visible Intermodal Prevention & Response Teams	338	169	50,000
Annualization of 9/11 Implementation funding	---	---	6,650
Total Program Changes	338	169	56,650
2010 Request.....	734	545	128,416
2009 to 2010 Total Change.....	338	192	64,985

C. Summary of Requirements

**Department of Homeland Security
Transportation Security Administration
Surface Transportation Security
Summary of Requirements
(Dollars in Thousands)**

	2010 Request		
	Perm. Pos.	FTE	Amount
2008 Actuals	381	225	43,769
2009 Enacted	396	353	63,431
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Realignments	---	---	---
Increases	---	23	8,335
Decreases	---	---	---
Total Adjustments-to-Base	---	23	8,335
2010 Current Services	396	376	71,766
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	338	169	56,650
2010 Total Request	734	545	128,416
2009 to 2010 Total Change	338	192	64,985

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Operations & Staffing	171	160	\$33,711	---	---	\$ 1,932	---	---	\$ 6,650	171	160	42,293	---	---	8,582
2 Surface Transportation Security Inspectors	225	193	29,720	---	23	\$ 6,403	338	169	\$ 50,000	563	385	86,123	338	192	56,403
<i>[Rail Security Inspectors and Canines]</i>	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---
Total	396	353	\$63,431	0	23	\$8,335	338	169	\$56,650	734	545	\$128,416	338	192	\$64,985

D. Summary of Reimbursable Resources

Not Applicable.

E: Summary of Requirements by Object Class

Department of Homeland Security
Transportation Security Administration
Surface Transportation Security
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
11.1 Perm Positions	20,504	30,459	77,299	46,840
11.3 Other than full-time permanent	383	68	69	1
11.5 Other Personnel Compensation	818	611	528	(83)
11.8 Special Service Pay	---	---	---	---
12.1 Benefits	5,333	8,125	19,702	11,577
13.0 Benefits - former	---	---	---	---
21.0 Travel	2,198	2,705	2,166	(539)
22.0 Transportation of things	9	---	---	---
23.1 GSA rent	210	470	214	(256)
23.2 Other rent	29	20	17	(3)
23.3 Communications, utilities, & other misc. charges	125	346	276	(70)
24.0 Printing and reproduction	6	20	31	11
25.1 Advisory and assistance services	50	6,834	---	(6,834)
25.2 Other services	6,672	5,645	21,091	15,446
25.3 Purchases of goods & svcs. from Gov't accounts	64	354	209	(145)
25.4 Operation & maintenance of facilities	---	---	---	---
25.5 Research and development contracts	---	12	---	(12)
25.6 Medical care	---	140	---	(140)
25.7 Operation and maintenance of equipment	---	---	---	---
25.8 Subsistence and support of persons	---	---	---	---
26.0 Supplies and materials	608	882	823	(59)
31.0 Equipment	1,406	1,240	88	(1,152)
32.0 Land & structures	---	---	---	---
41.0 Grants/Subsidies/Contributions	5,335	5,500	5,903	403
42.0 Indemnity	---	---	---	---
43.0 Interest & dividends	---	---	---	---
44.0 Refunds	---	---	---	---
91.0 Unvouchered	---	---	---	---
99.0 Other	---	---	---	---
Total, Other Object Classes	\$16,712	\$24,168	\$30,818	\$6,650
Total, Direct Obligations	\$43,750	\$63,431	\$128,416	\$64,985
² Unobligated balance, start of year	(3,459)	(21,119)	-	21,119
Unobligated balance, end of year	21,119	21,119	-	(21,119)
Unobligated balance, expiring	(202)	-	-	-
Total requirements	61,208	63,431	128,416	64,985

F. Permanent Positions by Grade

**Department of Homeland Security
Transportation Security Administration
Surface Transportation Security
Permanent Positions by Grade**

Grades and Salary Ranges	2008	2009	2010	2009 to 2010
	Actual Pos.	Enacted Pos.	Request Pos.	Change Total
Total, SES	16	16	16	---
Total, EX				
M Band	---	---	---	---
L Band	3	3	3	---
K Band	83	86	71	(15)
J Band	66	69	131	62
I Band	90	94	160	66
H Band	77	80	152	72
G Band	28	29	110	81
F Band	11	11	84	73
E Band	3	3	3	(0)
D Band	---	---	---	---
C Band	1	1	1	(0)
B Band	3	3	3	(0)
A Band	---	---	---	---
Other Graded Positions	---	---	---	---
Ungraded Positions	---	---	---	---
Total Permanent Positions	381	396	734	338
Unfilled Positions EOY	156	43	189	146
Total Perm. Employment EOY	381	396	734	338
FTE	225	353	545	192
Headquarters	206	214	229	15
U.S. Field	175	182	505	323
Total Permanent Positions	381	396	734	338
Average ES Salary	\$ 152,886	\$ 157,778	\$ 163,143	\$ 5,364
Average Salary, Banded Positions	\$ 91,826	\$ 94,764	\$ 97,986	\$ 3,222
Average Band	I	I	I	I

G. Capital Investment and Construction Initiative Listing

Not Applicable.

H. PPA Budget Justifications

**Department of Homeland Security
Transportation Security Administration
Surface Transportation Security
Surface Transportation Security Operations & Staffing
Funding Schedule
(Dollars in Thousands)**

PPA: Surface Transportation Security Operations & Staffing	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
11.1 Perm Positions	12,981	15,492	17,004	\$1,512
11.3 Other than perm	380	---	---	---
11.5 Other per comp	553	---	---	---
11.8 Spec Srvc Pay	---	---	---	---
12.1 Benefits	3,252	3,900	4,320	420
13.0 Benefits-former	---	---	---	---
21.0 Travel	961	1,944	1,697	(247)
22.0 Transportation of things	9	---	---	---
23.1 GSA rent	---	---	---	---
23.2 Other rent	---	---	---	---
23.3 Communication, Utilities, and misc charges	---	106	121	15
24.0 Printing	3	18	29	11
25.1 Advisory & Assistance Services	50	6,625	---	(6,625)
25.2 Other Services	6,494	5,096	18,581	13,485
25.3 Purchase from Govt. Accts.	---	139	139	---
25.4 Operation & maintenance of facilities	---	---	---	---
25.5 Research & Development	---	---	---	---
25.6 Medical care	---	---	---	---
25.7 Operation & maintenance of equipment	---	---	---	---
25.8 Subsistence & Support of persons	---	---	---	---
26.0 Supplies & materials	262	391	402	11
31.0 Equipment	94	---	---	---
32.0 Land & Structures	---	---	---	---
41.0 Grants/Subsidies/Contributions	---	---	---	---
42.0 Indemnity	---	---	---	---
91.0 Unvouchered	---	---	---	---
Total, Operations and Staffing	25,039	33,711	42,293	8,582
Full Time Equivalents	131	160	160	---

PPA Mission Statement

Surface Transportation Security Operations and Staffing is charged with managing TSA's efforts to mitigate the risk and provide security direction to all non-aviation transportation systems. This responsibility covers rail, mass transit, highways, buses, trucking, ferries, and pipelines. The Surface Transportation Security Operations and Staffing office also works with industry, State and local governments, and other Federal agencies in developing standards and regulations to ensure the security of these vital transportation systems.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$17,166	\$19,392	\$21,324	\$1,932

The FY 2010 increase reflects annualization, COLA.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Travel	\$961	\$1,944	\$1,697	(\$247)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. FY 2010 request decreases by \$247 to accurately reflect object classes.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and misc. charges	\$0	\$106	\$121	\$15

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. PDA and cell phone air time are the major items being charged to this object class. FY 2010 request sustains current services.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Printing	\$3	\$18	\$29	\$11

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. FY 2010 request sustains current services.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Other Services	\$6,494	\$5,096	\$18,581	\$13,485

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The funds will be used to support security efforts in non-aviation modes including Pipelines, Maritime, Mass Transit, Rail, Highway and Motor Carrier and Postal and Shipping. The FY 2010 increase reflects the annualization of FY 2009 programs funds for 9/11 initiatives.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$262	\$391	\$402	\$11

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. This PPA will use these funds to acquire office supplies, education materials, training materials and any other supplies and materials. FY 2010 request sustains current services.

**Department of Homeland Security
Transportation Security Administration
Surface Transportation Security
Surface Transportation Security Inspectors and Canines
Funding Schedule**

(Dollars in Thousands)

PPA: Rail Security Inspectors and Canines	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
11.1 Perm Positions	\$7,523	14,967	60,295	\$45,328
11.3 Other than perm	3	68	69	1
11.5 Other per comp	265	611	528	(83)
11.8 Spec Srvc Pay	---	---		---
12.1 Benefits	2,081	4,225	15,382	11,157
13.0 Benefits-former	---	---		---
21.0 Travel	1,237	761	469	(292)
22.0 Transportation of things	---	---	---	---
23.1 GSA rent	210	470	214	(256)
23.2 Other rent	29	20	17	(3)
23.3 Communication, Utilities, and misc charges	125	240	155	(85)
24.0 Printing	3	2	2	---
25.1 Advisory & Assistance Services	---	209		(209)
25.2 Other Services	178	549	2,510	1,961
25.3 Purchase from Govt. Accts.	64	215	70	(145)
25.6 Medical care		12		(12)
25.7 Operation & maintenance of equipment		140		(140)
25.8 Subsistence & Support of persons		---		---
26.0 Supplies & materials	346	491	421	(70)
31.0 Equipment	1,312	1,240	88	(1,152)
32.0 Land & Structures		---		---
41.0 Grants/Subsidies/Contributions	5,335	5,500	5,903	403
42.0 Indemnity	---			---
91.0 Unvouchered	---			---
Total, Rail Inspectors & Canines	18,712	29,720	86,123	56,403
Full Time Equivalents	94	193	385	192

PPA Mission Statement

TSA has been given the responsibility to ensure the compliance of security regulations and standards within the rail and mass transit modes. TSA will accomplish this with a cadre of 100 inspectors located at significant rail, mass transit, and transit centers across the United States.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Salaries and Benefits	\$9,872	\$19,871	\$76,274	\$56,403

Salaries and Benefits includes costs for 385 FTEs in FY 2010. The FY 2010 increase reflects annualization, COLA and the new VIPR teams.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Travel	\$1,237	\$761	\$469	(\$292)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. This funding will be used for local and extended travel to conduct a multitude of transit inspections program management. The FY 2010 request includes a technical adjustment to better reflect how funds are executed by Object Class.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
GSA rent	\$210	\$470	\$214	(\$256)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request reflects a decrease of \$256 that reflects a technical adjustment to better reflect how funds are executed by Object Class.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Other Rent	\$29	\$20	\$17	(\$3)

Other rent includes all payments to a non -Federal source for rental space, land and structures. The FY 2010 request reflects a technical adjustment to better reflect how funds are executed by Object Class.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous	\$125	\$240	\$155	(\$85)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. This funding will be used for communication equipment and service cost. The FY 2010 decrease includes a technical adjustment to better reflect how funds are executed by Object Class.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Printing	\$3	\$2	\$2	\$0

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 request sustains current services.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Other Services	\$178	\$549	\$2,510	\$1,961

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 requested increase is support of the additional VIPR teams.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$64	\$215	\$70	(\$145)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The funds will be used to support partnership activities with other government agencies. FY 2010 request reflects a technical adjustment to better reflect how funds are executed by Object Class.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$346	\$491	\$421	(\$70)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request reflects a technical adjustment to better reflect how funds are executed by Object Class.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Equipment	\$1,312	\$1,240	\$88	(\$1,152)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request reflects a technical adjustment to better reflect how funds are executed by Object Class.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$5,335	\$5,500	\$5,903	\$403

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. FY 2010 request reflects a technical adjustment to better reflect how funds are executed by Object Class.

I. Changes in FTE

**Department of Homeland Security
Transportation Security Administration
Surface Transportation Security
Changes in Full-Time Equivalent**

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	225	225	353
INCREASES			
Increase #1:		128	23
Description: Annualization of FY08 & FY09 9/11 Implementation Funding			
Increase #2:			
Description: Additional VIPR Teams			169
Sub-Total Increases	0	128	192
DECREASES			
Decrease #1:			0
Description:			
Sub-Total Decreases	0	0	0
Year-end Actual/Estimated FTEs	225	353	545

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity

Not applicable.

Department of Homeland Security

Transportation Security Administration

Transportation Threat Assessment and Credentialing



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

TRANSPORTATION SECURITY ADMINISTRATION TRANSPORTATION THREAT ASSESSMENT AND CREDENTIALING

I. Appropriation Overview

A. Mission Statement for Transportation Threat Assessment and Credentialing:

The mission statement for this program is, “to reduce the probability of a successful terrorist or other criminal attack to the transportation system through application of the threat assessment methodologies that are intended to identify known or suspected terrorist threats working or seeking access to the Nation’s transportation system.”

This appropriation supports compliance with:

- National Strategy for Homeland Security,
- USA PATRIOT ACT of 2001 (P.L. 107-56),
- Aviation Transportation Security Act of 2001 (P.L. 107-71),
- Maritime Transportation Security Act of 2002 (P.L. 107-295)
- Vision 100 – Century of Aviation Reauthorization Act (P.L. 108-176)
- Intelligence Reform and Terrorism Prevention Act of 2004 (P.L. 108-408), and
- 9/11 Commission Act of 2007 (P.L. 110-53).

These laws provide direction to the Federal Government to protect homeland security, placing special emphasis on deterrence, prevention, interdiction of threats, aggression, and unlawful acts directed toward the United States. The Homeland Security Presidential Directive-11 (HSPD-11), issued August 27, 2004, directed the Department of Homeland Security (DHS), in coordination with other Federal agencies, to “enhance terrorist-related threat assessment through comprehensive, coordinated procedures.”

The objective of HSPD-11 is to more effectively detect and interdict individuals known to engage in terrorist activities or those who are reasonably suspected to be doing so, or who have been engaged in terrorist activities. To that end, the broad range of existing government and private sector security measures and initiatives will be augmented by a comprehensive, coordinated and integrated threat assessment environment. At the same time, implementation of HSPD-11 must facilitate the efficient movement of people, cargo, and conveyances and minimize any negative impacts on related activities. The Presidential Directive requires that these goals be achieved without compromising personal or institutional privacy and with due respect for other rights and freedoms quintessential to the American way of life.

The Office of Transportation Threat Assessment and Credentialing (TTAC) within TSA supports this directive by consolidating the management of all vetting and credentialing programs within TSA. This office consists of the following screening programs: Secure Flight, Transportation

Worker Identification Credential (TWIC), Hazardous Materials Commercial Driver's License Endorsement Threat Assessment Program (HTAP), Alien Flight Student Program and Other Vetting Programs. The programs that comprise this appropriation are designed to enhance security for many components (air, land, sea) of the transportation sector and much of the risk-analysis being performed is scalable for use in other sectors of this dynamic network.

Through the Secure Flight program, TSA will receive passenger and certain non-traveler information, conduct watch list matching against the No Fly and Selectee portions of the Federal government's consolidated terrorist watch list, and transmit a boarding pass printing result back to aircraft operators to prevent terrorists from boarding aircraft. The Alien Flight Student Program conducts background and intelligence-based checks for ties to terrorism on aliens and other individuals who seek flight training. As part of the certification process, commercial truck drivers seeking to haul hazardous materials in the United States must be cleared through a background check conducted by the HTAP program. The TWIC program provides an identity management system for transportation workers requiring unescorted access to secure areas of the Nation's transportation system. The Other Vetting/Screening Administration and Operations Program contains the Crew Vetting Program with the other smaller vetting and credentialing programs to support the program management and operational costs. The overall purpose of these programs is to provide a structured method of assessing potential threats to the safety and security of the American public through the screening of workers and travelers throughout the transportation industry.

TTAC has grown tremendously since inception through the development and implementation of efficient, reliable, and cost-effective terrorist-related screening programs. TTAC currently vets and adjudicates approximately 400,000 cases a week by reviewing and assessing biographic information, and close to 25,000 cases a week based on biometric checks against criminal databases. Additionally, TTAC perpetually vets over 7 million people per day, adjudicates over 12,000 cases per week and responds to over 750 redress requests a week. In the midst of considerable program growth, TTAC has demonstrated cost-effectiveness and enhanced performance.

The Vetting Infrastructure Modernization project will develop a person-centric view across all modal programs in accordance with the DHS Credentialing Framework Initiative (CFI), and is critical to accomplishing key strategic goals that better secure the nation's transportation infrastructure. A person-centric view requires the ability to associate information about a person across organizations and encounters; and provide a needs-specific view of that information to a DHS decision-maker, ensuring that the information provided is appropriate to the context of the encounter and the decision being made. Modernization will:

- Enable a Universal Fee mechanism that will reduce duplicative background checks and fees for transportation workers,
- Provide capability to process new populations using existing enrollment and vetting infrastructure, and
- Ensure privacy and security as TSA continues to work towards further reducing the threat to national security or transportation security (a TTAC program performance goal) by individuals engaged in various aspects of the U.S. transportation system.

Since TSA cannot predict specific terrorist activity, the name-based threat assessment methodologies employed by the programs within TSA are a very important tool in the fight against terrorism that could quickly be leveraged to further protect the Nation's transportation system.

B. Budget Activities:

Secure Flight

This program moves airline passenger watch list matching, currently conducted by the airline industry, into one program managed and operated by the Federal government. This consolidation meets the provisions outlined in the Intelligence Reform and Terrorism Prevention Act of 2004 (P.L. 108-458) and the recommendations of the 9/11 Commission. For the purpose of preventing terrorists from boarding an aircraft or accessing the sterile area of the airport, the Secure Flight program will use an automated process to match Secure Flight Passenger Data (SFPD) against records contained in the No Fly and Selectee portions of the Terrorist Screening Database (TSDB). Initially, the Secure Flight program will concentrate on airline passengers traveling on domestic flights within the U.S. and its territories. U.S. Customs and Border Protection (CBP) currently conducts watch list matching for passengers flying into and out of the U.S. through its Advance Passenger Information System (APIS). Per the Secure Flight Final Rule (effective December 29, 2008), both programs will work towards a transition plan for international flights to the Secure Flight program to ensure that domestic and international watch list matching is consistent and uniformly effective. Secure Flight began program implementation with the first domestic aircraft operator on January 27, 2009. Secure Flight will gradually phase-in additional flights until all domestic and international flights (into or out of the U.S.) process passenger data against the TSDB. When fully implemented, Secure Flight will screen more than 2.5 million passengers daily.

Transportation Worker Identification Credential (TWIC)

TWIC establishes an integrated, credential-based, identity verification program through the use of biometric technology. In order to gain unescorted access to the secure areas within the Nation's transportation system, transportation workers who need access to these areas will be required to undergo a satisfactory security background check before they will be issued a TWIC card. The TWIC card is intended to work as an integrated part of any existing or newly-developed access control system deployed by the transportation sectors. TSA conducted a prototype of the TWIC program at 28 sites primarily focused in three geographic areas (Los Angeles and Long Beach, California; Wilmington, Delaware; Philadelphia, Pennsylvania; and Florida). The Prototype Phase concluded in June 2005, with sustained Prototype operations for a limited number of sites through March 2006. TSA and United States Coast Guard (USCG) have considered the lessons learned during Prototype in developing the TWIC process model and in writing the Notice of Proposed Rulemaking (NPRM) and Final Rule, which was issued on January 25, 2007. The TWIC enrollment process began October, 2007 and within 18 months, TSA enrolled more than 1.1 million workers including longshoremen, truckers, and port employees who require access into secure areas of U. S. Ports. On April 15, 2009, USCG began enforcing the TWIC requirement for workers who need unescorted access to secure areas of U.S. ports. Operational costs of the program are entirely funded from fee revenue.

Registered Traveler (RT)

On July 30, 2008, TSA announced in the Federal Register the conclusion of the last RT pilot program and the termination of the security threat assessment (STA) requirement and its associated fee. TSA will continue to work with private sector partners to ensure that the RT program will remain as an enhanced identity verification program that will allow passengers an expedited process through the lines of the passenger screening checkpoints at participating airports. As the costs and fee revenue associated with the STA will conclude in FY 2009, this PPA will no longer be necessary for FY 2010.

Hazardous Materials Endorsement Threat Assessment Program (HTAP)

The USA PATRIOT Act prohibits states from issuing a license to transport hazardous materials (hazmat) in commerce unless a determination has been made that the individual does not pose a security risk (49 U.S.C. § 5103a). The Act further requires that this risk assessment include checks of criminal history records, legal status, and relevant intelligence databases. TSA implemented the HTAP to meet this mandate and conducts a security threat assessment on anyone applying to obtain, renew, or transfer a hazardous materials endorsement (HME) on their state-issued commercial drivers license (CDL). The TSA security threat assessment includes a fingerprint-based criminal history records check (CHRC), a legal status check and a check against terrorist databases. The program also fulfills statutory requirements under the Safe Explosives Act. Operational since January 31, 2005, the program is entirely funded by fee revenue.

Alien Flight Student Program (AFSP)

Established under the Vision 100 – Century of Aviation Reauthorization Act (P.L. 108-176), the AFSP reviews and assesses biographic and biometric information of non-U.S. citizens or any other individual (specified by the Secretary of Homeland Security) applying for training in the operation of any aircraft (having a maximum certificated takeoff weight of more than 12,500 pounds) at FAA certified flight schools located both inside and outside the United States. These persons are subject to a security threat assessment based on background and terrorist-based checks. Since its transfer to TSA from the Federal Bureau of Investigation in July 2004, this program was expanded to conduct background checks of non-U.S citizens seeking flight training in aircraft weighing under 12,500. This action was taken to mitigate a critical security weakness in the legislation. On April 13, 2009, a notice in the Federal Register was published, allowing TSA the authority to charge recurrent flight school students for security threat assessments conducted by the agency.

Other Vetting/Screening Administration and Operations

This activity incorporates personnel and operational cost of vetting operations that are not a part of any of the programs described above, as well as TTAC administrative costs, such as the vetting infrastructure and other related information technology costs. These initiatives include:

- Crew Vetting Program
- Secure Identification Display Area (SIDA) checks
- Temporary Flight Restrictions Program
- Twelve-five and charter pilots checks
- DCA Access Standard Security Program

- Maryland-3 small airports checks
- Domestic and International Flight Waivers
- FAA certificate holder vetting

C. Budget Request Summary:

For FY 2010, the Transportation Security Administration requests, 250 FTE, \$191.9 million in appropriated funding and \$28 million in fee collection authority for these programs. The program increases include 22 positions, 11 FTE and \$70.6 million to:

- Annualize funding (non-pay) provided in FY 2008 to implement the 9/11 Act to continue development of a web-based enrollment system and integrate the security threat assessment process (0 FTP, 0 FTE and \$6,600,000);
- Enhance the vetting infrastructure to more effectively and efficiently perform vetting operations on vulnerable areas of the transportation system (22 FTP, 11 FTE, and \$64,000,000).

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing
 Summary of FY 2010 Budget Estimates by Program/Project Activity
 (Dollars in Thousands)

Program/Project Activity	FY 2008 Actuals		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Secure Flight	51	\$71,488	86	\$82,211	108	\$84,363	22	\$2,152	---	---	22	2,152
Crew Vetting	35	14,983	---	---	---	---	---	---	---	---	---	---
Other Vetting/Screening Administration and Operations	14	11,135	65	33,807	98	107,636	33	73,829	11	70,600	22	3,229
TWIC Appropriated	---	1,419	---	---	---	---	---	---	---	---	---	---
Registered Traveler Program fees	8	3,155	12	---	---	---	(12)	---	---	---	(12)	---
TWIC fees	11	25,411	15	31,700	21	9,000	6	(22,700)	---	---	6	(22,700)
HAZMAT CDL fees	15	11,664	17	15,000	17	15,000	---	---	---	---	---	---
Subtotal, Enacted Appropriations and Budget Estimates (Gross Discretionary)	134	\$139,255	195	\$162,718	244	\$215,999	49	\$53,281	11	\$70,600	38	(\$17,319)
Alien Flight School fees (mandatory)	6	3,891	6	4,000	6	4,000	---	---	---	---	---	---
SubTotal, Enacted Appropriations and Budget Estimates (Gross Budgetary Resources)	140	\$143,146	201	\$166,718	250	\$219,999	49	\$53,281	11	\$70,600	38	(\$17,319)
Less: Adjustments for Other Funding Sources:												
Credentialing Fees-Discretionary												
Registered Traveler Program fees	---	(3,155)	---	---	---	---	---	---	---	---	---	---
TWIC fees	---	(25,411)	---	(31,700)	---	(9,000)	---	22,700	---	---	---	22,700
HAZMAT CDL fees	---	(11,664)	---	(15,000)	---	(15,000)	---	---	---	---	---	---
Net, Discretionary Appropriations and Budget Estimates	134	\$99,025	195	\$116,018	244	\$191,999	49	\$75,981	11	\$70,600	38	\$5,381
Credentialing Fees-Mandatory												
Alien Flight School fees		(3,891)		(4,000)		(4,000)	---	---	---	---	---	---

III. Current Services Program Description by PPA

Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing
Program Performance Justification

(Dollars in thousands)

PPA: SECURE FLIGHT

	Perm Pos	FTE	Amount
2008 Actual	65	51	\$71,488
2009 Enacted¹	113	86	82,211
2010 Adjustments-to-Base ¹	0	22	2,152
2010 Current Services	113	108	84,363
2010 Program Change	0	0	0
2010 Request	113	108	84,363
Total Change 2009-2010	0	22	2,152

¹Reflects a transition from contract resources to positions that perform inherently governmental functions

The Transportation Security Administration requests \$84.4 million for the Secure Flight program. The FTE increase reflects both the conversion of FY 2009 contractor resources as well as the additional FY 2009 FTP annualized in FY 2010. Pay cost of living adjustment is also included in the funding increase.

CURRENT SERVICES PROGRAM DESCRIPTION:

Secure Flight's mission is to enhance the security of domestic and international commercial air travel in the United States through the use of improved watch list matching. The program's goals are to:

- Identify known and suspected terrorists;
- Prevent individuals on the No Fly List from boarding an aircraft;
- Provide enhanced screening of individuals on the Selectee List to determine if they are permitted to board an aircraft;
- Facilitate passenger air travel; and
- Protect individuals' privacy.

Transitioning watch list matching to TSA will raise the baseline standard of the technology and automation used in the watch list matching process. Secure Flight will streamline the process and make watch list matching more consistent through the consolidation of this responsibility. This will also limit the distribution of the watch list, thereby minimizing the possibility for compromised watch list data. By bringing the watch list matching function into the Federal government, the DHS Traveler Redress Inquiry Program (TRIP) will be able to provide a more

consistent application of an integrated redress process for passengers who believe they have been misidentified as a threat. Further, the Secure Flight program will expedite law enforcement notification by reducing the time it takes to identify potential matches – from days to minutes. TSA is committed to engaging the individuals and organizations that will be affected by the Secure Flight program. TSA has adopted a strong security partner engagement approach that includes interactively communicating with key stakeholders, working closely with airlines through the deployment process, and providing materials for public awareness and education.

To date, Secure Flight has achieved the following accomplishments:

- The Secretary of Homeland Security certified on September 24, 2008 that the TSA Secure Flight Program had completed the 10 requirements set forth in Section 522(a) of the *DHS Appropriations Act, 2005* (Public Law 108-334). The Government Accountability Office (GAO) audited the Secure Flight program and briefed majority and minority staff of the House Senate Appropriations Subcommittees on Homeland Security, affirming that TSA has satisfied the critical issues and other conditions in order to begin initial operations.
- The Secure Flight Final Rule was published on October 28, 2008 and became effective on December 29, 2008.
- The proposed Secure Flight changes to the Aircraft Operator Standard Security Program and the Model Security Program were posted on November 7, 2008.
- Parallel testing with three aircraft operators was completed in December 2008 and the system was ready for initial operational capability on January 15, 2009.
- Secure flight received system accreditation and Authority to Operate (ATO) on January 7, 2009.
- The Secure Flight program received governance review board approvals at both TSA and DHS for initial operating capability (IOC). Commonly known as milestone decision point (MDP) 3, these approvals through business investment and enterprise architecture reviews gave the program the required approvals to begin initial production operations with aircraft operators.
- Secure Flight began a phased-in implementation with volunteer, domestic airlines on January 27, 2009 and will continue with a domestic implementation phase to begin in May 2009, followed by an international implementation phase.

Full implementation, including foreign air carriers, is slated to be complete in FY 2010. The most significant factor that poses a challenge to the program in meeting scheduled completion dates is the ability of aircraft operators to complete the required technical and operational changes. Presently, TSA remains on track to meet key Secure Flight milestones and remains committed to the implementation schedule.

PPA: OTHER VETTING PROGRAMS

Crew Vetting

	Perm Pos	FTE	Amount
2008 Actual	42	35	\$14,983
2009 Enacted	0	0	
2010 Adjustments-to-Base	0	0	0
2010 Current Services	0	0	0
2010 Program Change	0	0	0
2010 Request	0	0	0
Total Change 2009-2010	0	0	0

Other Vetting/Screening Administration and Operations

	Perm Pos	FTE	Amount
2008 Actual	29	14	\$11,135
2009 Enacted	77	65	33,807
2010 Adjustments-to-Base	14	22	3,229
2010 Current Services	91	87	37,036
2010 Program Change	22	11	70,600
2010 Request	113	98	107,636
Total Change 2009-2010	36	33	73,829

In FY 2009, TSA was given the authority to merge the Crew Vetting program into the Screening Administration and Operations. The Transportation Security Administration requests \$107.6 million to provide funding for Screening Administration and Operations. The request includes: (1) a program enhancement of 22 positions, 11 FTE and \$64.0 million to enhance the vetting infrastructure to more effectively and efficiently perform vetting operations; (2) an annualization of \$6.6 million in 9/11 funded activities; and (3) pay cost of living adjustments.

CURRENT SERVICES PROGRAM DESCRIPTION:

At the FY 2009 current services level, this PPA will provide funding for the administrative and operational needs of the following activities:

Crew Vetting Program: This program vets domestic and international airline crews entering, departing, or over-flying U.S. airspace against terrorist-related information to determine if they are a potential threat to the aviation system. The Crew Vetting program compares airline crew

lists against the FBI's Violent Gang, Terrorist Organization Files (VGTOF), TSA's No-Fly List and Selectee lists, and numerous other watch lists (including U.S. Marshal's Warrant Information Network data and Department of State's lost/stolen passport lists) to assess potential threats of terrorists posing as cleared aviation personnel. The program reviews approximately 2 million crewmembers annually.

Secure Identification Display Area (SIDA) checks: Pursuant to the Aviation and Transportation Security Act (ATSA), TSA vets SIDA employees and other aviation workers who have access to the secure areas of the Nation's airports. Security Threat Assessments (STAs) as well as a Criminal History Records checks are conducted for this population. The program reviews approximately 500,000 aviation workers annually.

15 Full-Time Equivalents associated with aviation vetting operations TTAC conducts vetting on multiple aviation programs including (Temporary Flight Restriction Program, DCA Access Standard Security Program, Twelve-Five and Private Charter Program, and the Maryland-3 Airports).

Temporary Flight Restriction Program checks: Pilots, crew members, and passengers on aircraft applying to fly within restricted airspace of the National Capital Regional Area or flying over major National events (Major League baseball stadiums, the Super Bowl, political conventions, etc.) must apply for waivers through the TSA Security Operations, Special Events Unit (49 USC 114). The names are received and a name-based check is conducted against various watch lists and against the National Crime Information Center database. The program reviews approximately 3,000 individuals annually.

DCA Access Standard Security Program (DASSP) checks: This program addresses the special aviation security needs of the National Capital Region. All pilots, Armed Security Officers (ASOs) crew security coordinators, and passengers flying into or out of Ronald Reagan National Airport (DCA) are required to undergo a background check. TSA reviews the results of both the name-based and fingerprint-based STAs and conducts adjudication as necessary. The program reviews approximately 3,000 individuals annually.

Twelve-Five and Private Charter Programs: The 12/5 and Private Charter Programs authorities stem from the final rules for Security Programs for Aircraft Weighing 12,500 pounds or more (49 CFR 1540 and 49 CFR 1544) which were adopted on June 24, 2002. Under these programs, pilots flying aircraft 12,500 pounds or greater must undergo a Criminal History Records Check (CHRC). The TSA reviews the results of these CHRCs and adjudicates them based on program criteria associated with the 28 Disqualifying Criminal Offenses and a review of the No Fly and Selectee lists. The program reviews approximately 5,000 pilots annually.

Maryland -3 Airports Program: Due to the proximity of three small Maryland airports to Washington, D.C., Federal Restricted Flight Zones, pilots and passengers must apply for permission to fly in and out of these airports (Aviation Transportation Security Act – P.L. 107-71). A fingerprint-based criminal history records check and checks against watch lists are conducted. TSA works directly with the pilot and/or their employer to address any issues related to the findings. The program reviews approximately 400 pilots annually.

Airspace Waivers: STAs consisting of name-based reviews are conducted on pilots and passengers of international inbound general aviation flights. TSA reviews the results of the name-based STAs and conducts adjudication as needed. The program is currently in pilot phase and reviews approximately 200,000 pilots annually.

Domestic and International Flight Waivers: Pilots, crewmembers, and passengers on aircraft (1) applying to fly within the restricted air space of the National Capital regional Area, fly over stadiums during nationwide sporting or other events (i.e., Major League Baseball, National Football League, political conventions) and (2) flying into the U.S. from foreign locations, overflights of U.S. airspace, and Ferry Flights to/from/within the U.S. must apply for waivers. A name-based STA is conducted and the results are reviewed and adjudicated, as necessary. Approximately 30,000 applicants are reviewed annually.

FAA Certificate Holder Program: A name-based STA will be performed on individuals who hold an airmen certificate and have access to air transportation infrastructure. The program is currently in the planning phase. This program contains the largest single population to be vetted to date by TSA. The FAA airmen registry population consists of approximately 3.9 million with 60,000 new domestic and foreign applicants annually.

The program accomplishments include:

- Definition and implementation of a refined end-to-end process for handling terrorism hits within TTAC screening programs across its TSA/DHS stakeholders; and
- Continuous vetting of over 8,000,000 distinct individuals in several critical sectors of credentialed or benefit-holding transportation sectors.
- More than 13,800,000 individuals on flight crew manifest submissions were vetted.
- Greater than 625,000 cases were manually adjudicated.
- Continued progress on Vetting Infrastructure Modernization to provide a repeatable, scalable solution to support current and future vetting requirements.
 - Continuing formal programmatic review, including the program documentation (e.g., Mission Needs Statement, Acquisition Plan and key milestone decision points),
 - Compiled business and technical requirements documentation, and
 - Completed an alternatives analysis of existing and potential capabilities, user interfaces and re-usability of existing technology infrastructure.

PPA: TRANSPORTATION WORKER IDENTIFICATION CREDENTIAL (TWIC) – Fee Authority and Appropriated Funding

TWIC (fee authority)

	Perm Pos	FTE	Amount
2008 Actual	15	11	\$25,411
2009 Enacted	15	15	31,700
2010 Adjustments-to-Base ¹	6	6	(22,700)
2010 Current Services	21	21	9,000
2010 Program Change	0	0	0
2010 Request	21	21	9,000
Total Change 2009-2010	6	6	(22,700)

¹Reflects a decrease in fees collected after initial surge, and a transition from contracting resources to 6 positions that perform inherently governmental functions.

The Transportation Security Administration estimates fee collections of \$9.0 million for the Transportation Worker Identification Credential (TWIC) Program.

TWIC (appropriated)

	Perm Pos	FTE	Amount
2008 Actual	0	0	\$1,419
2009 Enacted	0	0	0
2010 Adjustments-to-Base	0	0	0
2010 Current Services	0	0	0
2010 Program Change	0	0	0
2010 Request	0	0	0
Total Change 2009-2010	0	0	0

In FY 2008, TWIC received a two-year appropriation of \$8.1 million for a card reader pilot project. Unobligated funding was carried-over into FY 2009.

CURRENT SERVICES PROGRAM DESCRIPTION:

The TWIC program enhances security by providing a tamper-resistant biometric credential to maritime workers requiring unescorted access to secure areas of port facilities and vessels regulated under the Maritime Transportation Security Act of 2002 (MTSA), (P.L. 107-295). When fully implemented, the program will ensure that the identity of each TWIC holder has been verified; that a satisfactory security background check has been completed on that identity; and that each credential issued is positively linked to the rightful holder through the use of biometric technology.

The TWIC Program is being implemented in the maritime environment in accordance with the spirit and requirements of the Aviation and Transportation Security Act of 2001 (P.L. 107-71), and MTSA. The program will provide a common, consistent biometric credential at over 3,200 facilities and on over 10,000 vessels.

TWIC's personal identity verification standards and credential issuance closely adhere to those of Homeland Security Presidential Directive 12 (HSPD-12), and its implementing standard, Federal Information Processing Standard (FIPS) 201. The TWIC program is on the leading edge of newly released biometric standards and was first to adopt those common biometric standards in the Federal Government. Adhering to these standards will insure interoperability among physical access control systems that may incorporate different vendor products and technologies. TWIC specifically follows biometric standards of the American National Standards Institute (ANSI) for its pattern-based fingerprint format operational biometric.

The program continues to work with the National Institute of Standards and Technology (NIST) to ensure compliance with appropriate national standards and to develop technology specifications to support the overall program. Most recently, the program worked with a federal advisory committee, the Coast Guard's National Maritime Security Advisory Committee (NMSAC), to establish recommendations for contact-less biometric and credential readers that would enhance throughput and provide better durability. The NMSAC technology recommendations were published in the Federal Register and public comment was solicited. At the conclusion of the TWIC reader pilot, the program finalized the reader specifications, published a notice of availability in the Federal Register and posted the specification on the TSA website.

With \$8.1 million in appropriated funding provided by Congress in FY 2008, TSA will implement an access control technology pilot to test contact-less biometric technologies within the TWIC program. TWIC has developed a Test and Evaluation Master Plan which provides the overall test plan and operational concepts for this pilot. Of the \$8.1M appropriation, \$2.0 million is supporting the program administrative efforts for the pilot. This work will include: development of bench test protocols and test cards to evaluate readers for their capability to read TWICs; conducting functional and environmental reader testing; and, the implementation of the Integrated Test Agent (ITA) which will plan, conduct, and report on the pilot test. The remaining \$6.1 million will provide funding for work and test equipment at test participant facilities and vessels. This work will include: test equipment and software; the development of site-specific test plans and on-site data collection and coordination by the ITA; and travel necessary to support sites.

A Final Rule was issued on January 25, 2007 and addressed over 1,900 comments from the public. The final rule includes important changes from the prototype, such as the ability to provide a discount for Free and Secure Trade (FAST) card holders, documented merchant mariners, and truckers with Hazardous Material Endorsements. The TWIC blueprint was updated to align the system with the final rule. These key changes to the program had to be tested to ensure the TWIC technology systems met program requirements and could support nationwide deployment. The program began TWIC cardholder enrollment in the fall of 2007.

After establishing the first enrollment site in Wilmington, Delaware in the fall of 2007, TSA has used a phased-in approach, at each Captain of the Port (COTP) zone, to roll out the program across the nation. Over 150 fixed enrollment centers were established to complete initial enrollments of all maritime workers in 18 months. As of April 15, 2009, the United States Coast Guard (USCG) began enforcing nationwide the requirement to have a TWIC for all mariners and individuals requiring unescorted access to secure areas of facilities, vessels, and Outer Continental Shelf (OCS) facilities. However, the USCG is allowing workers, who have been approved for a TWIC and are waiting to obtain their card, to continue to work unescorted until May 14th at select ports.

TSA has enrolled (including pre-enrollments) approximately 1.1 million workers as of the April 15, 2009 compliance date. After completing the initial enrollment of all maritime workers, the program will move into a sustainment mode, and continue to support enrollment centers nationwide for new maritime workers, workers requiring a replacement card, and workers renewing their TWIC.

TSA and USCG work closely with the industry to expedite the enrollment process. They are working with maritime stakeholders, at the national and local levels, to provide program updates and promote awareness and support for the program. The TWIC deployment contractor has an extensive outreach effort which includes in-person meetings with local port stakeholders and targeted communications materials distributed at each port (well in advance of deployment). Additionally, the program has the TWIC Stakeholder Communications Committee, comprised of maritime stakeholders spanning unions, associations, and government. This group continues to provide invaluable feedback and recommendations that TSA and USCG act upon accordingly.

The TWIC Program has established applicant fees to sufficiently recover the cost of providing this security service. The standard TWIC Fee is \$132.50 per applicant. A reduced TWIC fee of \$105.25 has also been established for those applicants that have previously completed a comparable security threat assessment. The card replacement fee is \$60.00. The credential is valid for five years and revenue generated from these security fees will only be used to support the TWIC program.

PPA: Registered Traveler (RT) Program (fee authority)

	Perm Pos	FTE	Amount
2008 Actual	13	8	\$3,155
2009 Enacted	12	12	0
2010 Adjustments-to-Base	(12)	(12)	0
2010 Current Services	0	0	0
2010 Program Change	0	0	0
2010 Request	0	0	0
Total Change 2009-2010	(12)	(12)	0

On July 30, 2008, TSA announced in the Federal Register the conclusion of the last RT pilot program and the termination of the Security Threat Assessment (STA) requirement and its associated fee. TSA will continue to work with private sector partners to ensure that the RT program will remain as an enhanced identity verification program that will allow passengers an expedited process through the lines of the passenger screening checkpoints at participating airports. As the costs and fee revenue associated with the STA will conclude in FY 2009, this PPA will no longer be necessary for FY 2010.

PPA: HAZARDOUS MATERIALS CDL ENDORSEMENT PROGRAM (fee authority)

	Perm Pos	FTE	Amount
2008 Actual	17	15	\$11,664
2009 Enacted	17	17	15,000
2010 Adjustments-to-Base	0	0	0
2010 Current Services	17	17	15,000
2010 Program Change	0	0	0
2010 Request	17	17	15,000
Total Change 2009-2010	0	0	0

The Transportation Security Administration estimates fee collection of \$15.0 million in the Hazardous Material Commercial Driver's License (CDL) Endorsement Program.

CURRENT SERVICES PROGRAM DESCRIPTION:

The TSA HME Threat Assessment Program (HTAP) is an important and key component of the DHS/TSA layered approach to transportation security. The program was established to fulfill the statutory requirements of both the USA PATRIOT and Safe Explosives Acts to further protect against the threats to transportation posed by terrorists, dangerous criminals, and illegal aliens that may attempt to transport hazardous materials in commerce.

As directed by Congress, TSA established fees to fund the HTAP threat assessment. The fee is comprised of three elements: 1) the cost for collecting and processing fingerprint and application information; 2) the fee the FBI charges to run the fingerprints against the criminal history records; and 3) a TSA program fee to cover costs to administer the program, including conducting the security threat assessments. Payment of the Federal fee is a requirement to undergo the TSA Security Threat Assessment.

States must forward biographic and biometric (fingerprint) information to TSA in an approved and established format to facilitate the security threat assessment process. TSA allowed States to elect to perform the biographic and biometric collection, or utilize a TSA-contracted agent to perform these functions on their behalf. Currently, 13 states collect the required biographic information and biometric data through their individually established and maintained programs and 37 states and the District of Columbia have elected to utilize the TSA-contracted agent. Additionally, drivers registered in a state serviced by the TSA Agent may be fingerprinted in any other state serviced by the TSA Agent.

The HTAP has processed over 1,200,000 applications, and currently processes over 95 percent of applications in five days or less. The HTAP has a robust redress process, including appeals, waivers and Administrative Law Judge review. In FY 2009, the program is expected to conduct threat assessments on approximately 330,000 applicants, a continued increase from the program's inception that confirms the vital role of improving the safety and protection of passengers and freight traveling on our Nation's highways. The request provides full funding from fee revenue to cover TSA's operational costs for this program.

TSA charges \$38 for the collection of information, \$17.25 for the FBI fingerprint-based CHRC, and \$34 for the TSA program fee for a total fee of \$89.25. The \$34 TSA program fee is charged to every applicant regardless of the state of issuance. Non-TSA Agent States charge various collection, processing and fingerprinting fees; the average total fee in non-TSA Agent States is approximately \$89.

PPA: ALIEN FLIGHT STUDENT PROGRAM (mandatory fee authority)

	Perm Pos	FTE	Amount
2008 Actual	6	6	\$3,891
2009 Enacted	6	6	4,000
2010 Adjustments-to-Base	0	0	0
2010 Current Services	6	6	4,000
2010 Program Change	0	0	0
2010 Request	6	6	4,000
Total Change 2009-2010	0	0	0

The Transportation Security Administration estimates \$4.0 million in fee collection authority for the Alien Flight Student Program.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Alien Flight Student Program (AFSP) conducts terrorist, immigration, and criminal-background checks on all alien flight students applying for all flight training in the U.S. or abroad at FAA certified flight training locations. Applicants include pilots/student pilots training on aircraft that are subject to a security threat assessment in accordance with Vision 100 – Century of Aviation Reauthorization Act (P.L. 108-176). Pilots identified as a “threat to aviation or national security” under this program will be denied training.

The program reviews and assesses both biographic and biometric information to identify individuals who pose a security threat. Prior to September 11th attacks, there were no systematic security checks performed on alien pilots who receive flight training at flight schools located either inside or outside the United States.

Section 612 of the Vision 100 – Century of Aviation Reauthorization Act (P.L. 108-176) transferred the function of screening alien flight students who are applying for flight training at flight schools from the Attorney General to the Secretary of Homeland Security (and subsequently delegated to the TSA). The Act also gives the Secretary of Homeland Security the authority to establish a fee to offset costs of vetting aliens who apply for flight training. However, the language specifically excluding recurrent training from a security threat assessment was amended to include STAs on recurrent training candidates. As a result, a notice in the Federal Register was published on April 13, 2009, stating TSA will charge a fee to recurrent trainees beginning May 13, 2009.

AFSP processed 29,954 basic and 23,156 recurrent flight training applications, for a total of 53,110 applications in FY 2008. This is an increase of 6,985 total applications from FY 2007, or an increase of 15 percent. AFSP plans an approximate 4 percent increase in applications for FY 2009 and FY 2010, or approximately 55,250 applications in FY 2009 and 57,400 in FY 2010.

The program also began migrating 10-print fingerprints data to a common DHS platform, which will allow for the leveraging of program data to other DHS components. This effort is of particular interest to Immigration and Customs Enforcement’s Student and Exchange Visitor Information System and will enhance both programs’ capability to more closely monitor attendance and status of students in training.

AFSP currently collects a fee of \$130 per basic applicant. This fee includes \$112.75 for extensive TSA international and domestic threat assessments, and \$17.25 for an FBI criminal history records check. AFSP will also collect a fee of \$70 per recurrent applicant beginning May 13, 2009. The fee includes extensive TSA international and domestic threat assessments and application processing.

IV. Program Justification of Changes

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment and Credentialing (TTAC)
Justification of Program Changes
(Dollars in Thousands)**

Program Increase 1: 9/11 Annualization

Strategic Goal(s) & Objective(s):

1. Continue to Protect our Nation from Dangerous People
3.1 Protect and Strengthen the resilience of the Nation’s critical infrastructure and key resources; Enhance preparedness protection, screening and risk mitigation

PPA: Other Vetting

Program Increase: Positions 0 FTE 0 Dollars \$6,600

Funding Profile:

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							14	13	\$1,695
Program Increase – TTAC									
Other Vetting							-	-	\$6,600
Budget Request							14	13	\$8,295

Description of Item

- **TTAC:**
 - Other Vetting:
 - Funding to support TSA’s Other Vetting Program to continue the development of a means to accept web-based enrollments and to fully integrate this interface into the Security Threat Assessment (STA) process. Further this request provides funding to continue development of system requirements and specifications for biometric enrollment and credential standard for use in the Aviation Sector.

Justification

Transportation Threat Assessment & Credentialing (TTAC):

As a key layer in the counter-terrorism mission, TSA requests annualization of the 9/11 Act funding to maintain TTAC’s work to modernize the vetting infrastructure, including web-based enrollments, and allow TSA to effectively perform as the Department-wide provider of security threat assessment services. These funds will be used to support 13 full-time employees (14 full-

time positions) which sustain security threat assessment operations as well as the necessary hardware maintenance contracts and software licenses for the modernized system. Further, this request provides funding to continue development of system requirements and specifications for biometric enrollment and credential standard for use in the Aviation Sector.

The requested 9/11 annualization of \$6.6 million will meet mission critical objectives.

Program Increase 2: Vetting Infrastructure

Strategic Goal(s) & Objective(s):

Goal 1: Protect our Nation from Dangerous People; Objective 1.3: Strengthen Screening of Travelers and Workers

PPA: Other Vetting

Program Increase: Positions 22 FTE 11 Dollars \$64,000

Funding Profile:

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							20	19	\$13,902
Program Increase							22	11	\$64,000
Budget Request	29	14	\$8,500	77	65	\$50,807	42	30	\$77,902

Description of Item

TSA requests an increase of 22 positions, 11 FTE and \$64.0 million to continue implementation of the vetting operations infrastructure enhancement and stabilization project.

Justification

As a key layer in the terrorist prevention mission TSA provides Security Threat Assessments (STAs) of individual applicants for credential, license or access privilege to the Nation’s Transportation and other critical infrastructure. The assessment vetting includes the comparison of applicant biographic and biometric information against terrorism, criminal, and immigration watch lists and the subsequent referral and follow-up on individual matches. TSA conducts, on average, over 300 terrorism-related investigations each year. These investigations are triggered by a Vetting Match Report (VMR), a report generated when other vetting confirms a person's data matches any of the terrorism-related, government derogatory data-sets. The investigation results in a determination of whether a person poses a threat to national or transportation security.

Historically, TSA’s vetting programs have been developed as a result of statutory requirements or to rapidly respond to threat streams, leading to multiple implementations of the same or similar architectures and business processes. The modernization program will provide a more unified, modular, and maintainable architecture that will reduce the cost, risk, and time associated with implementing new capabilities, vetting new populations when necessary, improving the robust nature of the architecture, and on-going Operations and Maintenance.

The Vetting Infrastructure Modernization Program is designed to develop a person-centric view across all modal programs in accordance with the DHS Credentialing Framework Initiative (CFI), and is critical to accomplishing key strategic goals that better secure the nation’s transportation infrastructure. Modernization will enable a universal fee mechanism that will

reduce duplicative background checks and fees for transportation workers, provide capability to process new populations using existing enrollment and vetting infrastructure, and ensure privacy and security. This will be accomplished by consolidating enrollments, identity management services, customer relationship management, credentialing processes, vetting and adjudication and integrating program specific IT systems and business processes.

In late FY 2008, TSA initiated its vetting modernization effort to support more effective and efficient vetting. The goal of the modernization initiative is to eliminate existing vulnerabilities due to uncoordinated business processes, disconnected and duplicative systems, high system complexity, ad hoc and manual review and adjudication processes, and looking at one application and one individual at a time.

The effort is separated by key business functions into three phases:

1. Enterprise Enrollment,
2. Security Threat Assessment Knowledge Environment (STAKE), and
3. Universal Vetting.

TSA is finalizing a comprehensive set of business and technical requirements that span all three phases. These requirements will serve as the basis for directed enterprise architecture analysis, strategic procurement planning, market research/alternatives analysis, and more detailed cost estimations.

In FY 2009, the modernization program is engaged in programmatic review, including the program documentation (e.g., mission needs statement, acquisition plan and key milestone decision points), compiled business and technical requirements documentation, and completed an alternatives analysis of existing and potential capabilities, user interfaces and re-usability of existing technology infrastructure. Additionally, TSA expects to have completed connectivity with U.S. Visit IDENT to enable 1-n biographic matching capability.

In FY 2010, the program will stabilize infrastructure in support of continuity of operations and disaster recovery planning. These initiatives will support three pilots for enrollment, case processing and vetting, which will provide detailed data on user interface friendliness, level of customer investment, credentialing management service risks, work load and case load risks, accuracy, capacity, ability to ingest new populations and system robustness and risks. The primary system design and development will focus on system architecture and high availability, maintainability and upgradeability, and universal enrollment capability.

Specifically, in FY 2010, the Infrastructure Modernization efforts will be:

- Finalizing detailed Design Specifications
- Development of System Architecture
- Integration of Proof of Principle Pilot Capabilities
- Build-out of Full STA, Universal Vetting, and Access Capabilities
- Full System Capability Test / Evaluation with at least one new population

Universal Vetting is the core of the threat assessment infrastructure and is critical to the vetting process. This phase will enhance the current threat assessment process and allow for data to be

better analyzed as well as increase the ability to share information. The ability to share information is key since vetting operations interacts with numerous other systems such as: Treasury Enforcement Communication System (TECS), Systematic Alien Verification for Entitlements (SAVE), Automated Biometric Fingerprint Identification System (IDENT), and the FBI' Criminal Justice Information System (CJIS). It will also complete the migration of the threat assessment process from a sector specific credential/privilege view to a person-centric threat assessment management system.

The requested enhancement of 22 positions, 11 FTE, and \$64.0 million will meet mission critical objectives and stabilize the threat assessment capability.

Impact on Performance (Relationship of Increase to Strategic Goals)

TSA's goal with Other Vetting is to strengthen screening of travelers and workers in order to achieve a reduction in the risk of potential terrorists, instruments of terrorism, or other unlawful activities from threatening our transportation systems. Specifically, this initiative increases the screening of individuals accessing the Nation's transportation systems by modernizing the final, key piece of the critical threat assessment infrastructure - Vetting Operations. This stabilization and enhancement to the TSA infrastructure will enable cross-population analysis and provide fee alignment for individuals with multiple credentials. The ability to use the same infrastructure for all programs, rather than distinct, individual solutions, is expected to provide significant cost savings over the life of the system.

Additional performance impacts include developing:

- A person-centric threat assessment management system and processes, with a common approach for information collection, vetting, verification and use, based on assessment of the risks presented;
- The technical, interoperable capability to share a person-centric and aggregate needs-specific view, crossing all encounters across the Department and with other Federal Agencies, State, Local, and Tribal Governments, and private commercial entities engaged in screening and critical infrastructure protection activities; and
- Integrated Data Integrity and Information Assurance.

Performance Measure Name: "Ratio of False Positives to Total Names Processed"

This performance measure that TSA currently tracks is associated with the reliability of the TSA vetting infrastructure. This measure assesses how well the program is restricting access to people who do (or do not) present a threat to the nation's transportation system.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Transportation Security Administration
Justification of Proposed Changes in
Transportation Threat Assessment and Credentialing
Appropriation Language**

For necessary expenses for the development and implementation of screening programs of the Office of Transportation Threat Assessment and Credentialing, [\$116,018,000] **\$191,999,000** available until September 30, [2010: *Provided*, That if the Assistant Secretary of Homeland Security (Transportation Security Administration) determines that the Secure Flight program does not need to check airline passenger names against the full terrorist watch list, the Assistant Secretary shall certify to the Committees on Appropriations of the Senate and the House of Representatives that no significant security risks are raised by screening airline passenger names only against a subset of the full terrorist watch list.] 2011. (Department of Homeland Security Appropriations Act, 2009.)

Explanation of Changes:

No substantive changes proposed.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actuals	181	134	139,255
2009 Enacted	234	195	162,718
Adjustments-to-Base (ATBs)			
Increases			
Annualization of prior year funding.....	---	20	3,077
Annualization of the 2009 pay raise	---	---	240
2010 pay increase	---	---	369
Annualization of FY 08 9/11 Implementation of Funding	14	13	1,695
FY 09 Conversion of contracting resources to inherently governmental positions	6	17	---
Total Increases.....	<u>20</u>	<u>50</u>	<u>5,381</u>
Decreases			
Registered Traveler - Pilot Program Complete	(12)	(12)	---
Anticipated Reduction in TWIC Fees Collected			(22,700)
Total Decreases.....	<u>(12)</u>	<u>(12)</u>	<u>(22,700)</u>
Total ATBs.....	<u>8</u>	<u>38</u>	<u>(17,319)</u>
2010 Current Services.....	242	233	145,399
Program Changes			
Annualization of FY 08 9/11 Implementation Funding	---	---	6,600
Enhance Vetting Infrastructure	22	11	64,000
Total Program Changes.....	22	11	70,600
2010 Request ¹.....	264	244	215,999
2009 to 2010 Total Change.....	30	49	53,281

¹ This table is adjusted to reflect only discretionary funding included in the FY 2009 RAD.

C. Summary of Requirements

**Department of Homeland Security
 Transportation Security Administration
 Transportation Threat Assessment & Credentialing
 Summary of Requirements
 (Dollars in Thousands)**

													2010 Request		
													Perm. Pos.	FTE	Amount
2008 Actual ¹													181	134	\$139,255
2009 Enacted ¹													234	195	162,718
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)															
Realignments													---	---	---
Increases													20	50	5,381
Decreases													(12)	(12)	(22,700)
Total Adjustments-to-Base													8	38	(17,319)
2010 Current Services													242	233	145,399
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)													22	11	70,600
2010 Total Request													264	244	215,999
2009 to 2010 Total Change													30	49	53,281
Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Secure Flight	113	86	\$82,211	0	22	\$2,152	0	0	\$ ---	113	108	84,363	---	22	\$2,152
2 Crew Vetting	---	0	\$0	0	0	\$0	0	0	\$ ---	---	---	---	---	---	\$0
3 Screening Administration & Operations	77	65	\$33,807	14	22	\$3,229	22	11	\$ 70,600	113	98	107,636	36	33	\$73,829
4 TWIC Appropriated		0	\$0		0	\$0		0	\$ ---		---	---	---	---	\$0
5 Registered Traveler (Fees)	12	12	\$0	(12)	(12)	\$0	0	0	\$ ---	---	---	---	(12)	(12)	\$0
6 TWIC (Fees)	15	15	\$31,700	6	6	(\$22,700)	0	0	\$ ---	21	21	9,000	6	6	(\$22,700)
7 HAZMAT (Fees)	17	17	\$15,000	0	0	\$0	0	0	\$ ---	17	17	15,000	---	---	\$0
Subtotal, Enacted Approp. and Budget Estimates	234	195	162,718	8	38	(17,319)	22	11	70,600	264	244	215,999	30	49	53,281
(Gross Discretionary)															
8 Alien Flight Student Program (Fees)	6	6	\$4,000	0	0	\$0	0	0	\$ ---	6	6	4,000	---	---	\$0
Total Enacted Appropriation & Budget Estimates															
(Gross Budgetary Resources)	240	201	166,718	8	38	(17,319)	22	11	70,600	270	250	219,999	30	49	53,281

¹ This table is adjusted to reflect only discretionary funding included in the FY 2009 RAD.

D. Summary of Reimbursable Resources

Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing
 Summary of Reimbursable Resources
 (Dollars in Thousands)

Collections by Source	2008 Actual			2009 Enacted			2010 Request			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
US VISIT	---	---	---	---	---	2,000	---	---	2,000	---	---	---
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Total Budgetary Resources	---	---	---	---	---	2,000	---	---	2,000	---	---	---

Obligations by Program/Project Activity	2008 Actual			2009 Enacted			2010 Request			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Other Vetting (SAO)	---	---	---	---	---	2,000	---	---	2,000	---	---	---
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Total Obligations	---	---	---	---	---	2,000	---	---	2,000	---	---	---

E. Summary of Requirements by Object Class

Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing
 Summary of Requirements by Object Class¹
 (Dollars in Thousands)

Object Classes	2008 Actuals	2009 Enacted ² & ³	2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$14,685	\$21,879	\$27,712	\$5,833
11.3 Other than full-time permanent	\$160	\$337	\$388	51
11.5 Other Personnel Compensation	\$558	\$900	\$1,198	298
11.6 Pay Diff (Sun/Night)	\$17	\$0	\$0	---
12.1 Benefits	\$3,898	\$6,365	\$7,768	1,403
Total, Personnel Comp. & Benefits	\$19,318	\$29,481	\$37,066	\$7,585
Other Object Classes:				
21.0 Travel	\$390	\$377	\$419	42
22.0 Transportation of things	\$98	\$141	\$105	(36)
23.1 GSA rent	\$0	\$0	\$0	---
23.2 Other rent ³	\$6,209	\$7,736	\$7,890	154
23.3 Communications, utilities, & other misc. charges	\$1,700	\$24	\$45	21
25.1 Advisory and assistance services	\$19,811	\$23,726	\$29,155	5,429
25.2 Other services	\$66,367	\$69,277	\$110,189	40,912
25.3 Purchases of goods & svcs. from Gov't accounts	\$2,390	\$680	\$160	(520)
25.4 Operation & maintenance of facilities	\$5,066	\$2,312	\$2,358	46
25.7 Operation and maintenance of equipment	\$4,756	\$8,121	\$7,995	(126)
26.0 Supplies and materials	\$228	\$520	\$783	263
31.0 Equipment	\$16,784	\$24,323	\$23,834	(489)
Total, Other Object Classes	\$123,828	\$137,237	\$182,933	\$45,696
Total, Direct Obligations	\$143,146	\$166,718	\$219,999	\$53,281
Unobligated balance, start of year	(15,334)	(47,476)	---	---
Unobligated balance, end of year	47,476	47,476	---	---
Recoveries of prior year obligations	(176)	---	---	---
Total requirements	\$175,112	\$166,718	\$219,999	---

¹ Table includes both mandatory and discretionary funding.

² FY 2009 Enacted includes revised fee estimates.

³ FY 2009 MAX entry does not include the \$7.736M correctly shown in this exhibit.

F. Permanent Positions by Grade

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing
Permanent Positions by Grade**

Grades and Salary Ranges	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
	Pos.	Pos.	Pos.	Total
Total, SES	2	2	2	---
Total, EX				
M Band	---	---	---	---
L Band	5	8	9	1
K Band	49	62	70	8
J Band	59	70	79	9
I Band	30	45	51	6
H Band	28	33	37	4
G Band	10	11	12	1
F Band	4	8	9	1
E Band	---	1	1	---
D Band	---	---	---	---
C Band	---	---	---	---
B Band	---	---	---	---
A Band	---	---	---	---
Other Graded Positions	---	---	---	---
Ungraded Positions	---	---	---	---
Total Permanent Positions	187	240	270	30
Unfilled Positions EOY	47	39	20	(19)
Total Perm. Employment EOY	140	201	250	49
FTE	140	201	250	49
Headquarters	187	240	270	30
U.S. Field	---	---	---	---
Foreign Field	---	---	---	---
Total Permanent Positions	187	240	270	30
Average ES Salary	\$ 162,907	\$ 169,260	\$ 172,645	\$ 3,385
Average Salary, Banded Positions	\$ 104,318	\$ 108,386	\$ 110,554	\$ 2,168
Average Band	J	J	J	J

G. Capital Investment and Construction Initiative Listing

Not Applicable.

H. PPA Budget Justifications

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing
Secure Flight
Funding Schedule
(Dollars in Thousands)**

PPA: Secure Flight		2008 Actual	2009 Enacted	2010 Request ¹	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$5,686	\$12,380	\$13,993	\$1,613
11.3	Other than perm	160	337	388	51
11.5	Other per comp	160	322	371	49
12.1	Benefits	1,453	3,164	3,603	439
21.0	Travel	60	91	93	2
22.0	Transportation of things	1	1	1	0
23.1	GSA rent	0	0	0	0
23.2	Other rent	6,057	7,736	7,890	154
23.3	Communication, Utilities, and misc charges	1,394	0	0	0
25.1	Advisory & Assistance Services	16,970	18,571	18,413	(158)
25.2	Other Services	17,086	11,874	11,292	(582)
25.4	Operation & maintenance of facilities	5,066	2,312	2,358	46
25.7	Operation & maintenance of equipment	3,522	5,931	6,080	149
26.0	Supplies & materials	131	216	220	4
31.0	Equipment	13,742	19,276	19,661	385
Total, Secure Flight		71,488	82,211	84,363	2,152
Full Time Equivalents		51	86	108	22

^{1/} Reflects a transition from contract resources to 12 positions that perform inherently governmental functions.

PPA Mission Statement

The mission of the Secure Flight Program is to significantly improve the Federal Government's ability to prevent terrorists from boarding aircraft, help move passengers through airport screening more quickly, and reduce the number of individuals selected for secondary screening, while fully protecting passengers' privacy and civil liberties.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Salaries and Benefits	\$7,459	\$16,203	\$18,355	\$2,152

The increase provides for the annualization of the 2009 pay increase, the projected 2% FY 2010 pay increase, the additional 11 FTE, and the conversion of contract resources to inherently governmental positions.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Travel	\$60	\$91	\$93	\$2

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes an increase of \$2,000 for increased travel related to the roll out of the Secure Flight platform.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Transportation of Things	\$1	\$1	\$1	\$0

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incidental to the transportation of things.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Other rent	\$6,057	\$7,736	\$7,890	\$154

Rent includes all payments to a GSA managed source for rental space, land, and structures. The FY 2010 request includes an increase of \$154,000 for increased rent related to the full rollout of the Secure Flight platform.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$16,970	\$18,571	\$18,413	(\$158)

Advisory and assistance services include services acquired by contract from non-Federal sources (that are private sector, foreign governments, State and local governments, tribes, etc) as well as from other units within the Federal Government. The FY 2010 request includes a decrease of \$158,000 for the conversion of contract resources into positions that perform inherently governmental functions.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Other Services	\$17,086	\$11,874	\$11,292	(\$582)

Other services include contractual services with non-Federal sources that are not otherwise classified under object class 25. Contracting services will be the primary vehicle by which the Secure Flight program will be implemented and operated in regard to connectivity with air carriers and the processing of security checks. The FY 2010 request includes a decrease of \$582,000 or the conversion of contract resources into positions that perform inherently governmental functions..

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$5,066	\$2,312	\$2,358	\$46

Provides for the operation and maintenance of information technology systems used to support the Secure Flight program. The FY 2010 increase of \$46,000 is a result of the roll out of the Secure Flight platform.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$3,522	\$5,931	\$6,080	\$149

Provides for the operation and maintenance of information technology systems used to support the Secure Flight program. The FY 2010 request includes an increase of \$149,000 for increased O&M related to the roll out of the Secure Flight platform.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$131	\$216	\$220	\$4

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes an increase of \$4,000 for increased supplies and materials related to the roll out of the Secure Flight platform.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Equipment	\$13,742	\$19,276	\$19,661	\$385

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. These costs include equipment that will be purchased for the Secure Flight program outside of contracts for rollout and sustainment of the program. The FY 2010 request includes an increase of \$385,000 for planned hardware, software and equipment purchases for the roll out of the Secure Flight platform.

Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing
Crew Vetting
Funding Schedule
(Dollars in Thousands)

PPA: Crew Vetting		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Pem Positions	\$3,172	\$0	\$0	\$0
11.5	Other per comp	140	0	0	0
11.6	Pay Diff (Sun/Night)	17	0	0	0
12.1	Benefits	852	0	0	0
21.0	Travel	68	0	0	0
22.0	Transportation of things	1	0	0	0
23.1	GSA rent	0	0	0	0
23.2	Other rent	152	0	0	0
23.3	Communication, Utilities, and misc charges	1	0	0	0
25.1	Advisory & Assistance Services	57	0	0	0
25.2	Other Services	10,361	0	0	0
26.0	Supplies & materials	19	0	0	0
31.0	Equipment	143	0	0	0
Total, Crew Vetting		14,983	0	0	0
Full Time Equivalents		35	0	0	0

The FY 2009 Budget Request Change is a result of the Crew Vetting Program merger into the Other Vetting/Screening Administration and Operations Program.

PPA Mission Statement

The mission of the Crew Vetting Program is to mitigate risk by vetting airline crews entering, departing, or overflying U.S. airspace using computerized vetting and matching analysis that will assess potential threats of terrorists posing as cleared aviation or other transportation system personnel.

Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing
Other Vetting/Screening Administration and Operations
Funding Schedule
(Dollars in Thousands)

PPA: Screening Administration & Operations		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$1,441	\$5,743	\$9,338	\$3,595
11.5	Other per comp	94	445	694	249
12.1	Benefits	405	2,181	2,966	785
21.0	Travel	132	119	230	111
22.0	Transportation of things	8	42	81	39
23.3	Communication, Utilities, and misc charges	0	24	45	21
25.1	Advisory & Assistance Services	812	4,465	10,076	5,611
25.2	Other Services	7,615	19,265	80,871	61,606
25.5	Research & Development	27			0
25.7	Operation & maintenance of equipment	314	0	0	0
26.0	Supplies & materials	68	291	560	269
31.0	Equipment	219	1,232	2,775	1,543
Total, SAO		11,135	33,807	107,636	73,829
Full Time Equivalents		14	65	98	33

The FY 2009 Enacted & FY 2010 Request include the Crew Vetting Program merger into the Other Vetting/Screening Administration and Operations (SAO) Program, and does not include RAs for \$2M.

PPA Mission Statement

The mission of the Screening Administration and Operations is to help support the identification of individuals deemed as potential terrorists or who pose a security threat to either aviation or national security.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Salaries and Benefits	\$1,940	\$8,369	\$12,998	\$4,629

The increase provides for the annualization of the 2009 pay increase, the projected 2% 2010 pay increase, and the additional 33 FTE.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Travel	\$132	\$119	\$230	\$111

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2010 increase of \$111,000 includes inflation and reflects increased travel needs for the Other Vetting/SAO Program.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Transportation of Things	\$8	\$42	\$81	\$39

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incidental to the transportation of things. The FY 2010 increase of \$39,000 includes inflation and reflects an increase in transportation needs for the Other Vetting/SAO Program.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$0	\$24	\$45	\$21

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, and utility services. TSA is dependant upon communications lines and utilities to run the vetting systems. The FY 2010 increase of \$21,000 includes inflation and reflects an increase for the Other Vetting/SAO Program.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$812	\$4,465	\$10,076	\$5,611

Advisory and assistance services include services acquired by contract from non-Federal sources (that are private sector, foreign governments, State and local governments, tribes, etc) as well as from other units within the Federal Government. TSA uses these services to provide program management, technical and logistical support as well as evaluations. The FY 2010 increase of \$5.611 million includes inflation and reflects an increase for the Other Vetting/SAO Program.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Other Services	\$7,615	\$19,265	\$80,871	\$61,606

Other services include contractual services with non-Federal sources that are not otherwise classified under object class 25. Contracting services are used extensively in the systems operation and case adjudication of the Alien Flight Student program. These contracts will also support SIDA, 12/5 Charter Pilots, MD-3 Airports and the Temporary Flight Restriction programs. The FY 2010 increase of \$61.606 million includes inflation and funding for contract support for IT planning, acquisition, and rollout and includes funding for contract support for vetting, inflation, service increases.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$68	\$291	\$560	\$269

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2010 increase of \$269,000 includes inflation and reflects an increase for the Other Vetting/SAO Program.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Equipment	\$219	\$1,232	\$2,775	\$1,543

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 increase of \$1.543 million includes inflation and reflects an increase for the Other Vetting/SAO Program.

Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing
Transportation Workers Identification & Credentialing Appropriated
Funding Schedule
(Dollars in Thousands)

PPA: Transportation Workers Identification & Credentialing Appropriated		2008 Actual	2009 Enacted	2010 Request	2008 to 2009 Change
Object Classes:					
21.0	Travel	---	---	---	---
22.0	Transportation of things	---	---	---	---
23.3	Communication, Utilities, and misc charges	---	---	---	---
25.1	Advisory & Assistance Services	---	---	---	---
25.2	Other Services	1,419	---	---	---
25.7	Operation & maintenance of equipment	---	---	---	---
26.0	Supplies & materials	---	---	---	---
31.0	Equipment	---	---	---	---
Total, TWIC Appropriated		1,419	---	---	---
Full Time Equivalents					---

PPA Mission Statement

The mission of the TWIC Program is to establish an integrated, credential-based, identity verification program through the use of biometric technology to grant workers unescorted access to secure areas within the nation's transportation system.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing
Registered Traveler (Fees)**

Funding Schedule
(Dollars in Thousands)

		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
PPA: Registered Traveler Program Fees					
Object Classes:					
11.1	Perm Positions	\$1,007	\$0	\$0	\$0
11.5	Other per comp	34	0	0	0
12.1	Benefits	264	0	0	0
23.3	Communication, Utilities, and misc charges	305	0	0	0
25.1	Advisory & Assistance Services	1,133	0	0	0
25.2	Other Services	409	0	0	0
25.5	Research & Development	2	0	0	0
26.0	Supplies & materials	1	0	0	0
	Total, Registered Traveler	3,155	0	0	0
Full Time Equivalents		8	12	0	(12)

PPA Mission Statement

The mission of the Registered Traveler pilot is to increase the efficiency with which screeners and security resources are aligned. Travelers will achieve an expedited processing through security checkpoints by providing limited personal information that assures DHS of their good faith.

NOTE: For FY 2008, the resources for the Registered Traveler pilot are derived entirely from fee collections.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing
Transportation Workers Identification & Credentialing (Fees)**

Funding Schedule
(Dollars in Thousands)

PPA: Transportation Workers Identification & Credentialing Fees		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Pem Positions	\$1,271	\$1,582	\$2,207	\$625
11.5	Other per comp	28	28	28	0
12.1	Benefits	322	401	580	179
21.0	Travel	101	110	26	(84)
22.0	Transportation of things	88	98	23	(75)
25.1	Advisory & Assistance Services	66	85	20	(65)
25.2	Other Services	20,165	25,003	5,082	(19,921)
25.3	Purchase from Govt. Accts.	526	680	160	(520)
25.7	Operation & maintenance of equipment	284	387	91	(296)
26.0	Supplies & materials	7	13	3	(10)
31.0	Equipment	2,553	3,313	780	(2,533)
Total, TWIC		25,411	31,700	9,000	(22,700)
Full Time Equivalent		11	15	21	6

PPA Mission Statement

The mission of the TWIC Program is to establish an integrated, credential-based, identity verification program through the use of biometric technology to grant workers unescorted access to secure areas within the nation's transportation system.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Salaries and Benefits	\$1,621	\$2,011	\$2,815	\$804

The increase provides for increased personnel costs and the conversion of contract resources to inherently governmental positions.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Travel	\$101	\$110	\$26	(\$84)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. Travel is necessary to conduct on-site reviews and meetings with maritime port operators and other TWIC program stakeholders. The decrease is a result of the completion of the initial surge in FY 2009, lower fee collections.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Transportation of Things	\$88	\$98	\$23	(\$75)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incidental to the transportation of things. The decrease is a result of the completion of the initial surge in FY 2009, lower fee collections.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Advisory and Assistance Services	\$66	\$85	\$20	(\$65)

Advisory and assistance services include services acquired by contract from non-Federal sources (that are private sector, foreign governments, State and local governments, tribes, etc) as well as from other units within the Federal Government. TSA uses these types of contracts to assist in the development and implementation of the TWIC program. The decrease is a result of the completion of the initial surge in FY 2009, lower fee collections.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Other Services	\$20,165	\$25,003	\$5,082	(\$19,921)

Other services include contractual services with non-Federal sources that are not otherwise classified under object class 25. Contracting services will include the adjudication of cases where individuals are denied a TWIC card. The decrease is because after the initial enrollment surge, contractor staffing levels will be greatly decreased and Government personnel will complete the majority of vetting and adjudication services.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Purchase from Government Accounts	\$526	\$680	\$160	(\$520)

Includes contracts with federal agencies for background check services including the FBI for fingerprint based checks and/or name based checks for these vetting programs. The decrease is a result of the completion of the initial surge in FY 2009, lower fee collections.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Operation & Maintenance of equipment	\$284	\$387	\$91	(\$296)

Supports the operation and maintenance of information technology systems used for the TWIC program. The decrease is a result of the completion of the initial surge in FY 2009, lower fee collections.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Supplies & materials	\$7	\$13	\$3	(\$10)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The decrease is a result of the completion of the initial surge in FY 2009, and lower fee collections.

	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Equipment	\$2,553	\$3,313	\$780	(\$2,533)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. These costs include equipment that will be purchased for the TWIC program outside of contracts for implementation and sustainment of the program. The decrease is a result of the completion of the initial surge in FY 2009, lower fee collections.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing
Hazardous Materials CDL (Fees)
Funding Schedule
(Dollars in Thousands)**

		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
PPA: Hazardous Materials CDL					
Object Classes:					
11.1	Perm Positions	\$1,516	\$1,632	\$1,632	\$0
11.5	Other per comp	64	70	70	0
12.1	Benefits	414	443	443	0
21.0	Travel	27	51	64	13
25.1	Advisory & Assistance Services	773	605	646	41
25.2	Other Services	6,607	9,894	9,703	(191)
25.3	Purchase from Govt. Accts.	1,500	0	0	0
25.7	Operation & maintenance of equipment	636	1,803	1,824	21
31.0	Equipment	127	502	618	116
Total, HazMat CDL		11,664	15,000	15,000	0
Full Time Equivalents		15	17	17	0

PPA Mission Statement

The mission of the HazMat Program is to support public safety by ensuring that all commercial drivers transporting hazardous materials are thoroughly checked against terrorist and criminal databases and receive the appropriate endorsement from DHS.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$1,994	\$2,145	\$2,145	\$0

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Travel	\$27	\$51	\$64	\$13

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. Travel is necessary to conduct on-site reviews and meetings with state and local stakeholders in the HazMat CDL program.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$773	\$605	\$646	\$41

Advisory and assistance services include services acquired by contract from non-Federal sources (that are private sector, foreign governments, State and local governments, tribes, etc) as well as from other units within the Federal Government. TSA uses these types of contracts to assist in the efficiency and effectiveness of the HazMat CDL program. The increase of \$41,000 is a result of increased advisory and assistance costs.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Other Services	\$6,607	\$9,894	\$9,703	(\$191)

Other services include contractual services with non-Federal sources that are not otherwise classified under object class 25. Contracting services are used extensively in the systems operation and case adjudication of the HazMat CDL program. The decrease of \$191,000 is a result of fewer contractual obligations.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$636	\$1,803	\$1,824	\$21

Supports the operation and maintenance of information technology systems used to process and store data on all HazMat CDL endorsement applications. The increase of \$21,000 is a result of increased O&M costs.

	2008	2009	2010	2009 - 2010
	Actual	Enacted	Request	Change
Equipment	\$127	\$502	\$618	\$116

This cost is for the purchase of equipment including: hardware and software, office machines, and communication devices needed to support the HazMat CDL program. The additional \$116,000 is due to increased equipment cost.

**Department of Homeland Security
Transportation Security Administration
Transportation Threat Assessment & Credentialing
Alien Flight (Appropriated & Fees)**

Funding Schedule

(Dollars in Thousands)

		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
PPA: Alien Flight					
Object Classes:					
11.1	Perm Positions	\$592	\$542	\$542	\$0
11.5	Other per comp	38	35	35	0
12.1	Benefits	188	176	176	0
21.0	Travel	2	6	6	0
25.2	Other Services	2,705	3,240	3,240	0
25.3	Purchase from Govt. Accts.	364	0	0	0
26.0	Supplies & materials	2	0	0	0
	Total, Alien Flight	3,891	4,000	4,000	0
	Full Time Equivalents	6	6	6	0

PPA Mission Statement

The mission of the Alien Flight Student Program is to help identify individuals deemed as potential terrorists or who pose a security threat to either aviation or national security. This program reviews and assesses biographic and biometric information of non-U.S. citizens and other individuals who seek flight training at FAA certified flight schools located both inside and outside the United States.

I. Changes in Full-Time Equivalents

**Department of Homeland Security
 Transportation Security Administration
 Transportation Threat Assessment and Credentialing
 Changes in Full-Time Equivalents**

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	140	140	201
INCREASES			
Increase #1:	0	0	13
Description: Other Vetting. Annualize FY 08 9/11 FTE			
Increase #2:	0	0	9
Description: Other Vetting. Annualization of FY 09 Program Increase			
Increase #3:	0	0	11
Description: Other Vetting. FY 10 Program Increase for Infrastructure			
Increase #4:	0	0	11
Description: Secure Flight. Annualization of FY 09 Program Increase			
Increase #5:	0	0	17
Description: FY 09 Conversion of contracting resources to inherently governmental positions			
Increase #6:			
Description: FY09 increases in Other Vetting, RT, TWIC and HAZMAT	0	61	0
Sub-Total Increases	0	61	61
DECREASES			
Decrease #1:	0	0	-12
Description: Registered Traveler Program - Pilot Program Complete			
Sub-Total Decreases	0	0	-12
Year-end Actual/Estimated FTEs	140	201	250
Net Change from prior year base to Budget Year Estimate:	0	61	49

¹ This table is adjusted to reflect only discretionary funding included in the FY 2009 RAD.

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity

Not applicable.

Department of Homeland Security

Transportation Security Administration

Transportation Security Support



Fiscal Year 2010

Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

TRANSPORTATION SECURITY ADMINISTRATION TRANSPORTATION SECURITY SUPPORT

I. Appropriation Overview

A. Mission Statement for Transportation Security Support:

The Transportation Security Administration is an agency of over 50,000 personnel, with approximately \$7.1 billion in budget authority, substantial regulatory and law enforcement authority, and a nationwide presence. The management and support of the organization is accomplished by a transportation security support staff in Washington, D.C. and five strategically located Mission Support Centers (MSCs). TSA has developed and will maintain a flat organizational structure that emphasizes front-line service delivery with well-trained managers who are supported by an array of services from Washington, D.C. The MSCs also provide support to field personnel within a specified geographical area.

B. Budget Activities:

Intelligence - The Office of Intelligence (INTEL) receives, assesses, and distributes intelligence information to support TSA's mission of securing the transportation system. INTEL also conducts strategic operational and tactical risk-based security planning. The Office utilizes the full suite of TSA intelligence capabilities.

HQ Administration - Headquarters Administration provides all aspects of the support infrastructure required to sustain TSA's nation-wide operations. These activities include serving as the central point on policy development, corporate training, performance management, facilities management, financial management, acquisition, protecting civil rights, managing the timely sharing, coordination, and protection of transportation security information, legal advice, internal conduct and audits, and providing a safe and healthful work environment for employees.

Human Capital Services - The Office of Human Capital Services (OHCS) includes all services that support the recruitment, assessment, servicing, and payroll of TSA's employees at headquarters, field, airports, and other locations. The Office maintains oversight of all human resources contractual activities, and provides advice and counsel to senior managers on personnel issues. In addition, OHCS administers mandated employee related programs such as, Employee Assistance Program, Drug Testing Program, and Employee Relations.

Information Technology - Information Technology provides the IT infrastructure and services to maintain connectivity, provide productivity tools, and support Headquarters and field corporate applications.

C. Budget Request Summary:

The Transportation Security Administration requests 1,493 positions, 1,397 FTE, and \$1,004,600,000 for Transportation Security Support in FY 2010.

The program increases include:

- Intelligence: 14 positions, 7 FTE, and \$1,500,000,
- Headquarters Administration: 17 positions, 9 FTE, and \$9,235,000,
- Human Capital Services: \$800,000, and
- Information Technology: \$17,115,000

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Transportation Security Administration
Transportation Security Support**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Intelligence	95	\$22,154	149	\$24,461	167	\$28,203	18	3,742	7	1,500	11	\$ 2,242
Headquarters Administration	1,252	288,210	922	234,870	888	248,929	(34)	14,059	9	9,235	(43)	4,824
Human Capital Services			177	218,105	193	226,338	16	8,233	---	800	16	\$ 7,433
Information Technology	---	180,592	135	472,799	149	501,110	14	28,311	---	17,115	14	11,196
Sensitive Security Info - Fee	---	---	---	---	---	20	---	20	---	---	---	20
Subtotal, Enacted Appropriations and Budget Estimates (Gross Discretionary)	1,347	\$490,956	1,383	\$950,235	1,397	\$1,004,600	14	54,365	16	28,650	(2)	\$ 25,715
Less: Adjustments for Other Funding Sources:												
Transportation Security Support Fees - Discretionary												
Sensitive Security Info - Fee	---	\$0	---	\$0	---	(\$20)	---	(\$20)	---	\$0	---	(\$20)
Less: Prior Year Rescission												
Net, Enacted Appropriations and Budget Estimates	1,347	\$490,956	1,383	\$950,235	1,397	\$1,004,580	14	\$54,345	16	28,650	(2)	\$25,695

III. Current Services Program Description by PPA

Department of Homeland Security
Transportation Security Support
Program Performance Justification
(Dollars in Thousands)

PPA: INTELLIGENCE

	Perm		
	Pos	FTE	Amount
2008 Actual	100	95	22,154
2009 Enacted	155	149	24,461
2010 Adjustments-to-Base	11	11	2,242
2010 Current Services	166	160	26,703
2010 Program Change	14	7	1,500
2010 Request	180	167	28,203
Total Change 2009-2010	25	18	3,742

The Transportation Security Administration requests \$28.2 million for the Intelligence program. The adjustments-to-base include 11 position and 11 FTE, \$184 thousand for pay annualization, \$284 thousand for pay inflation, \$142 thousand for annualization of 9/11 position, 11 positions, 11 FTE and \$1,632 thousand for realignments, and 14 positions, 7 FTE, and \$1.5 million to support enhanced intelligence activities.

CURRENT SERVICES PROGRAM DESCRIPTION

The Office of Intelligence (INTEL) is the intelligence organization for TSA. It provides an organic capability to review, synthesize, and analyze transportation specific intelligence. It is the only Federal intelligence entity focused solely on the transportation sector. INTEL coordinates closely and shares information with DHS Intelligence & Analysis (DHS-I&A), the Intelligence Community (IC), the intelligence sections of law enforcement agencies, and the transportation industry. To facilitate collaboration and provide rapid analysis and notification of threats, the office locates liaison officers at key IC and law enforcement agencies and Field Intelligence Officers (FIOs) at key transportation nodes.

INTEL is critical to TSA's overall risk-based security strategy. The products generated provide a threat framework to prioritize security resources. They are regularly used by the Federal Security Directors (FSDs), the transportation industry, and Federal Air Marshal Service (FAMS). It operates and maintains 24/7 intelligence capabilities at TSA Headquarters and the TSA Freedom Center to disseminate warnings and notifications of credible and immediate threats. INTEL assists in coordinating domestic and international civil aviation and other modal security intelligence activities with other government agencies.

In order to perform its mission, INTEL provides and maintains its Top Secret and Secret Collateral classified information technology infrastructures for interfacing via voice, video, and data with the IC, State & local law enforcement, field sites, and industry partners. One such system is the TSA Remote Access to Classified Enclaves (TRACE) solution which provides secure access to classified and unclassified threat information in a timely manner to multiple remote locations.

Significant accomplishments in FY 2008 include:

- Increasing the FIOs program was significant for INTEL and the Agency. These federal and contractor employees are working on the frontline providing the Federal Security Directors and the Transportation Security Officers with previously unavailable resources. The program grew from 6 FIO locations to 23 in FY 2008.
- Enhancing the INTEL Watch operations remains a priority for the TSA. Significant steps were taken to ensure professional support is provided to TSA Leadership and TSA stakeholders. One such step includes upgrading the level of support TSA has in the Watch by focusing its analysts on being “Hunters vs. Gathers” regarding threat information related to transportation. Supervisory INTEL staff received professional management training along with analytical writing for Watch staff.
- Creating a permanent Continuity of Operations (COOP) Special Compartmented Information Facility (SCIF) for the TSA is a priority. INTEL funded the facility construction and classified IT costs out of the existing budget to be co-located with DHS and TSA executive leadership. During COOP situations, this will provide ready access to classified information and communication between the Intelligence Community, DHS-I&A, and TSA leadership.

FY 2009 planned accomplishments include:

- Expand INTEL Watch Operations Support for the TSA Behavioral Detection Officers (BDO) program and Secure Flight for TSA HQ, Annapolis Junction (AJ) and Colorado Springs Operations Center (CSOC).
- Continue to strive to provide a robust and valued intelligence capability used to drive operations and enhance mission partnerships with the DHS Fusion Centers and support Intelligence Community integration.

FY 2010 planned accomplishments include:

- INTEL plans to increase the staffing level to allow for additional terrorist intelligence analytical support to the TSA field elements on a 24/7 basis. This increase in FTE will allow for greater capability and flexibility during crisis and recovery situations.

PPA: HEADQUARTERS ADMINISTRATION

	Perm Pos	FTE	Amount
2008 Actual	1,388	1,252	288,210
2009 Enacted	981	922	234,870
2010 Adjustments-to-Base	(45)	(43)	4,824
2010 Current Services	936	879	239,694
2010 Program Change	17	9	9,235
2010 Request	953	888	248,929
Total Change 2009-2010	(28)	(34)	14,059

The Transportation Security Administration requests \$248.9 million for this activity. The adjustments-to-base include \$1.3 million in pay annualization, \$1.9 million in pay inflation, \$2.4 million for annualization of 9/11 positions, \$4.7 million in adjustments, and reduction of 45 FTP, 43 FTE and \$5.5 million for realignments. Program increases include 15 FTP, 8 FTE, and \$7.7 million for background investigations, 2 FTP, 1 FTE, and \$1.3 million for DHS TRIP, and \$235 thousand for Bomb Appraisal Officer support.

CURRENT SERVICES PROGRAM DESCRIPTION

The following table provides the components that make up this PPA.

	FY 2010 (\$ in Millions)
Personnel	\$128.7
Leadership	4.2
Internal Management and Controls	57.2
Workforce Support	16.4
Facilities Management & Physical Security	33.2
Total	\$239.7

Headquarters Administration supports numerous functions required to provide leadership, management, and logistics support to TSA operations.

Personnel: \$128.7 million in personnel costs are included in this PPA for the offices of the Assistant Secretary and Deputy Assistant Secretary, Inspection, Chief Counsel, Finance and Administration, Legislative Affairs, Acquisition, Special Counselor, Security, and Strategic Communications and Public Affairs.

Leadership: \$4.2 million in operating expenses are provided to develop the policy and management architecture to guide overall activities, ensure compliance with laws and regulations, develop and monitor performance metrics, and manage external relationships with Congress, the Administration, other oversight entities, and private sector partners.

Internal Management and Controls: \$57.2 million in operating expenses support the day-to-day management of a \$7.2 billion budget and over 50,000 personnel. Offices overseeing internal management and controls include:

- Inspection -- Continuously conducts covert testing to identify vulnerabilities in the transportation security system. Testing consists of introducing inert improvised explosive devices in carry-on and checked baggage. During core enhanced testing, teams test access to the Aviation Operations Area and aircraft, Security Identification Display Area, and access through the perimeter. Inspection has increased its efforts to identify employees violating Worker's Compensation provisions by referring cases for prosecution, as appropriate. Additionally, Inspection is implementing proactive initiatives to deter and prevent baggage theft and loss claims at airports throughout the country.
- Acquisition -- Provides TSA with subject matter expertise in the areas of acquisition, procurement and contracting, field office acquisition guidance, grants management, requirements development, and program management.
- Chief Financial Officer (CFO) -- Obtains the necessary resources to support TSA's critical mission and ensure the resources are used efficiently by providing effectual financial systems and robust internal controls over funds. Provide planning guidance to align TSA budget with DHS goals and objectives.
- Chief Administrative Officer (CAO) -- Reduces operational and financial risk by ensuring control of all sensitive and capitalized assets. This is an on-going initiative which provides policy, guidance, training, inventory support, information management, and compliance reporting.
- Chief Counsel -- Responsible for the delivery of legal services to all TSA mission areas, components, and staff, covering all substantive legal areas applicable to TSA. These include a comprehensive and inclusive array of services from legal and policy development, assistance in implementation of TSA authority, responsibility and advice, representation and advocacy, to decision making.
- Security -- Oversees and administers the agency-wide physical, personnel, and internal security policies and procedures, thereby ensuring a safe and secure workplace for its employees, and effectively determining the pre-employment suitability of all TSA personnel, to include contractors.

Significant accomplishments in FY 2008 include:

- Inspection -- Conducted a significant number of inspections/tests, including:
 - 2,550 covert tests at airports; tests included core-enhanced tests, focused tests, and field tests of new advanced technology equipment, other transportation mode tests, and initiated extensive cargo testing;
 - 140 airport inspections to measure and evaluate efficiency and effectiveness of all operations and adherence to polices;
 - Seven inspections of Federal Air Marshal Service (FAMS) field offices and eight inspections of FAMS Headquarters office to evaluate operational program, procedures, and policies;
 - Risk assessments of TSA operations and executed 12 internal reviews to address potential weaknesses; and
 - Reviews of Workers' Compensation payments and claims agency-wide to identify fraud and/or employees eligible to return on duty.

- Acquisition -- Strengthened contract administration by:
 - Emphasizing oversight of the (Contracting Officer Technical Representative (COTR)) program;
 - Improved OMB Exhibit 300 submissions and ensured weaknesses were addressed, and enhanced quality assurance and contract oversight;
 - Implemented the recommendations of the Lean Six Sigma study to improve the procurement process -- Procurement Request Package Process and Proposal Evaluation Process; and
 - Formalized TSA's requirements process, which included drafting procedures, issuing policies, and provided guidance to vet, stabilize, and review mission needs and capabilities; implemented a successful transition from TSA's Acquisition Management System to the Federal Acquisition Regulation (FAR), that included training, communication, policy and guidance.
- Chief Administrative Officer --
 - Issued policies and guidance on inventory controls ensured accountability of TSA's sensitive capitalized property;
 - Undertook methods to further ensure a low loss, damaged, and destroyed property rate; and
 - Conducted approximately 150 inventory site visits.
- Chief Financial Officer --
 - Developed, presented, and defended TSA's annual budget requests (FY 2009/FY 2010) in meetings with the Department, the Office of Management and Budget (OMB), and Congress resulting in a budget of more than \$7.2 billion; and
 - Continued efforts to ensure a TSA-wide culture of fiscal and performance responsibility and accountability and to achieve an unqualified opinion on the FY 2008 balance sheet. These initiatives included: strengthening fiscal policies and procedures across TSA, providing financial training and tools for the TSA workforce, enhancing the management control program and testing of internal controls, and improving the quality and integrity of financial data.
- Chief Counsel --
 - Finalized regulations for Secure Flight, rail security, large aircraft and air cargo; completed Memorandum Of Understanding (MOU) with Merit System Protection Board (MSPB) with regard to whistleblower rights for TSOs;
 - Provided legal support for Checkpoint Evolution Initiative, which included new technology and passenger identification issues; provided cutting edge legal support for VIPR Program; provided legal advice and guidance to Acquisition prior to transition to Federal Acquisition Regulations (FAR); and
 - Transitioned one of two HQ organizational elements to E-Performance; provided substantive and technical assistance in drafting the 9/11 implementation bill (PL 110-53); and conducted legal review and influenced key changes to the European Union's aviation security system.
- Security --
 - Ensured a safe and secure workplace for TSA's employees by administering the physical, personnel, and internal security polices and procedures; and
 - Evaluated the pre-employment suitability of all TSA personnel and contractors.

FY 2009 planned accomplishments include:

- Inspection --
 - Increase number of team leads to increase covert tests at airports;
 - Conduct field tests of new advanced technology equipment, other transportation modes, 50 cargo tests, and 40 airport inspections; and
 - Pilot TSA HQ inspections, conduct risk assessments of TSA operations and execute 20 internal reviews, and reviews of Workers' Compensation.
- Acquisition --
 - Continue development of Acquisition workforce through the implementation of recruitment, retention and employee development plans, participation in the DHS Acquisition Professional Program, and implementation of a Program Manager Simulated "Boot Camp" Training program;
 - Continue process improvements identified through Lean Six Sigma efforts, formalize TSA Test & Evaluation (T&E) policy to include requirements for a program Test and Evaluation Master Plan (TEMP) and implement systematic reviews of test results as part of the Investment Review Board (IRB) process;
 - Implement a comprehensive contract policy plan and conduct oversight to ensure understanding and compliance with the revised policies and rules of the FAR; and
 - Initiate strategic sourcing efforts, including the development of a comprehensive plan for enterprise-wide requirements.
- Chief Administrative Officer --
 - Complete and reconcile the annual inventory of all capitalized and sensitive property (to include IT assets) with a loss, damage, or destruction (LDD) ratio of less than two percent and implement the corrective action plan for Property and Equipment Accounting;
 - Conduct approximately 200 inventory site visits;
 - Further utilize asset management control program to include software revision, administratively controlled property module, and more effective tracking of the local movement of TSA property; and
 - Enhance acquisition planning by improving program office outreach, using excess property as first source of supply, and improving accountability of new property by reviewing acquisition data.
- Chief Financial Officer --
 - Develop, present, and defend TSA's annual (FY 2010/FY2011) budget request in meetings with the Department, OMB, and Congress;
 - Continue efforts to provide planning and performance guidance, financial data, guidance, tools, and skills to TSA's workforce and decision makers to ensure financial integrity and accountability and performance reporting; and
 - Reduce material weaknesses and achieve an unqualified (clean) audit opinion on the FY 2009 Financial Statement.
- Chief Counsel --
 - Issue Regulations/rulemaking and provide legal support on Evolution of Security;
 - Provide legal support to implementation of 9/11 Bill (PL 110-53);
 - Provide legal advice and guidance to TSA clients on the following issues: transition to the FAR, transition to e-Performance and stratified rating system, transition of administration; and ensure Office of Global Strategies program execution; and

- Continue to provide aggressive litigation support to the agency before federal courts, Equal Employment Opportunity Commission (EEOC) and the Merit System Protection Board (MSPB).
- Security --
 - Continue to provide security services with additional improvements anticipated in background investigation cycle time and through the implementation of new security technologies aimed at reducing the risk of unauthorized access to airports and other TSA facilities.

FY 2010 Planned Accomplishments:

- Inspection --
 - Increase number of Team Leads and continue to conduct covert tests at airports and expand cargo testing by 50 percent;
 - Conduct 140 airport inspections to measure and evaluate the efficiency and effectiveness of all operations and adherence to policies;
 - Increase TSA HQ inspections and conduct risk assessments of TSA operations and execute 20 internal reviews to address potential weaknesses; and
 - Conduct reviews of Workers' Compensation payments and claims agency-wide.
- Acquisition --
 - Continue to participate in the DHS Acquisition Professional Career Program;
 - Strengthen contract oversight, including consistent file and process reviews of the end-to-end procurement process; and
 - Formulate TSA Acquisition Logistics guidance and policy, develop documentation requirements for the Integrated Logistics Support Plan, and implement the strategic sourcing plan.
- Chief Administrative Officer --
 - Complete and reconcile the annual inventory of all capitalized and sensitive property (to include IT assets);
 - Continue the corrective action plan for Property and Equipment Accounting; and
 - Implement Radio Frequency Identification (RFID) technology at HQ to identify, track, and protect capitalized and sensitive equipment.
- Chief Financial Officer --
 - Continue to present and obtain critical resources to support TSA's mission;
 - Ensure that improvements put into place over the past three years are firmly integrated into the day-to-day business processes throughout TSA by continuing testing of management controls, providing on-going training, and expanding financial reporting to provide enhanced analytical capabilities; and
 - Continue to sustain an unqualified (clean) audit opinion on the FY 2010 Financial Statements.
- Chief Counsel --
 - Provide substantive and technical legislative drafting assistance and advice to TSA leadership on hearings;
 - Provide strategic leadership to TSA on acquisitions, financial and other business related decisions key to fulfilling the Administration's priorities and congressional mandates;
 - Provide regulations/rulemaking on all aspects of transportation security; provide legal guidance to global transportation security laws and procedures; and
 - Continue to provide aggressive litigation support to the agency before federal courts, EEOC and MSPB.

- Security -- The FY 2010 request includes an additional \$7.7 million and 15 FTP/8 FTE for the processing of background investigations. Additional positions are urgently required to keep pace with agency hiring demands and to ensure the efficient and timely adjudication and investigation process mandated by the Intelligence Reform and Terrorism Prevention Act of 2004. The additional funding will allow Security to:
 - Conduct re-investigations of approximately 26,000 current employees who have been employed at TSA for at least five years and require periodic background re-investigations. TSA will re-investigate these employees through a three-year phased approach, the first year of which is anticipated to begin in FY 2010.
 - Reduce the processing time for the background investigation and thus, quicken the pace of the hiring process, clear re-investigation backlogs, and strengthen security through more thorough Minimum Background Investigations.

Workforce Support: \$16.4 million in operating expenses supports all aspects of sustaining approximately 50,000 employees and ensuring an excellent working climate and a safe and healthful environment while performing TSA's mission. In addition, these programs ensure fair and lawful treatment of employees and the public. Offices that provide workforce support include:

- Special Counselor (Civil Rights and Civil Liberties (CRCL), Ombudsman, Executive Secretariat, Sensitive Security Information Office (SSI), and Transportation Security Redress):
 - CRCL provides Equal Employment Opportunity education, complaint investigation and adjudication, and alternate dispute resolution;
 - Ombudsman provides neutral and confidential problem resolution services to employees and the public for issues involving TSA;
 - Executive Secretariat manages the preparation and coordination of TSA responses to DHS correspondence, requests for briefing materials for the Secretary and Deputy Secretary; congressional Questions for the Record, Reports to Congress, and responds to correspondence from Congress, security partners, and citizens. The Executive Secretariat also operates the TSA Contact Center (TCC) which responds to traveler inquiries and is the central point of contact for all non-media public inquiries and complaints;
 - Transportation Security Redress provides a forum for individuals identified as a threat or a potential threat to transportation security to appeal; and
 - SSI ensures that TSA complies with all laws and regulations regarding the recognition, identification, and safeguard of SSI.
- Chief Administrative Officer (Occupational Safety and Health (OSH), HQ Fleet Management, HQ Transit Benefits, and Information Management Programs):
 - OSH works to bring facilities into compliance, provide a safe and healthful working environment and reduce injuries and illness;
 - Fleet Management provides operational support by acquiring vehicles and fleet management services as well as administering the HQ parking and Executive transportation program;
 - Transit Benefits Program ensures that employees receive transit benefits; and
 - Information Management Programs provides for the economical and efficient management and release of official agency records, management directives, and official forms.

Significant accomplishments in FY 2008 include:

- Special Counselor --
 - Provided diversity training to the Senior Leadership Team and officials from TSA's Headquarters and field offices;
 - Expanded EEO outreach to Historically Black Colleges and Universities, Tribal Colleges and Universities, Hispanic Service Institutions, and other educational institutions;
 - Improved responsiveness to the traveling public redress inquiries;
 - Provided assistance to nearly 3,000 TSA employees needing confidential, informal, and neutral workplace problem resolution assistance, responding to 96 percent of initial employee calls within 24 hours;
 - Managed approximately 7,000 official agency documents and more than 940,000 contacts from the public;
 - Enhanced current TSA-wide SSI Awareness campaign to improve SSI identification, safeguarding, and sharing through training and SSI policies and procedures awareness and education programs; and
 - Developed Office of Audit Liaison Management Directive in line with DHS guidelines to streamline the process for delivering requested documents to GAO within 20 days as mandated by Congress.
- Chief Administrative Officer --
 - Opened the Health Unit at Headquarters to provide efficient and effective guidance on TSA-wide occupational health issues;
 - Enhanced the Safety Information System to include FAMS safety information and TSA/FAMS Workers' Compensation management processes;
 - Completed the formal occupational safety and health inspections of all TSA airport operational and administrative facilities;
 - Developed and hosted the TSA Collateral Duty Safety Officer (CDSO) in-service safety training workshop;
 - Continued efforts to increase percentage of alternative fuel vehicles and related fuel utilization to meet and exceed operational requirements; and
 - Initiated deployment of automated pay system for parking services; and
 - Piloted records management "tagging" effort in advance of electronic records management system (eRMS) implementation.

FY 2009 planned accomplishments include:

- Special Counselor --
 - Develop and refine information sharing methods and responsiveness to ensure that programs tracking passengers are consistent with civil rights laws and policies;
 - Hold an organization-wide Diversity Day to bring institutional focus to this important initiative and to help clarify and demonstrate the meaning of diversity at TSA;
 - Host quarterly nationwide employee conference calls to collect anonymous feedback on systemic workplace issues and report the results to TSA management;
 - Continue to streamline the process for delivering requested documents to GAO in a timely manner; and

- Continue current TSA-wide SSI Awareness campaign through improved guidance, targeted site visits, and an expanded training conference and implement the Controlled Unclassified Information (CUI) framework in conjunction with SSI.
- Chief Administrative Officer --
 - Meet the requirements of the Safety, Health and Return to Employment (SHARE) initiative by reducing the total injury case rates and lost time case rates by three percent, increase the timely filing of claims by five percent, and reduce the rate of lost production days due to injury by one percent;
 - Conduct the CDSO Occupational Safety and Health (OSHA) 6000 course tailored to TSA operational environments;
 - Complete the hazard analysis and baseline industrial hygiene surveys of all TSA airport operational and administrative environments;
 - Fully implement automated pay system for parking services;
 - Finalize the TSA eRMS pilot and begin deployment of the system; and
 - Continue to increase percentage of alternative fuel vehicles and related fuel utilization.

FY 2010 Planned Accomplishments:

- Special Counselor --
 - Further develop its Persons with Disability (PWD) and multi-cultural program to assist TSA in understanding the needs and concerns of a variety of cultures and groups when developing security screening processes and deploying emerging technologies;
 - Develop and implement training to raise employee awareness of workplace bullying;
 - Expand TSA's SSI education and awareness program and continue Controlled Unclassified Information (CUI) implementation; and
 - FY 2010 request includes 2 FTP, 1 FTE and \$1.3 million for DHS TRIP to enhance the hosting center support and the Redress Case Management System operation to provide a uniform and consistent one-stop DHS-wide process for handling redress issues and complaints.
- Chief Administrative Officer --
 - Expand the TSA Health Unit program and services as part of a pilot program to two regional areas (central and western);
 - Expand Safety Information System utilization to all TSA program offices;
 - Continue to increase the percentage of alternative fuel vehicles and related fuel utilization; and
 - Fully deploy the eRMS.

Facilities Management and Physical Security -- \$33.2 million is necessary for operating expenses managed by the Chief Administrative Officer including facility and management support for HQ, the Freedom Center, the Franconia Warehouse, and the Mission Support Centers (MSCs). The Franconia warehouse is used to stage TSA equipment prior to deployment, store special purpose consumables, and temporary storage of property and equipment during construction projects. The MSCs are the central field service support mechanism for TSA across transportation modes. They provide TSA field personnel with support within designated areas, located in San Francisco, CA; Atlanta, GA; Dearborn, MI; Philadelphia, PA; and Coppel, TX.

Significant accomplishments in FY 2008 included

- The continued co-location of TSA with the Federal Protective Services/Immigration and Custom Enforcement personnel at the Philadelphia MSC,
- Initiated the Transportation Systems Integration Facility project at DCA; and
- Started the design of the 12,500 square feet of un-built space at the Freedom Center in Herndon, VA.

FY 2009 planned accomplishments include the installation of energy saving lighting sensors and support furniture modification requests at TSA Headquarters in Arlington, VA.

FY 2010 planned accomplishments include continued support for tenant activity and mission critical requirements.

PPA: HUMAN CAPITAL SERVICES

	Perm Pos	FTE	Amount
2008 Actual	206,021
2009 Enacted	188	177	218,105
2010 Adjustments-to-Base	17	16	7,433
2010 Current Services	205	193	225,538
2010 Program Change	800
2010 Request	205	193	226,338
Total Change 2009-2010	17	16	8,233

Note: FY 2009 and FY 2010 reflect the consolidation of funds into the Human Capital Services PPA from the Headquarters Administration PPA and Human Resources Services PPA in Aviation Security.

The Transportation Security Administration requests \$226.3 million for Human Resources (HR) services for Headquarters and field offices. The adjustments-to-base include 17 FTP, 16 FTE, \$351 thousand for pay annualization, \$540 thousand for pay inflation, and \$6,542 thousand in realignments. Increases include \$800 thousand to support the Bomb Appraisal Officers.

CURRENT SERVICES PROGRAM DESCRIPTION

The following table provides the components that make up this PPA.

	FY 2010 (\$ in millions)
Personnel	\$39.0
HR Services and Administration	54.9
Recruitment and Assessment	96.5
Other HR Services	23.4
Leadership Training & Development	11.7
Total	\$225.5

The Office of Human Capital Services (OHCS) maintains oversight of all human resources contractual activities, develops policies, guidance and programs that are used to identify and promote the best and most efficient HR practices allowing TSA to establish and administer programs necessary to create and sustain a diverse and highly skilled workforce.

Personnel: \$39.0 million in personnel costs are included in this PPA to support all HR activities at headquarters.

Human Resources (HR) Services and Administration: The request includes \$54.9 million to provide HR Services to employees in the field and Headquarters. OHCS provides HR Services including recent and archived communications, comprehensive HR orientation for new field and Headquarters employees, and frequently asked questions about HR Services and how they can be used to best meet required human resources needs. Specific activities include: perform general human resource administration, recruit qualified applicants, extend employment offers and mail notification letters to new hires, maintain Official Personnel Folders (OPFs) and electronic Official Personnel Folders (eOPFs), process all employee actions, provide orientation to new employees, and perform time and attendance/payroll administration.

In FY 2008, OHCS eliminated the payroll error correction backlog while building a repeatable business process related to payroll that enables OHCS to perform manual corrections in a timely manner. OHCS improved business rules related to personnel action processing and reduced the cycle time to process a personnel action to six business days. The office also increased the use of performance metrics through the use of two major operational dashboards that highlight timeliness, accuracy, and aging of actions. The dashboards provide the end-to-end view of payroll and personnel processing operations.

Significant Accomplishments in FY 2008 include:

- Eliminated 40,000 leave errors;
- Developed and implemented enhancements to the electronic Standard Form 52 (eSF52) Tool which provides guidance to HR representatives to complete the form quickly and accurately;
- Processed on average 1,200 new employees per month;
- Designed and delivered training to field HR specialists;
- Processed an average of 4,000 personnel transactions per month;
- Processed an average of 4,000 benefit transactions per month; and
- Increased paperwork compliance to 98 percent by implementing an electronic orientation system which allows candidates to receive instruction on Federal benefits and complete the required forms electronically.

Recruitment and Assessment: The request includes \$96.5 million for the recruitment, assessment and servicing of TSA's Transportation Security Officers (TSOs) and other workforce at headquarters, field locations, and airports to ensure a qualified workforce is available to meet security requirements. The largest component of the workforce is the TSOs and local hiring practices support their recruitment and retention through the following:

- Computer Based Testing (CBT) (\$80/applicant);
- Medical exams/drug tests (\$550/test);
- HR specialists available to assist airports with local hiring assessments;
- Localized on-the-ground recruiters to attract TSO candidates;
- Airport local hiring help desk to answer airport questions and assist in resolving issues and problems;
- Recruitment Center availability for TSO applicants and candidates to contact for important information;
- Deployment and availability to all airports of a local hiring "Dashboard" to assist airports with candidate management;
- Management and maintenance of data systems and repositories to track and manage nationwide TSO candidate information (forms and fingerprints); and
- Local hiring training for airport staff in select locations.

Significant Accomplishments in FY 2008 include:

The move from centralized hiring of TSOs to decentralized localized hiring has created the efficiencies that enable base adjustments. Below are examples of these efficiencies:

- Placed hiring under complete airport control:
 - FSDs/staff now have ability to direct the entire process from Vacancy Announcement to Enter-on-Duty (EOD);
- Expanded hiring capacity (ability to hire at more airports at the same time):
 - Before: Hiring TSOs at 20 – 30 airports per pay period;
 - Now: Hiring TSOs at 70 – 100 airports per pay period, with capacity to hire at all airports simultaneously;
- Increased throughput (ability to hire more TSOs at the same time):
 - Before: 180 new hires per pay period;
 - Now: Demonstrated capacity for 1000+ new hires per pay period;
- Improved hiring cost efficiency:
 - Transitioned to fingerprint scan by American Association of Airport Executives;
 - Worked with the Office of Personnel Management to provide staff support;
- Implemented electronic New Hire Orientation, which allows candidates to receive instruction on Federal benefits and complete required forms for on-boarding prior to EOD. This enhancement has:
 - Reduced the cost of delivering required New Hire Orientation content, and
 - Improved the New Hire Orientation experience for new hires and airports.

Integrated Hiring Operations and Personnel (IHOP) Program: The IHOP Program is acquiring Federal HR services from a service provider with expertise and demonstrated experience in the areas of Federal Human Capital management, program management, business and financial management, and systems and process integration. The full range of HR operations can now be performed seamlessly in an end-to-end process supporting the entire life cycle of the TSA employee.

Through the IHOP Program, TSA aims to improve contract management and reduce administrative overhead by consolidating the three previously outsourced contracts into a single contract. Through contract consolidation, TSA expects to achieve financial and performance efficiencies that were previously difficult to realize. Additionally, TSA expects to improve contractor performance, customer service, and implement more innovative approaches in the delivery of human resource services. To assess the performance of the vendor, OHCS developed the IHOP Program Management Plans which include a Performance Evaluation Plan, Quality Assurance and Surveillance Plan, Risk Management Plan, Change Management Plan, and Communications Plan. In addition, OHCS developed knowledge transfer documentation including Current State Process Maps, Knowledge Transfer Catalogues, and Operational Context Summaries for all Human Capital functional areas to provide baseline of information to the IHOP vendor.

FY 2009 planned accomplishments include:

- Complete transition of services to the IHOP vendor;
- Identify Full Operational Metrics to evaluate the IHOP vendor performance as related to delivery of services and costs under the IHOP contract and establish baselines for each. Specific metrics include:
 - Rate of TSO hiring actions that are processed in compliance with Federal law and TSA business rules;
 - Rate of Management, Administrative and Professional competitive and non-competitive hiring actions that are processed within TSA established business rules;

- Rate of TSES certified applicants that meet the 90 day OPM deadline from date of application to date of certification;
 - Rate of personnel transactions processed according to Federal Regulations and Guidelines;
 - Rate of Helpdesk first call resolutions;
 - Annual cost of human resource services; and
 - Rate of overall customer satisfaction.
- In FY 2010, OHCS will review the service levels being delivered and the methodologies, tools, and staffing levels being employed by the IHOP vendor with the objective of identifying further opportunities for improvements in order to realize even greater program efficiencies and effectiveness.

Other Human Capital Services: The \$23.4 million is requested for benefits, mandatory programs, employee relations, and management of the Worker's Compensation program. The benefits include the Employee Assistance Program, LifeCare, flu vaccinations, and retirement assistance. Mandatory programs include drug and alcohol testing and Unemployment Compensation.

The Workers' Compensation Program oversees the Workers' Compensation chargeback from the Department of Labor and the Nurse Case Management Program. The Program established the Periodic Roll Initiative (PRI) in April 2007. The initiative is a joint effort with the Nurse Case Management team where all of the long term disability (Periodic Roll) cases are examined for opportunities to return employees back to work when medically feasible.

FY 2008 accomplishments include:

- Reviewed and assessed the remaining 690 period roll cases. Each case was reviewed to determine, 1) if the employee is able to return to duty (full or limited), the case was medically resolved; or 2) the case required continued monitoring due to long term disability; and
- Resolved a total of 476 periodic roll claims, as of March 31, 2008, which represents 49 percent of the original claims noted at the beginning of this initiative. The projected annual salary savings equates to \$14.3 million, offset by increases in the federal salaries and the cost of medical care.

FY 2009 planned accomplishments include:

- Continue focused efforts to clear periodic roll cases while addressing new injury claims through medical management within the Nurse Case Management Program protocol.

In FY 2010, OHCS will continue to review and assess any remaining periodic roll cases and all newly added periodic roll cases.

Leadership Training and Development Program: \$11.7 million is requested for training and development of Headquarters and Field staff. OHCS works closely with TSA leadership to develop and administer programs to prepare for the future leadership needs of TSA by identifying current and future senior leadership requirements, preparing a pipeline of talented and motivated leaders at all levels who will be ready to take on new challenges and identifying the best external sources of recruitment when internal sources are insufficient to meet critical needs.

All TSA employees benefit from better-prepared, better-trained leaders who ensure that TSA accomplishes its important mission and advances the goal of becoming a highly effective and agile organization, and an employer of choice. The Succession Plan provides the opportunity for current leaders to make an investment in the development of future leaders and in the long-term success of TSA.

Professional development training provides mission-related training that is either beneficial for an employee in his/her current job or for professional development that will increase the employee's ability to contribute to TSA's mission in another capacity.

FY 2008 accomplishments include:

- Completed all development activities for over 40 participants in the first Senior Leadership Development Program (SLDP1) and launched action learning as a leadership development tool for TSA. KEY SLDP1 METRICS: About half of SLDP1 participants have been promoted, many into target jobs, validating the succession value of the program.
- Conducted orientation and began development activities for 59 new SLDP2 participants;
- Launched SLDP3 as a formal TSES Candidate Development Program with 22 participants; AND
- Tested, piloted, and delivered two new courses for managers: *Leading from the Middle* and *Transition to Security Manager*, to provide managers with the concepts, tools and best practices for leading both people and operations more effectively.

FY 2009 planned accomplishments include:

- Implementation of a revised Mid-Level Development Program with defined program components, and accomplishment of needs assessment for purposes of program right-sizing and development of new learning tools;
- Completion of all program development activities for SLDP 2 and most activities for SLDP 3;
- Development of needs analysis and proposal for a new Executive Leadership Development Course (working title: *Strategic Leadership*); and
- Initial selection and development of participants for the TSA Career Resident Program and planning for possible nationwide rollout in FY 2010.

FY 2010 planned accomplishments include:

- Develop and test new learning tools for aspiring mid-level managers with new class Mid-Level Leadership Development Program (MLDP) participants;
- Begin evaluation and redesign analysis for *Transition to Security Manager* and *Leading from the Middle*;
- Launch *Strategic Leadership* for executive and other senior positions;
- Launch new phases of the SLDP and MLDP;
- Update succession plan, including identification/validation of critical positions, projection of near-term turnover, project ratio of internal to external selection, and evaluation of internal bench strength and external sources;
- Conduct national rollout of revised TSA Career Resident Program; and
- Establish a baseline for evaluating the training program;

- Offer at least 3,000 seats of cutting edge, synchronous e-learning to first line supervisors on supervisory topics such as leave, medical; FMLA; and charges and specifications;
- Develop and pilot test *Essential Leadership Skills for Lead Transportation Security Officers*. This development effort will include two course topics tentatively identified as:
 - *Supervisory Survival Skills Training*, and,
 - *Aspiring Leaders Training*;
- Complete construction and deploy a comprehensive e-learning and video production facility to facilitate training and communication originating with the Office of Human Capital Services.

PPA: INFORMATION TECHNOLOGY SUPPORT

	Perm Pos	FTE	Amount
2008 Actual	180,592
2009 Enacted	141	135	472,799
2010 Adjustments-to-Base	14	14	11,196
2010 Current Services	155	149	483,995
2010 Program Change	17,115
2010 President's Budget	155	149	501,110
Total Change 2009-2010	14	14	28,311

Note: FY 2009 and FY 2010 reflect the consolidation of IT funds from the Headquarters Administration and the Airport Management IT and Support PPAs.

The Transportation Security Administration requests \$501.1 million to support information technology (IT) for headquarters and field offices. This is an increase of \$28.3 million over FY 2009. Total adjustments-to-base of \$11.2 million consist of \$10.5 million to support TSA’s Electronic Time and Attendance System (eTAS), \$2.6 million for the DHS Working Capital Fund, \$208 thousand for pay annualization, \$320 thousand for pay COLA, and -\$2.5 million in realignments. Additionally, the adjustments-to-base include 14 FTP and 14 FTE. The 2010 program change of \$17.1 million includes \$11.4 million for DHS Data Center Migration, \$5.0 million for Whisper Communications, \$565 thousand for IT activities related to the expansion of TSA’s Bomb Appraisal Officer program, and \$150 thousand for 9/11 annualization.

DHS Data Center Migration

FY 2010 data center consolidation funding will be used to continue ongoing system and application migration to the two existing DHS Enterprise Data Centers. The Data Center consolidation efforts will standardize IT resource acquisitions across components, streamline maintenance and support contracts, resulting in an enhanced DHS IT security posture, improved information sharing with stakeholders, and increased operational efficiencies over time.

CURRENT SERVICES PROGRAM DESCRIPTION

The following table provides the components of the PPA’s Current Services.

(dollars in millions)

	FY 2010
Core Information Technology Program	385.3
Personnel/Financial Management Systems	72.2
e-Government Operating Platform	2.5
IT Personnel	23.9
Total	483.9

Core Information Technology (IT) Program: A total of \$385.3 million supports the core IT program and telecommunications infrastructure for all of the TSA managed enterprise-wide IT services that assist in accomplishing TSA mission responsibilities. The fundamental IT capability has been supported through an information technology managed service (ITMS) contract since the inception of TSA. The managed services model offers the prospect of long-term cost efficiencies and the provision of state-of-the-art technologies for services and equipment.

FY 2008 significant accomplishments include:

- Award of contract for data center migration efforts aligned to DHS IT objectives;
- Transition and award of IT managed service contract to DHS Eagle Contract vendor;
- Score of 100 percent on the Federal Information Security Management Act (FISMA) security scorecard score for IT systems; and
- Migration of existing Security Operations Center (SOC) and SOC services to DHS Eagle Contract vendor.

FY 2009 planned accomplishments include:

- Starting the initial transition of all TSA data circuits to the GSA Networx Contract;
- Maintaining a balanced score card for Federal Information Security Management Act;
- Performing an in depth review of all systems security plans (SSP) to ensure compliance with all OMB mandates and FISMA; and
- Performing Information Systems Security Audits of 10 percent of TSA systems and Technical Vulnerability Audits of twelve Category X and I airports to maintain FISMA compliance.

TSA has FY 2010 planned objectives to support and enhance the current IT environment. TSA has evaluated its network, infrastructure, IT security, information sharing, applications development, and engineering support requirements to align existing capabilities with DHS strategic objectives. To accomplish this goal, TSA has aligned the managed service model with the existing DHS EAGLE contract to further improve mission support. The alignment will help deliver enhanced business-focused IT services and a more robust telecommunications infrastructure for all TSA employees. The funding will also assist TSA in developing an IT environment which promotes collaboration throughout TSA and the DHS component agencies. Enhancements to the IT environment include:

- Segmented refresh of network and infrastructure equipment;
- Optimizing the TSA application hosting environments; and
- Consolidation and redesign of network backbone.

The TSA IT infrastructure supports the technology assets of airport, headquarters, and TSA Freedom Center personnel. The user equipment requires a large wide area network to support the information needs of the TSA population. TSA will provide support for the large user base through robust IT engineering efforts, infrastructure operations, and enterprise application services. Resources are allocated for ongoing operations and maintenance for the TSA data centers, operation centers, failover resources, applications, operating platform management, database management, application systems, system performance monitoring, and configuration management. Support includes:

- National Help Desk; including software, licensing and software distribution support,
- Headquarters and Airport IT support,

- Security Incident Response,
- Checked baggage and passenger screening data,
- Performance management data analysis,
- Equipment maintenance and legacy systems support,
- Infrastructure Transformation - TSA participation in DHS One Infrastructure, and
- Technical architecture compliance and enterprise architecture-related support.

Additional funding in FY 2010 for Whisper Communications will support the purchase and deployment of approximately 700 secure multi-channel land mobile radios at checkpoints at Category X airports which serve 80 percent of the traveling public. The use of whisper communications will improve efficiency of operations, enhance current communications, and expedite the screening of passengers.

A primary objective for TSA is to provide limited failover capabilities in the event that IT systems at the primary Data Center, HQ server facility, or the Freedom Center server facility are lost or become inoperable for an extended period of time.

Federal Information Security Management Act (FISMA) compliance is a main objective of the TSA IT community. IT security will allocate resources to perform audit and assessment reviews to test the compliance of IT systems, including the physical review of sites that house TSA's IT systems. TSA IT security enhancements will allow the agency to continue to maintain full FISMA compliance. Certification and accreditation (C&A) management will develop, implement and enhance the continuous monitoring phase of the IT Security Life Cycle.

The growing needs of the TSA communication security (COMSEC) user base requires TSA to continually enhance secure communications to stakeholders and help desk capability. The service area includes the continued modernization of secure communication units as well as infrastructure protection which includes but is not limited to:

- Firewalls,
- Intrusion detection and prevention,
- Antivirus,
- Content monitoring, and
- Managed Security Services.

The Electronic Time and Attendance System (eTAS) project will streamline and automate the process currently utilized to support collection and data input of timecards and collection of performance metrics for the airport support staff. Current processes and available automation are legacy based, which make the continuance of the same functionality ineffective and cost prohibitive. This effort endeavors to eliminate paperwork, provide cost accounting, and provide management with the tools and resources needed to effectively evaluate cost alternatives with respect to FTE management and technological developments. In FY 2010, TSA will continue operations and maintenance of systems and leverage connectivity to expand automated processes.

The IT core program provides focused and efficient management practices and support services while seeking the achievement of contract results, not contract compliance, in meeting the IT mission solutions needs of TSA. In addition, the IT training program provides staff the necessary resources to improve the alignment of requirements in TSA business portfolios in support of the Agency mission.

Personnel/Financial Management Systems: This activity funds \$72.2 million of interagency agreements with Coast Guard and the U.S. Department of Agriculture for the use of their financial management, personnel, and payroll systems. This also funds reimbursements to the Department of Homeland Security for the costs of the Working Capital Fund, related to operational information management support functions.

e-Government Operating Platform (e-Gov OP): e-Gov OP is a \$2.5 million platform and analytical “toolbox” that facilitates the reporting and analysis of key performance data to support enterprise-wide performance reporting. This capability is enabled through a Microstrategy Business Intelligence application which processes data from multiple databases that is exposed through an information sharing environment supported by IT. This supports ad hoc and standard reports which can be automated and pushed to recipients. The TSA Monthly Objective Report and the Daily Service Performance & Safety Report are examples of key reports supported by this capability and are key elements in TSA’s performance management system.

IT Personnel: This PPA also includes \$23.9 million to support 155 FTP / 149 FTE. The IT personnel that support the Office of Information Technology consist of IT engineers, application developers, technical specialists, and associated support professionals. They provide the IT infrastructure and services to TSA Headquarters and field locations.

IV. Program Justification of Changes

**Department of Homeland Security
Transportation Security Administration
Transportation Security Support
Justification of Program Changes**

(Dollars in Thousands)

Program Increase 1: International Threat Capability

Strategic Goal(s) & Objective(s): 1. Continue to Protect our Nation from Dangerous People, 3.1 Protect and Strengthen the resilience of the Nation’s critical infrastructure and key resources; Enhance preparedness protection, screening and risk mitigation

PPA: Intelligence

Program Increase: Positions 14 FTE 7 Dollars \$1,500

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level									
Program Increase – Intel							14	7	1,500
Total Request							14	7	1,500

Description of Item

TSA requests \$1.5 million and 14 positions to enhance intelligence capabilities. The Office of Intelligence (INTEL) provides liaison with National Counterterrorism Center, Joint Terrorism Task Forces, and DHS HQ to better connect with the Intelligence Community and Law Enforcement. Additional intelligence staffing support is required at other locations to allow analysts to simultaneously maintain production responsibilities, improve modal knowledge base, and develop/maintain relationships. The requested positions will support field locations with intelligence expertise regarding threats to transportation. This will provide critical field elements with organic, intelligence expertise, to quickly identify and communicate potential threats to transportation.

Justification

INTEL receives numerous requests for information (RFIs) during the course of normal business. This program must increase the amount of dedicated staff to receive, track, and ensure completion of these requests up to the Top Secret/Sensitive Compartmented Information (TS/SCI) national security level. TSA Intel seeks to develop the Encounter Management Unit (EMU), the Behavior Detection Office (BDO) Support Team, and the Transportation Threat Assessment and Credential (TTAC) support teams staff into a premier, national-level operations center with flexible and seasoned intelligence experts who are quickly and accurately able to provide all necessary information. Intelligence

Analytical Tools will support the entire INTEL. These software and hardware solutions are absolutely essential for modern and effective intelligence data analysis. It is crucial to have specialized technology to provide pattern recognition, data point relationships, and timely feedback.

Impact on Performance (Relationship of Increase to Strategic Goals)

This initiative directly supports DHS Strategic Goals 1 and 3 and the objectives under 1.3 and 3.4, and is essential to an overall risk-based security strategy. Funding this initiative will enhance the INTEL’s ability to provide timely analytical support to the Department and TSA leadership. Currently, the office operates with the expertise of its intelligence analysts, but without the specialized technology to provide pattern recognition, data point relationships, and timely feedback. The vulnerability in this is missed opportunities to quickly and effectively identify threat information. Additional resources in the form of analytic tools will greatly enhance the performance and the ability of INTEL’s staff in relating significant data points for better threat identification.

Increased funding will provide the INTEL the ability to hire additional full-time equivalent (FTE) employees to provide 24/7 intelligence support to the BDO, TDC, Selectee Management, and Credentialing efforts, allowing for accelerated response times regarding the resolution of BDO and credentialing issues. INTEL at present lacks adequate staffing to fully support this new requirement. Currently, the office operates with the FTE strategically located across the continental U.S. and significant transportation nodes; increased FTE will expand this coverage to critical field locations that are currently without this support, making intelligence information operational and getting it to those who need it in a timely fashion. The requested increase will enable the intelligence program to meet its planned milestones to expand the use of analysis to identify potential weaknesses in the transportation system and provide corresponding mitigation strategies.

The performance measure associated with these efforts is “Percent of customers satisfied with the intelligence products provided”. This measure shows the overall level of customer satisfaction with intelligence products produced and disseminated by INTEL to TSA leadership, field operators and program managers, regulated transport operators, and USG partners throughout TSA Headquarters, TSA field operations, the aviation industry, rail-based urban mass transit systems, and the maritime, highway, cargo/supply chain, and pipeline/energy sectors.

Performance Measure Name: Level of customer satisfaction with the intelligence products provided.

	2009	2010	2011	2012	2013	2014
Measure Type:						
Outcome:	Target	90%	90%	95%	95%	95%

Program Increase 2: 9/11 Annualization

Strategic Goal(s) & Objective(s):

1. Continue to Protect our Nation from Dangerous People
3.1 Protect and Strengthen the resilience of the Nation’s critical infrastructure and key resources;
Enhance preparedness protection, screening and risk mitigation

PPA: Information Technology

Program Increase: Positions _0_ FTE _0_ Dollars \$150

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	0	0	180,592	141	135	472,799	155	149	483,995
Program Increase – Information Technology							0	0	150
Total Request							155	149	484,145

Description of Item

- Information Technology (IT) Support: \$150 thousand for Headquarters and field offices.

Justification

This funding will support the additional Information Technology (IT) needs of the positions annualized in FY 2010 related to the 9/11 Commission Act. IT support will be provided through equipment purchases and services.

Impact on Performance (Relationship of Increase to Strategic Goals)

TSA supports DHS Objective 3.1: Protect and strengthen the resilience of the Nation’s critical infrastructure and key resources. The annualization of the 9/11 Commission Act funds enhances the protection of critical infrastructure through the development of regulations, increased risk assessments, and inspections.

Program Increase 3:Workforce Shaping and Sustainment

Strategic Goal(s) & Objective(s): 3.1 Protect and Strengthen the resilience of the Nation's critical infrastructure and key resources; Enhance preparedness protection, screening and risk mitigation

PPA:

- Headquarters Administration
- Human Capital Services
- Information Technology

Program Increase: Positions 15 FTE 8 Dollars \$9,300

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							936	879	239,694
Program Increase – HQ Administration							15	8	7,700
Program Increase – HQ BAO									235
Program Increase – HCS BAO									800
Program Increase – IT BAO									565
Total Request	1,388	1,252	288,210	981	922	234,870	951	887	248,994

Description of Item

- Background Investigations: \$7.7 million and 15 FTP/8 FTE.
- Bomb Appraisal Officer Support: \$1.6 million

Justification

Background Investigations: The Office of Security provides this critical function to the TSA mission and increased demands throughout the program have far exceeded the current staff's ability to effectively manage the workload. Additional positions are urgently required to keep pace with agency hiring demands and to ensure the efficient and timely adjudication and investigation process mandated by the Intelligence Reform and Terrorism Prevention Act of 2004 (the Act). There are currently 26,000 employees who have been employed at TSA for at least five years. The background of these individuals must be re-investigated. TSA will re-investigate these employees in a three-year phased approach, the first of which will begin in FY10. Also, in accordance with DHS MD 11050.2, Executive Order 12829, and the Act, further requirements for security background investigations necessitate the addition of 14 FTP.

BAO Support: In support of program increase in Aviation Security appropriation. The Transportation Security Support appropriation provides services as shown above.

Impact on Performance (Relationship of Increase to Strategic Goals)

TSA supports DHS Objective 3.1: Protect and strengthen the resilience of the Nation's critical infrastructure and key resources, by focusing resources on the Transportation Security Officer (TSO) workforce, specifically through ensuring readiness in areas where the threat is greatest. TSA will accomplish this objective by dedicating resources to workforce expansion, workforce retention incentives, workforce succession planning and leadership training, and workplace infrastructure support.

Workplace Infrastructure and Support

Background Investigations: The funding ensures TSA meets the timeliness completion rate requirements of security eligibility determinations, as mandated by the Intelligence Reform Act of 2004, and it addresses workload pressures generated by increasing security policy, management, and physical security issues. The additional funding for this program will speed the hiring process, clear re-investigation backlogs, and strengthen security through more thorough Minimum Background Investigations.

Program Increase 4:

DHS TRIP

Strategic Goal(s) & Objective(s): Goal 1: Protect our Nation from Dangerous People; Objective 1.3: Strengthen Screening of Travelers and Workers

PPA: Headquarters Administration

Program Increase: Positions 2 FTE 1 Dollars \$1,300

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							990	950	248,335
Program Increase							2	1	1,300
Total Request							992	951	249,635

Description of Item

This request is for 2 FTP, 1 FTE, and \$1,300,000. The FY 2010 implementation plans for this expanded DHS Office of Appeals and Redress will include increased hosting center support, enhancements to the existing Redress Management System operation to make it useful to other components as well as to DHS Headquarters, creating efficiencies in the tracking of redress requests, communications outreach – reaching out to the traveling public through brochures and tear sheets to be distributed at airports and other U.S. ports of entry (border crossings, cruise ports) to inform them about DHS TRIP, IT security Certification and Accreditation, and process mapping of expanded redress activity expected as a result of new credentialing programs.

Justification

This initiative will support DHS’s Traveler Redress Inquiry Program (DHS-TRIP), TSA's Checkpoint of the Future, and the Terrorist Screening Center's Office of Redress. It will provide a fully resourced, responsive, and centralized processing system for travelers who seek inquiry and resolution on screening or credentialing difficulties encountered during air or ground travel. It supports a DHS-wide traveler redress program involving several DHS components resulting in a uniform and consistent one-stop department-wide process for handling homeland security redress issues and complaints.

Centralization of DHS-TRIP processing system for travelers will decrease customer response time; ensure the reliability and integrity of DHS and TSA redress decisions; will enable enhanced information-sharing to the traveling public; and, will build appropriate capacity and capability to meet or exceed anticipated future redress needs generated by such upcoming DHS/TSA programs as Secure Flight.

The additional funding will enhance the implementation of laws requiring a redress program. PL 110-53 (To Provide for the Implementation of the Recommendations of the National Commission on Terrorist Attacks upon the United States) directs the Secretary of DHS to establish the Office of Appeals and Redress. The Secretary of DHS in turn designated TSA the lead agent for DHS-TRIP, as

the DHS Office of Appeals and Redress. PL 108-458 Intelligence Reform and Terrorism Prevention Act of 2004 (Secure Flight/Secure Flight Redress) mandates that TSA establish a process for providing redress to those individuals who have been misidentified as a person on the Federal watch list as well as those who have been placed on the Federal watch list based on erroneous or outdated information. PL 107-71 Aviation and Transportation Security Act (Registered Traveler/Registered Traveler Redress) directs TSA to establish a redress process for those who have applied and been denied the right to participate in the Registered Traveler program.

Impact on Performance (Relationship of Increase to Strategic Goals)

This initiative directly impacts the TSA Offices of Intelligence (OI) and Transportation Threat Assessment and Credentialing (TTAC) as well as the DHS Screening Coordination Office (DHS-SOC) by providing an implementation vehicle for the legally-mandated requirements of PL 110-53, PL 108-458, and PL 107-71.

Non-funding for this initiative will significantly decrease TSA's and DHS' capability to meet the mandates set forth in PL 110-53, PL 108-458, and PL 107-71; will significantly increase TSA's and DHS' security risks and vulnerabilities for the incidence of terrorist activity within the United States; will increase the incidence of Congressional and public complaint and adverse comment regarding privacy and civil rights and liberties; and will increase the risk of costly and time-consuming litigation against TSA and DHS.

This initiative relates directly to DHS Strategic Goals 1 and 3 and the objectives under 1.3 and 3.1. Funding this initiative will accelerate efforts to establish a government-wide traveler screening redress process to resolve questions if travelers are incorrectly selected for additional screening.

Program Increase 5:

Information Technology Sustainment

Strategic Goal(s) & Objective(s): Goal 1: Protect our Nation from Dangerous People; Objective 1.3: Strengthen Screening of Travelers and Workers and Goal 3: Protect Critical Infrastructure; Objective 3.4: Protect Transportation Sectors

PPA: Information Technology

Program Increase:

Transportation Security Support: Positions _0_ FTE _0_ Dollars \$16,400

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level – Information Technology	0	0	180,592	141	135	472,799	155	149	483,995
Program Increase – Information Technology							0	0	16,400
Total Request							155	149	500,395

Description of Item

TSA requests \$16.4 million and 0 FTP/FTE in FY 2010 for the IT Sustainment initiative. The requested increase will be used to protect the IT infrastructure required to enable the operation of an agency of over 50,000 personnel spanning more than 400 locations in accordance with the DHS Data Center Migration initiative. It will also be used to enhance the communications system and improve efficiency at the checkpoints through the use of Whisper Communications.

The individual items and funding levels are as follows:

- **Data Center Migration:**
 - \$11.4 million and 0 FTP/FTE for the DHS Data Center Migration
- **Whisper Communications:**
 - \$5.0 million and 0 FTP/FTE for Whisper Communications at the TSA Checkpoints

Justification

Data Center Migration

With the funding of \$11.4 million, TSA will migrate its infrastructure to a consolidated DHS data center. FY 2010 data center consolidation funding will be used to continue ongoing system and application migration to the two existing DHS Enterprise Data Centers. The Data Center consolidation efforts will standardize IT resource acquisitions across components, streamline maintenance and support contracts, resulting in an enhanced DHS IT security posture, improved information sharing with stakeholders, and increased operational efficiencies over time. This site will ensure the continuation of operations of over 50,000 personnel at more than 400 locations.

Whisper Communications

With \$5.0 million, the Whisper Communications initiative will expand wireless capabilities at Category X airports which serve 80 percent of the traveling public. Funding will provide approximately 700 secure multi-channel land mobile radios to checkpoints to improve efficiency of operations and expedite the screening of passengers. The whisper communications will improve teamwork, reduce anxiety, and enhance operational effectiveness in the checkpoint environment.

The above items provide TSA a stable, secure, and reliable IT operating environment to enable and improve mission accomplishment.

Impact on Performance (Relationship of Increase to Strategic Goals)

The Information Technology (IT) Sustainment supports DHS Goal 1: Protect our Nation from Dangerous People; Objective 1.3 Strengthen Screening of Travelers and Workers, as well as Goal 3: Protect our Nation from Dangerous People; Objective 3.4: Protect Transportation Sectors. TSA will continue to perform at optimal levels through necessary improvements to computer hardware, software, network infrastructure, and network security. Funding the data center migration will ensure that the TSA IT environment remains secure and fully operational so that the agency can fulfill its primary mission of protecting the Nation's transportation systems to ensure freedom of movement for people and commerce. Finally, checkpoint efficiency will increase by ensuring that Transportation Security Officers (TSOs) have enhanced communications capacity.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Department of Homeland Security Transportation Security Administration

Justification of Proposed Changes in Transportation Security Support Appropriation Language

For necessary expenses of the Transportation Security Administration related to providing transportation security support and intelligence pursuant to the Aviation and Transportation Security Act (Public Law 107-71; 115 Stat. 597; 49 U.S.C. 40101 note), [\$950,235,000] \$1,004,580,000, to remain available until September 30, [2010: Provided, That of the funds appropriated under this heading, \$20,000,000 may not be obligated for headquarters administration until the Secretary of Homeland Security submits to the Committees on Appropriations of the Senate and the House of Representatives detailed expenditure plans for checkpoint support and explosive detection systems refurbishment, procurement, and installations on an airport-by-airport basis for fiscal year 2009:: Provided further, That these plans shall be submitted no later than 60 days after the date of enactment of this Act.] 2011. (Department of Homeland Security Appropriations Act, 2009.)

Explanation of Changes:

TSA has complied with the provisions included in previous language.

B. FY 2009 to FY 2010 Budget Changes

**Department of Homeland Security
Transportation Security Administration
Transportation Security Support
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actual	1,488	1,347	490,956
2009 Enacted	1,465	1,383	950,235
Adjustments-to-Base (ATBs)			
Transfers to and from other accounts:			
From Transportation Security Support To Aviation Security	(14)	(13)	(5,802)
From Aviation Security To Transportation Security Support	10	10	1,596
From FAMS To Transportation Security Support	---	---	4,430
Total Transfers.....	<u>(4)</u>	<u>(3)</u>	<u>224</u>
Increases			
Annualization of Prior-Year Part Year Funding	---	---	1,995
Annualization of FY 2009 Pay Raises	---	---	3,071
Annualization of FY 2008 & FY 2009 9/11 implementation funding	---	---	2,573
GSA Rent	1	1	2,703
Other Adjustments	---	---	2,000
Electronic Time and Attendance System	---	---	10,517
Sensitive Security Information - fee	---	---	20
Working Capital Fund Cost Increase	---	---	2,612
Total Increases.....	<u>1</u>	<u>1</u>	<u>25,491</u>
Total ATB	<u>(3)</u>	<u>(2)</u>	<u>25,715</u>
2010 Current Services	1,462	1,381	975,950
Program Changes			
Program Increases/(Decreases)			
Infrastructure & Field Operations	14	7	1,500
9/11 annualization	---	---	150
Workforce Shaping and Sustainment - Background Investigations	15	8	7,700
DHS TRIP	2	1	1,300
HQ Administration - BAO Support	---	---	235
Human Capital Service - BAO Support	---	---	800
IT Sustainment BAO Support	---	---	565
Data Center Migration	---	---	11,400
Whisper Communications	---	---	5,000
Total Program Changes	<u>31</u>	<u>16</u>	<u>28,650</u>
2010 Request	1,493	1,397	1,004,600
2009 to 2010 Total Change	28	14	54,365

C. Summary of Requirements

**Department of Homeland Security
Transportation Security Administration
Transportation Security Support
Summary of Requirements
(Dollars in Thousands)**

												2010 Request			
												Perm. Pos.	FTE	Amount	
FY 2008 Actual												1,488	1,347	490,956	
FY 2009 Enacted												1,465	1,383	950,235	
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)															
Realignments												(4)	(3)	224	
Increases												1	1	25,491	
Decreases												---	---	---	
Total Adjustments-to-Base												(3)	(2)	25,715	
2010 Current Services												1,462	1,381	975,950	
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)												31	16	28,650	
2010 Total Request												1,493	1,397	1,004,600	
2009 to 2010 Total Change												28	14	54,365	
Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Intelligence	155	149	\$24,461	11	11	\$2,242	14	7	\$1,500	180	167	\$28,203	25	18	\$3,742
2 Headquarters Administration	981	922	\$234,870	(45)	(43)	\$4,824	17	9	\$9,235	953	888	\$248,929	(28)	(34)	\$14,059
3 Human Capital Services	188	177	218,105	17	16	\$7,433	0	0	\$800	205	193	\$226,338	17	16	\$8,233
4 Information Technology	141	135	\$472,799	14	14	\$11,196	0	0	\$17,115	155	149	\$501,110	14	14	\$28,311
5 Sensitive Security Info Fee	0	0	\$0	0	0	\$20	0	0	\$0	0	0	\$20	0	0	\$20
Total	1,465	1,383	950,235	(3)	(2)	25,715	31	16	28,650	1,493	1,397	1,004,600	28	14	54,364

D. Summary of Reimbursable Resources

**Department of Homeland Security
 Transportation Security Administration
 Transportation Security Support
 Summary of Reimbursable Resources
 (Dollars in Thousands)**

Collections by Source	FY 2008 Actual			2009 Estimate			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
DHS - Office of Health Affairs	---	---	---	---	---	100	---	---	100	---	---	---
DHS - Real Estate	---	---	---	---	---	220	---	---	560	---	---	340
Secret Service	---	---	---	---	---	100	---	---	100	---	---	---
Total Budgetary Resources	---	---	\$ -	---	---	\$ 420	---	---	\$ 760	---	---	340

Obligations by Program/Project Activity	FY 2008 Actual			2009 Estimate			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Headquarters Administration	---	---	---	---	---	220	---	---	560	---	---	340
Information technology	---	---	---	---	---	200	---	---	200	---	---	---
Total Obligations	---	---	\$ -	---	---	\$ 420	---	---	\$ 760	---	---	340

E. Summary of Requirements by Object Class

**Department of Homeland Security
Transportation Security Administration
Transportation Security Support
Summary of Requirements by Object Class**

(Dollars in Thousands)

Object Classes	FY 2008 Actual	2009 Enacted ¹	2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$139,331	\$146,810	\$152,896	6,086
11.3 Other than full-time permanent	\$1,590	\$1,193	\$1,275	82
11.5 Other Personnel Compensation	\$6,407	\$5,401	\$6,182	781
12.1 Benefits	\$38,322	\$40,287	\$42,466	2,179
13.0 Benefits - former	---	10,983	11,900	917
Total, Personnel Comp. & Benefits	\$185,650	\$204,674	\$214,719	\$10,045
Other Object Classes:				
21.0 Travel	\$9,095	\$9,903	\$10,682	779
22.0 Transportation of things	\$292	\$208	\$211	3
23.1 GSA rent	\$1,828	\$2,455	\$2,616	161
23.2 Other rent	\$21,003	\$18,980	\$21,238	2,258
23.3 Communications, utilities, & other misc. charges	\$1,595	\$62,217	\$62,250	33
24.0 Printing and reproduction	\$142	\$184	\$184	0
25.1 Advisory and assistance services	\$76,126	\$115,016	\$118,188	3,172
25.2 Other services	\$147,524	\$402,984	\$421,965	18,982
25.3 Purchases of goods & svcs. from Gov't accounts	\$30,453	\$84,129	\$84,793	664
25.4 Operation & maintenance of facilities	\$1,023	\$886	\$991	105
25.6 Medical care	\$18	\$19	\$19	(0)
25.7 Operation and maintenance of equipment	\$7,446	\$30,547	\$42,987	12,440
26.0 Supplies and materials	\$2,318	\$1,993	\$2,132	139
31.0 Equipment	\$6,374	\$16,040	\$21,605	5,565
Total, Other Object Classes	\$305,306	\$745,561	\$789,861	\$44,301
Total, Direct Obligations	\$490,956	\$950,235	\$1,004,580	\$54,346
Unobligated balance, start of year	(25,653)	(54,955)	---	
Unobligated balance, end of year	54,955	54,955	---	
Recoveries of prior year obligations	1,573	---	---	
Total requirements	\$521,831	\$950,235	\$1,004,580	\$54,346

¹. Includes Implement 9/11 spread.

F. Permanent Position by Grade

Department of Homeland Security
Transportation Security Administration
Transportation Security Support
 Permanent Positions by Grade

Grades and Salary Ranges	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
	Pos.	Pos.	Pos.	Total
Total, SES	27	27	28	1
Total, EX	1	1	1	---
L Band	59	58	59	1
K Band	332	327	334	7
J Band	553	544	553	9
I Band	205	202	206	4
H Band	138	136	139	3
G Band	101	99	101	2
F Band	53	52	53	1
E Band	10	10	10	(0)
D Band	5	5	5	0
C Band	3	3	3	0
B Band	1	1	1	0
Total Permanent Positions	1,488	1,465	1,493	28
Unfilled Positions EOY	---	---	---	---
Total Perm. Employment EOY	1,488	1,465	1,493	28
FTE	1,347	1,383	1,397	14
Headquarters	1,271	1,251	1,275	24
U.S. Field	217	214	218	4
Foreign Field	---	---	---	---
Total Permanent Positions	1,488	1,465	1,493	28
Average ES Salary	\$ 159,244	\$ 164,340	\$ 169,270	\$ 4,930
Average Salary, Banded Positions	\$ 107,357	\$ 110,792	\$ 114,116	\$ 3,324
Average Band	J	J	J	---

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications

**Department of Homeland Security
Transportation Security Administration
Transportation Security Support
Intelligence
Funding Schedule
(Dollars in Thousands)**

PPA: Intelligence	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes				
11.1 Perm Positions	\$9,199	\$14,954	16,424	\$1,470
11.3 Other than perm	\$82	\$76	146	70
11.5 Other per comp	\$408	\$100	728	628
12.1 Benefits	\$2,612	\$3,770	4,663	893
21.0 Travel	324	350	390	40
22.0 Transportation of things	4	3	3	---
25.2 Other Services	9,317	5,061	5,684	623
26.0 Supplies & materials	208	125	143	18
31.0 Equipment	---	22	22	---
Total, Intelligence	\$22,154	\$24,461	\$28,203	\$3,742
Full Time Equivalents	95	149	167	18

PPA Mission Statement

Provide Intelligence Analysis, Coordination, and Dissemination -- TSA will continue to provide current and strategic warning regarding threats to U.S. transportation modes and identify trends and changes in targeting. TSA intelligence unit analyzes intelligence and disseminates information through liaison with intelligence community agencies.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$12,301	\$18,900	\$21,961	\$3,061

Salaries and Benefits includes costs for 167 FTE. The FY 2010 request includes \$184,000 for pay annualization, \$284,000 for COLA and program increase of 7 FTE and \$898,000.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$324	\$350	\$390	\$40

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request has an increase of \$40,000 for program increase and inflation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Transportation of Things	\$4	\$3	\$3	\$0

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request remains static.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$9,317	\$5,061	\$5,684	\$623

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Included in this category is contractual services for intelligence support. The FY 2010 request has an increase of \$623,000 for enhanced information sharing and encounter management and inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$208	\$125	\$143	\$18

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request reflects an increase of \$18,000 for enhanced information sharing and encounter management

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$0	\$22	\$22	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request remains static.

H. PPA Budget Justifications

Department of Homeland Security Transportation Security Administration Transportation Security Support Headquarters Administration

Funding Schedule

(Dollars in Thousands)

PPA: Headquarters Administration	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
11.1 Perm Positions	\$130,132	96,429	97,459	\$1,030
11.3 Other than perm	1,508	1,117	1,129	12
11.5 Other per comp	5,999	4,445	4,494	49
12.1 Benefits	35,710	26,462	26,743	281
21.0 Travel	8,767	7,549	8,047	498
22.0 Transportation of things	253	145	145	(0)
23.1 GSA rent	1,828	1,355	1,516	161
23.2 Other rent	21,003	18,980	21,238	2,258
23.3 Communication, Utilities, and misc charge	790	617	650	33
24.0 Printing	145	170	170	0
25.1 Advisory & Assistance Services	20,870	19,516	22,538	3,022
25.2 Other Services	48,232	48,793	54,807	6,014
25.3 Purchase from Govt. Accts.	7,717	6,825	7,237	412
25.4 Operation & maintenance of facilities	1,023	886	991	105
25.6 Medical care	18	16	16	(0)
25.7 Operation & maintenance of equipment	537	547	612	65
25.8 Subsistence & Support of persons	3	---	---	---
26.0 Supplies & materials	2,066	1,000	1,119	119
31.0 Equipment	1,543	18	18	0
32.0 Land & Structures	55	---	---	---
42.0 Indemnity	11	---	---	---
Total, Headquarter Administration	\$288,210	\$234,870	\$248,929	\$14,059
Full Time Equivalents	1,252	922	888	(34)

PPA Mission Statement

TSA Headquarters Administration include such critical functions as Assistant Secretary and Deputy Assistant Secretary, Office of Inspection, Chief Counsel, Finance and Administration, Legislative Affairs Special Counselor, Acquisition, and Strategic Communications and Public Affairs. These services are essential for the effective and efficient operation of the Agency.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$173,349	\$128,453	\$129,825	\$1,372

Salaries and benefits includes costs for 888 FTEs. The FY 2010 request reflects an annualization of \$1,252,000 and pay inflation of \$1,927,000, and a base increase of 1 FTE and \$79,000. It also reflects a program decrease of 34 FTE.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$8,767	\$7,549	\$8,047	\$498

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request reflects an increase of \$498,000 for program increase and inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$253	\$145	\$145	(\$0)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request remains static.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA Rent	\$1,828	\$1,355	\$1,516	\$161

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request reflects an increase of \$161,000 due to inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Rent	\$21,003	\$18,980	\$21,238	\$2,258

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2009 request reflects the realignment, non-pay inflation, and efficiency. The FY 2010 request reflects an increase of \$2,258,000 due to inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and Miscellaneous Charges	\$790	\$617	\$650	\$33

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request reflects an increase of \$33,000 due to the program increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$145	\$170	\$170	\$0

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 request remains static.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$20,870	\$19,516	\$22,538	\$3,022

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request reflects an increase of \$3,022,000 due to program increase and inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$48,232	\$48,793	\$54,807	\$6,014

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Included under this object class are contracts for security support, EEO support, and corporate training. The FY 2010 request reflects an increase of \$6,014,000 due to program increase and inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$7,717	\$6,825	\$7,237	\$412

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request reflects an increase \$412,000 due to program increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$1,023	\$886	\$991	\$105

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 request reflects an increase of \$105,000 due to program increase and inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Medical Care	\$18	\$16	\$16	(\$0)

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2010 request remains static.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$537	\$547	\$612	\$65

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request reflects an increase of \$65,000 due to inflation and program increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$2,066	\$1,000	\$1,119	\$119

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2010 request reflects an increase of \$119,000 due to program increase and inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$1,543	\$18	\$18	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request remains static.

H. PPA Budget Justifications

**Department of Homeland Security
Transportation Security Administration
Transportation Security Support
Human Capital Services
Funding Schedule
(Dollars in Thousands)**

PPA: Human Capital Services	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
11.1 Perm Positions	---	\$19,210	20,813	\$1,603
11.5 Other per comp	---	3	3	---
12.1 Benefits	---	5,787	6,270	483
13.0 Benefits-former	---	10,983	11,900	917
21.0 Travel	---	1,704	1,945	241
22.0 Transportation of things	---	25	28	3
24.0 Printing	---	14	14	---
25.2 Other Services	---	173,930	178,662	4,732
25.3 Purchase from Govt. Accts.	---	6,228	6,480	252
25.6 Medical care	---	3	3	---
26.0 Supplies & materials	---	218	220	2
Total, Human Capital Services	\$0	\$218,105	\$226,338	\$8,233
Full Time Equivalents	---	177	193	16

PPA Mission Statement

Human Capital Services include all the activities that support the Office of Human Capital Services (OHCS) including the recruitment, assessment, servicing, and payroll of TSA's Transportation Security Officers and other workforce at headquarters, field locations, and airports, and personnel policies, programs and systems.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$0	\$35,983	\$38,986	\$3,003

Salaries and benefits includes costs for 193 FTEs. In FY 2009, the HR Services PPA in the Aviation Security Appropriation and funding of the Office of Human Capital in the HQ Administration, Transportation Security Support Appropriation were realigned into this PPA. The increase also reflects a pay annualization of \$351,000, a pay COLA of \$540,000.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$0	\$1,704	\$1,945	\$241

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request reflects an increase of \$241,000 for program increase and inflation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Transportation of Things	\$0	\$25	\$28	\$3

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request reflects an increase of \$3,000 for program increase and inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$0	\$14	\$14	\$0

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 request remains static.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$0	\$173,930	\$178,662	\$4,732

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Included under this object class are contracts for security support, EEO support, and corporate training. The FY 2010 request reflects an increase of \$4,732,000 for program increase and inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$0	\$6,228	\$6,480	\$252

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request reflects an increase of \$252,000 for program increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Medical Care	\$0	\$3	\$3	\$0

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2010 request remains static.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$0	\$218	\$220	\$2

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2010 request reflects an increase of \$2,000 for program increase and inflation.

H. PPA Budget Justifications

**Department of Homeland Security
Transportation Security Administration
Transportation Security Support
Information Technology
Funding Schedule
(Dollars in Thousands)**

PPA: Information Technology	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:				
11.1 Perm Positions	---	16,217	18,200	1,983
11.5 Other per comp	---	853	957	104
12.1 Benefits	---	4,268	4,790	522
21.0 Travel	4	300	300	---
22.0 Transportation of things	35	35	35	---
23.1 GSA rent	---	1,100	1,100	---
23.3 Communication, Utilities, and misc charges	805	61,600	61,600	---
24.0 Printing	(3)	---	---	---
25.1 Advisory & Assistance Services	55,256	95,500	95,650	150
25.2 Other Services	89,975	175,200	182,812	7,612
25.3 Purchase from Govt. Accts.	22,736	71,076	71,076	---
25.7 Operation & maintenance of equipment	6,909	30,000	42,375	12,375
26.0 Supplies & materials	44	650	650	---
31.0 Equipment	4,831	16,000	21,565	5,565
Total, Information Technology	180,592	472,799	501,110	28,311
Full Time Equivalents	---	135	149	14

PPA Mission Statement

Information Technology provides and maintains the IT and telecommunications infrastructure services and support for all of TSA. TSA will continue to enhance the effectiveness of its entire workforce through its IT core support. FY 2009 and FY 2010 reflect the consolidation of IT funds from the Headquarters Administration PPA and the Airport Management IT and Support PPA.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$0	\$21,338	\$23,947	\$2,609

Salaries and benefits includes costs for 149 FTEs. The FY 2010 request includes an increase of 14 FTE and \$2,609,000 attributed to realignments, pay annualization, and pay COLA.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$4	\$300	\$300	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request remains static.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Transportation of Things	\$35	\$35	\$35	\$0

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request remains static.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA Rent	\$0	\$1,100	\$1,100	\$0

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request remains static.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and Misc. Charges	\$805	\$61,600	\$61,600	\$0

Communications, utilities, and miscellaneous charges includes all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request remains static.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	(\$3)	\$0	\$0	\$0

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$55,256	\$95,500	\$95,650	\$150

Advisory and assistance services includes services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request includes an increase of \$150,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$89,975	\$175,200	\$182,812	\$7,612

Other services includes report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request includes an increase of \$7,612,000 for the DHS Working Capital Fund and Data Center Migration.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$22,736	\$71,076	\$71,076	\$0

Purchases from Government Accounts includes costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request remains static.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$6,909	\$30,000	\$42,375	\$12,375

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment when done by contract with the private sector or another Federal Government account. The FY 2010 request includes an increase of \$12,375,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$44	\$650	\$650	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. Some software purchases and computer supplies are included in this object class. The FY 2010 request remains static.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$4,831	\$16,000	\$21,565	\$5,565

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes an increase of \$5,565,000.

I. Changes in Full Time Equivalents

**Department of Homeland Security
Transportation Security Administration
Transportation Security Support
Changes in Full-Time Equivalents**

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	1,297	1,347	1,383
INCREASES			
Increase #1:		29	
Description: Covert Testing & Correct Material Weakness			
Increase #2:			11
Description: Implementation of 9/11 Act (P.L. 110-53)			
Increase #3:		47	18
Description: Intelligence Operations			
Increase #4:			11
Description: Workforce Shaping and Sustainment			
Increase #5:			1
Description: DHS TRIP			
Increase #6:			1
Description: Evolution of the Checkpoint			
Increase #7:			1
Description: IT Sustainmen			
Increase #8:			1
Description: HQ Rent/Administration			
Increase #9:	50	81	15
Description: Normal Annual hiring			
Sub-Total Increases	50	157	59
DECREASES			
Decrease #1:		-121	-45
Description: Realignment between PPAs			
Sub-Total Decreases	0	-121	-45
Year-end Actual/Estimated FTEs	1,347	1,383	1,397
Net Change from prior year base to Budget Year Estimate:			14

J. FY 2010 Schedule of Working Capital fund by Program/Project Activity

**Department of Homeland Security
Transportation Security Administration
Transportation Security Support**

**FY 2010 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)**

Program/Project Activity	FY 2008 Actual	FY 2009 Anticipated	FY 2010 Anticipated	Increase / Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Headquarters Administration	854	1,142	1,511	369
Information Technology	22,240	36,297	50,287	13,990
Total Working Capital Fund	23,094	37,439	51,798	14,359

Department of Homeland Security

Transportation Security Administration

Federal Air Marshal Service



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

TRANSPORTATION SECURITY ADMINISTRATION FEDERAL AIR MARSHAL SERVICE

I. Appropriation Overview

A. Mission Statement for Federal Air Marshal Service:

The Federal Air Marshal Service (FAMS) promotes public confidence in our Nation's civil transportation systems through the effective risk-based strategic deployment of Federal Air Marshals and other FAMS law enforcement resources in both air and land based mission-related assignments. The organization's primary focus is to detect, deter, and defeat terrorist or other criminal hostile acts targeting U.S. air carriers, airports, passengers, crew and other transportation modes within the Nation's general transportation systems.

B. Budget Activities:

Management and Administration (M&A)

The FAMS' mission demands a host of critical planning, operational, and support programs to protect the public from the threat of a terrorist attack or other criminal activity. The FAMS' M&A programs encompass vital enforcement, information management, and infrastructure components necessary to support core operations. Examples include FAMS participation in Joint Terrorism Task Force (JTTF) operations and investigations, management and implementation of a sophisticated flight/mission scheduling and notification system, and performance of mission critical workforce management, command and control, logistics, and related services.

Travel and Training (T&T)

In order to maintain optimum readiness and perform its primary operational functions, the FAMS requires extensive training and mission travel capabilities. Federal Air Marshals (FAMs) must undergo continuous training to maintain and expand their expertise in the full-range of skills necessary to operate within the transportation domain, to include specialized tactics, enforcement, surveillance detection, marksmanship, and other skill sets. Furthermore, this PPA funds FAMS' mission travel activities, which are an integral component to the international and domestic flight coverage activities which are core to the FAMS mission.

C. Budget Request Summary:

The Transportation Security Administration (TSA) requests \$860,111,000 in FY 2010, an increase of \$40,630,000 over FY 2009. The total adjustments-to-base are \$33,101,000 which includes a transfer of \$4,430,000 to the Transportation Security Support Appropriation for TSA's human resources contract. The program increase totals \$7,529,000 to:

- Annualize the FY 2009 Non-Pay Enhancement (\$5,429,000)
- Increase the operational base for the Mission Scheduling and Notification System in order to refresh/upgrade this system and maintain operational effectiveness. (\$2,100,000)

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Transportation Security Administration
Federal Air Marshal Service**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Management and Administration	---	\$677,770	---	\$725,081	---	\$762,569	---	\$37,488	---	4,387	---	\$33,101
Travel and Training	---	91,658	---	94,400	---	97,542	---	3,142	---	3,142	---	---
Air to Ground Communications	---	2,053	---	---	---	---	---	---	---	---	---	---
Subtotal, Enacted Appropriations and Budget Estimates	---	\$771,481	---	\$819,481	---	\$860,111	---	\$40,630	---	\$7,529	---	\$33,101
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	---	\$771,481	---	\$819,481	---	\$860,111	---	\$40,630	---	\$7,529	---	\$33,101

III. Current Services Program Description by PPA

Department of Homeland Security
Transportation Security Administration
Federal Air Marshal Service
Program Performance Justification
(Dollars in thousands)

PPA: MANAGEMENT AND ADMINISTRATION

	Perm Pos	FTE	Amount
2008 Actual	\$677,770
2009 Enacted	\$725,081
2010 Adjustments-to-Base	0	0	\$33,101
2010 Current Services	0	0	\$758,182
2010 Program Change	\$4,387
2010 Request	0	0	\$762,569
Total Change 2009-2010	0	0	\$37,488

The Transportation Security Administration requests \$762.6 million for this activity. This includes an increase of \$15.5 million over FY 2009 for pay inflation, \$22.1 million in pay and non-pay resources to annualize FY 2009 enhancements, and \$4.4 million in proposed increases for the FAMS Mission Scheduling and Notification System (MSNS) and annualization of the non-pay FY 2009 enhancement. The request also includes a transfer of \$4.4 million to the Transportation Security Support Appropriation to centralize and streamline management of TSA's human resources contract.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Management & Administration (M&A) PPA funds the FAMS' payroll costs and supports all operational and infrastructure requirements with the exception of training and travel expenses. The vast majority of this PPA provides the salaries for FAMS and allows the workforce to provide the vital protective and enforcement services necessary for both domestic and international air travel.

The remaining balance of M&A supports the continuing development and maintenance of the Service's infrastructure, internal business processes, and strategic systems that enable FAMS to seamlessly perform the integrated set of functions that make up their mission. In addition to the activities detailed below, M&A provides funding for workforce management activities (background investigations, security clearances, etc); information technology; leasing and maintenance of facilities in Washington DC area, Atlantic City, NJ, and twenty-one field offices and four Resident Agent in Charge (RAC) offices across the country; and program infrastructure and logistics support such as vehicles, communications, duty equipment, and physical security.

Performance of the FAMS' mission requires a host of critical planning, operational and support programs to protect the public from the threat of a terrorist attack or other criminal activity. As a result, this PPA encompasses an array of vital operational and infrastructure components to include:

- Joint Terrorism Task Force (JTTF) participation and investigations
- The Tactical Information Sharing System (TISS) and MSNS
- Participation in and support of Visible Intermodal Prevention and Response (VIPR) team deployments targeting potential threats to aviation, rail, mass transit, and land-based transportation systems
- Workforce sustainment
- Logistics/Information Technology

During the course of operations, FAMS are continually deployed (24/7) using a comprehensive, risk-based strategy to protect key flights, both within the United States and in the international arena. MSNS, a sophisticated flight/mission scheduling and notification system allows for the assignment of FAMS to planned flights, while enabling the Service to quickly adapt mission tempo and flight selection/coverage to meet emerging threats.

Functionally integral with the Air-to-Ground Communications System, the TISS enables the collection, analysis, and dissemination of intelligence information observed by FAMS while conducting their daily duties. FAMS routinely submit Suspicious Incident Reports (SIRs) when they observe activities that fall below a predetermined threshold of an actionable incident. The FAMS' Transportation Information Branch (TIB) reviews these reports and uses the information to identify trends, patterns, or associations that may reveal circumstances or subjects that are deemed to be of interest to Department of Homeland Security (DHS) intelligence offices.

VIPR deployments are conducted in all modes of transportation to effectively detect, deter, defeat, and disrupt potential terrorist and/or criminal activity. VIPR operations are planned and implemented through a risk-based approach utilizing existing intelligence, empirical data, security, and threat based assessments and analysis. The operations consist of teams of TSA personnel including FAMS, Transportation Security Inspectors (TSIs), Transportation Security Officers (TSOs), Behavioral Detection Officers (BDOs), canine teams, and local and state law enforcement officers. In addition, VIPR deployments incorporate elements of randomness and are unpredictable in frequency, location, and duration. These resources are used to enhance TSA's overall ability to screen passengers, identify suspicious behavior, and act as a visible deterrent in multiple transportation sectors.

Of the 483 VIPR operations completed by TSA during the first quarter of FY 2009, approximately 60 percent were dedicated to the aviation domain, including air cargo, commercial aviation, and general aviation. The remaining VIPR operations were dedicated to the surface domain, including highways, freight rail, pipelines, mass transit, and maritime.

The following table provides the major component parts of the M&A PPA, with resources shown in millions of dollars.

	FY 2010
Payroll, Compensation and Benefits	\$659.2
Information Technology	42.9
Operations Infrastructure	56.1
Total	\$758.2

Payroll/OWCP -- \$659.2M: This component, which amounts to approximately 77 percent of the FAMS budget, covers all pay, compensation and benefits costs for the Service's FAM and civilian work force. The missions that FAMS perform every day support the Service's core capability and effort in achieving its goal of detecting, deterring, and preventing hostile acts within the aviation and transportation domains. Funding within this component includes resources for pay, compensation and benefits, overtime, Law Enforcement Availability Pay (LEAP), awards, workers' compensation, and a portion of the overall resources required for Permanent Change of Station (PCS) expenses. FAMS personnel are arrayed throughout the country and provide the manpower necessary to conduct the Service's full range of operations.

In FY 2008, the FAMS achieved an FTE utilization rate of 98 percent and plans to achieve 100 percent utilization rates for FYs 2009 and 2010.

Information Technology (IT) – \$42.9: The FAMS IT Systems are critical for providing the Service and individual FAMS with the vital automated tools, systems, and computer security technology necessary to ensure accomplishment of the FAMS mission.

In FY 2008, the FAMS initiated the technology refresh of personal data assistant (PDA) equipment, which are used by FAMS during mission status as a critical means of communication to share real time tactical information, and for business and administrative applications. TSA plans to complete the refresh in FY 2009. In FY 2009, the FAMS will also work to establish DHS One Net Connectivity, with plans in FY 2010 to migrate the Office of Law Enforcement (OLE) critical systems to the DHS Datacenter 2 in support of disaster recovery efforts.

In addition to funding a critical IT network needed for managing the FAMS enforcement and business operations, this PPA funds the Mission Scheduling and Notification System (MSNS), the core automated system used by the Service for planning, scheduling, and implementing FAMS flight coverage operations. The MSNS uses a risk-based process that selects from among over 28,000 daily U.S. commercial airline flights to prioritize deployments of thousands of FAMS worldwide. The MSNS is critical to the accomplishment of the FAMS' mission in as much as its loss, or even an extended interruption, would cause a deterioration of mission coverage noticeable to the airlines, the public, and our Nation's enemies.

Operations Infrastructure -- \$56.1M: The Operations Infrastructure component funds critical operations infrastructure activities including, but not limited to, Permanent Change of Station (PCS), rent and utilities, facility build out and maintenance, telecommunications, background investigations, and logistics management. In FY 2009, the FAMS will finalize the relocation of the Los Angeles Field Office to better and more efficiently support critical mission operations. In FY 2010, the FAMS plans to continue to provide current services level support for this critical program area.

PPA: TRAVEL AND TRAINING

	Perm Pos	FTE	Amount
2008 Actual	\$91,658
2009 Enacted	\$94,400
2010 Adjustments-to-Base	0	0	\$0
2010 Current Services	0	0	\$94,400
2010 Program Change\$3,142
2010 Request	0	0	\$97,542
Total Change 2009-2010	0	0	\$3,142

The Transportation Security Administration requests \$97.5 million for this activity in FY 2010. This includes \$3.1 million in non-pay resources to annualize FY 2009 enhancements.

CURRENT SERVICES PROGRAM DESCRIPTION:

The following table provides the major component parts of the T&T PPA, with resources shown in millions of dollars.

	FY 2010
Travel	\$80.6
Training	13.8
Total	\$94.4

The Travel and Training (T&T) PPA supports the FAMS' core requirements for travel, travel-associated costs, and training. Through its training programs, the FAMS also provides effective learning environments and opportunities for its employees, utilizing current and relevant curricula and training methodologies to enable and challenge FAMS to perform their duties and responsibilities in a highly effective and efficient manner.

Travel -- \$80.6M: This component funds all travel necessary to perform domestic and international mission coverage, mission essential training, and other business-related travel in support of FAMS operational and programmatic goals. The FAMS schedules the coverage of high-risk flights according to a concept of operations that incorporates threat and intelligence, consequence, and vulnerability.

In January 2009, the Government Accounting Office (GAO) released a public version of a report requested by members of Congress to examine (1) the FAMS's operational approach or "concept of operations" for covering flights, (2) to what extent this operational approach has been independently evaluated, and (3) the processes and initiatives the FAMS established to address workforce-related issues. GAO examined previous studies conducted by the Homeland Security Institute (HSI) that independently assessed the FAMS's operational approach and found it to be reasonable. GAO found the institute's evaluation methodology to be reasonable.

The FY 2009 appropriation increased mission travel to maintain priority coverage of international and domestic flights using available FTE. The FY 2010 request continues these levels within available resources.

Training -- \$13.8M: Upon entry into the FAMS Training program, FAM trainees undergo an intensive 15-week training program conducted at the Federal Law Enforcement Training Center (FLETC) in Artesia, New Mexico and at the FAMS Training Center in Atlantic City, New Jersey. The training component provides for all associated training requirements to include FLETC-related expenses, role player contracts, hotel lodging contracts for Atlantic City classes, training supplies, firing range fees, training gear, equipment, and clothing. Once assigned to a field office, FAMS undergo recurrent, in-service training to maintain their necessary skill base and meet firearms certification levels on a quarterly basis. Currently, the FAMS has the highest firearms qualification score of any federal agency (85% or 285/300). For FY 2008, 99.8% of FAMS met their quarterly firearms qualification. The average rate of accuracy in FAMS' firearms re-qualification was 95.3% for FY 2008.

In FY 2008, the FAMS achieved Federal Law Enforcement Training Accreditation (FLETA) for the Federal Air Marshal Service Training Center (FAMSTC) and Federal Air Marshal Training Program II (FAMTPII) in Atlantic City, NJ. In FY 2009, the FAMS plans to achieve FLETA accreditation of the Federal Air Marshal Training Program I (FAMTPI) in Artesia, NM and the FAMS Instructor Development Program (IDP).

In FY 2008, the FAMS also initiated the procurement of an aircraft cabin training simulator that will reside inside an existing building at the FAMS Training Center (FAMSTC) located at the William J. Hughes Technical Center in Atlantic City, NJ. This simulator will replace the outdated L1011 and 727 airframes currently in use at the FAMSTC. The FAMS estimates that the simulator will be completed and operational by mid-FY 2010.

In addition in FY 2008, the FAMS also contracted with a fitness technology firm to conduct a validation study to define the related physical performance standards for the Federal Air Marshal SV-1801 job series. Upon completion of the project in early FY 2010, the contractor will recommend the minimum level of fitness status necessary to ensure safe and efficient job performance. This will include the development of a mandatory physical fitness standard applicable to all FAMS, regardless of age and gender.

In FY 2009, the Curriculum Review Conference (CRC) process and associated working group will be the vehicles that will facilitate change in training curriculum, addressing emerging personnel and mission requirements. The CRC after-action report will be used to modify and streamline relevant curricula and training methodologies thereby improving Federal Air Marshal Training Program-I and Federal Air Marshal Training Program-II course content and practical exercises. The CRC process supports the FLETA accreditation standards.

This PPA component also provides required professional training for FAMS technical professionals and support staff. Examples of professional/technical training include mandated annual explosives technical training for re-qualification and re-certification, mandated annual contracts/warrant officer training, mandated FAMS instructor training, leadership/management training, and professional/career development courses. In FY 2010, the FAMS plans to continue to provide current services level support for this critical program area.

IV. Program Justification of Changes

**Department of Homeland Security
Transportation Security Administration
Federal Air Marshal Service
Justification of Program Changes**

(Dollars in Thousands)

Program Increase 1: Information Technology Sustainment

Strategic Goal(s) & Objective(s): Goal 3: Protect Critical Infrastructure; Objective 3.4: Protect Transportation Sectors

PPA: Management and Administration (M&A)

Program Increase:

Federal Air Marshal Service: Positions 0 FTE 0 Dollars \$2,100

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level									
Program Increase – M&A							0	0	2,100
Total Request							0	0	2,100

Description of Item

Management and Administration PPA:

- MSNS Refresh/Upgrade
 - \$2.1 million to refresh and upgrade all MSNS server and communication hardware systems for FAMS

Justification

MSNS Refresh/Upgrade

The purpose of MSNS is provide the critical, automated analytical tools and scheduling capabilities necessary for the Service to assess and prioritize flight selection, and to readily schedule and implement U.S. domestic and international flight coverage.

The MSNS was first purchased and implemented in 2002 as part of the initial stand-up of the FAMS. Most MSNS hardware will reach the end of its planned life cycle by FY 2010 and will no longer be in compliance with existing IT standards.

TSA requests \$2.1 million to initiate technology refreshment for MSNS. This investment would be dedicated to recapitalizing/updating priority MSNS hardware and associated software requirements in FY 2010 and FY 2011, and supporting an improved technology refreshment and sustainment cycle in the out years.

Failure to replace the necessary MSNS components could increase the likelihood of a system failure that would significantly disrupt FAMS flight scheduling operations and, by extension, the ability to readily protect priority international and domestic flights. Continuing to support the aging equipment could also make it more costly or impossible to implement new Commercial Off-the-Shelf (COTS) or customized software updates needed to keep pace with industry requirements, and to maintain system compliance with IT security protocols.

Impact on Performance (Relationship of Increase to Strategic Goals)

The enhancement requested for the MSNS Refresh/Upgrade directly supports DHS Strategic Goal 3.4: Protect Transportation Sectors.

By providing critical, automated analytical tools and scheduling capabilities the FAMS are able to assess and prioritize flight selection. A refreshed and upgraded MSNS ensures that the TSA IT environment remains secure and fully operational so that the agency can fulfill its primary mission of protecting priority international and domestic flights.

Program Increase 2: Annualization of FY09 Enhancement

Strategic Goal(s) & Objective(s): Goal 3: Protect Critical Infrastructure; Objective 3.4: Protect Transportation Sectors

PPA: Management and Administration (M&A)
Travel and Training (T&T)

Program Increase:

Federal Air Marshal Service: Positions 0 FTE 0 Dollars \$5,429

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Program Increase – M&A							0	0	2,287
Program Increase – T&T							0	0	3,142
Total Request							0	0	5,429

Description of Item

The FY 2010 request includes the annualization of non-pay for the FY 2009 enhancement.

Justification

This funding is critical to ensure the non-pay funding received in FY 2009 is annualized in FY 2010. Not receiving this funding would necessitate a reduction in the Federal Air Marshal Service (FAMS) FTE levels. This funding supports the necessary operational and travel/training expenses associated with the increased staffing levels the FAMS received in FY 2009. Cuts in flight protection would run directly counter to sustained intelligence trends indicating the continued interest of terror groups in targeting our nation’s aviation sector and reverse a sustained effort on the part of policy makers to sustain FAMS mission coverage capability.

Impact on Performance (Relationship of Increase to Strategic Goals)

The enhancement requested for the non-pay portion of the FY 2009 enhancement directly supports DHS Strategic Goal 3.4: Protect Transportation Sectors.

By maintaining coverage of targeted critical domestic and international flights selected using the FAMS’ risk-based Concept of Operations (CONOPS), FAMS is better able to detect, deter, and defeat terrorist or other criminal hostile acts targeting the Nation’s aviation and transportation domain. The FAMS’ ability to identify and deploy personnel on the highest risk flights reduces the overall risk of a terrorist or criminal hostile act occurring.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Transportation Security Administration
Justification of Proposed Changes in
Federal Air Marshal Service
Appropriation Language**

For necessary expenses of the Federal Air Marshals, [\$819,481,000] **\$860,111,000**. (Department of Homeland Security Appropriations Act, 2009)

Explanation of Changes:

No substantive changes proposed.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
 Transportation Security Administration
 Federal Air Marshal Service
 FY 2009 to FY 2010 Budget Change
 (Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual			\$771,481
2009 Enacted			819,481
Adjustments-to-Base (ATBs)			
Transfers to and from other accounts:			
Transfer to Transportation Security Support Appropriation.....	---	---	(4,430)
Total Transfers.....	---	---	(4,430)
Increases			
Annualization of 2009 pay raise.....	---	---	6,088
2010 pay increase.....	---	---	9,366
Annualization of FY 2009 Enhancement	---	---	22,077
Total Increases.....	---	---	37,531
Total Adjustments-to-Base	---	---	33,101
 Program Changes			
Total Program Changes	---	---	---
 2010 Current Services	---	---	852,582
 Program Changes			
Program Increases/(Decreases)			
IT Sustainment (Mission Scheduling and Notification System).....	---	---	2,100
Annualization of FY09 Enhancement	---	---	5,429
Total Program Changes	---	---	7,529
 2010 Request	---	---	860,111
 2009 to 2010 Total Change		---	40,630

C. Summary of Requirements

**Department of Homeland Security
Transportation Security Administration
Federal Air Marshal Service
Summary of Requirements
(Dollars in Thousands)**

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual			771,481
2009 Enacted	---	---	819,481
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	---	---	(4,430)
Increases	---	---	37,531
Decreases	---	---	---
Total Adjustments-to-Base		---	33,101
2010 Current Services	---	---	852,582
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	---	---	7,529
2010 Total Request	---	---	860,111
2009 to 2010 Total Change		---	40,630

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Management and Administration	---	---	\$725,081	---	---	\$33,101	---	---	\$4,387	---	---	\$762,569	---	---	\$37,488
2 Travel and Training	---	---	94,400	---	---	---	---	---	3,142	---	---	97,542	---	---	3,142
Total	---	---	\$819,481	---	---	\$33,101	---	---	\$7,529	---	---	\$860,111	---	---	\$40,630

D. Summary of Reimbursable Resources

**Department of Homeland Security
Transportation Security Administration
Federal Air Marshal Service
Summary of Reimbursable Resources
(Dollars in Thousands)**

Collections by Source	FY 2008 Actual			2009 Enacted			2010 Request			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Immigrations and Customs Enforcement (ICE)			\$196			\$151			\$154	---	---	3
										---	---	---
										---	---	---
										---	---	---
Total Budgetary Resources	---	---	196	---	---	151	---	---	154	---	---	3

Obligations by Program/Project Activity	FY 2008 Actual			2009 Enacted			2010 Request			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Immigrations and Customs Enforcement (ICE)			\$196			\$151			\$154	---	---	3
										---	---	---
										---	---	---
										---	---	---
Total Obligations	---	---	196	---	---	151	---	---	154	---	---	3

E. Summary of Requirements By Object Class

Department of Homeland Security
Transportation Security Administration
Federal Air Marshal Service
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$324,965	\$339,159	\$358,079	\$18,920
11.3 Other than full-time permanent	\$10,394	\$13,300	\$13,630	330
11.5 Other Personnel Compensation	\$95,382	\$97,809	\$103,371	5,562
11.8 Special Service Pay	\$1,583	\$974	\$998	24
12.1 Benefits	\$159,119	\$173,157	\$183,122	9,965
13.0 Benefits - former	\$0	\$0	\$0	---
Total, Personnel Comp. & Benefits	\$591,443	\$624,399	\$659,200	\$34,801
Other Object Classes:				
21.0 Travel	78,874	77,079	84,666	7,587
22.0 Transportation of things	206	6,277	277	(6,000)
23.1 GSA rent	2,057	2,661	3,361	700
23.2 Other rent	14,282	14,760	15,260	500
23.3 Communications, utilities, & other misc. charges	12,347	12,643	13,651	1,008
24.0 Printing and reproduction	1	10	10	---
25.1 Advisory and assistance services	12,072	26,876	12,076	(14,800)
25.2 Other services	22,482	28,019	32,178	4,159
25.3 Purchases of goods & svcs. from Gov't accounts	11,804	4,859	12,760	7,901
25.4 Operation & maintenance of facilities	4,239	2,935	2,935	---
25.6 Medical care	311	1,550	1,917	367
25.7 Operation and maintenance of equipment	3,164	1,426	5,035	3,609
25.8 Subsistence and support of persons	---	780	---	(780)
26.0 Supplies and materials	6,561	6,923	8,305	1,382
31.0 Equipment	11,276	8,283	8,479	196
42.0 Indemnity	361	1	1	---
Total, Other Object Classes	\$180,038	\$195,082	\$200,911	\$5,829
Total, Direct Obligations	\$771,481	\$819,481	\$860,111	\$40,630
Unobligated balance, start of year	(11,055)	(2,816)		
Unobligated balance, end of year	2,816	2,816		
Recoveries of prior year obligations	(75)	---		
Total requirements	\$763,167	\$819,481	\$860,111	

F. Permanent Positions by Grade

Not Applicable.

G. Capital Investment and Construction Initiative Listing

Not Applicable.

H. PPA Budget Justifications

**Department of Homeland Security
Transportation Security Administration
Federal Air Marshal Service
Management and Administration
Funding Schedule
(Dollars in Thousands)**

PPA: Management & Administration		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$324,965	\$339,159	\$358,079	18,920
11.3	Other than perm	10,391	\$13,300	\$13,630	330
11.5	Other per comp	95,382	\$97,809	\$103,371	5,562
11.8	Spec Srvc Pay	1,583	\$974	\$998	24
12.1	Benefits	159,119	\$173,157	\$183,122	9,965
21.0	Travel	1,558	\$2,441	\$2,441	---
22.0	Transportation of things	206	\$6,267	\$267	(6,000)
23.1	GSA rent	2,057	\$2,661	\$3,361	700
23.2	Other rent	13,282	\$13,839	\$14,339	500
23.3	Communication, Utilities, and misc charges	12,347	\$12,643	\$13,651	1,008
24.0	Printing	1	\$10	\$10	---
25.1	Advisory & Assistance Services	9,961	\$26,876	\$12,076	(14,800)
25.2	Other Services	17,119	\$15,235	\$23,946	8,711
25.3	Purchase from Govt. Accts.	11,169	\$4,600	\$12,501	7,901
25.4	Operation & maintenance of facilities	4,238	\$2,935	\$2,935	---
25.6	Medical care	292	\$1,533	\$1,900	367
25.7	Operation & maintenance of equipment	3,164	\$1,426	\$5,035	3,609
25.8	Subsistence & Support of persons	---	\$780	---	(780)
26.0	Supplies & materials	3,493	\$1,821	\$3,096	1,275
31.0	Equipment	7,082	\$7,614	\$7,810	196
42.0	Indemnity	361	\$1	\$1	---
Total, Management & Administration		677,770	725,081	762,569	37,488
Full Time Equivalents		---	---	---	---

PPA Mission Statement

The Management and Administration (M&A) PPA funds the FAMS' staffing/payroll requirements, which include: salary/compensation, benefits, awards, overtime, etc. In addition, M&A funds critical administrative and operational requirements including the FAMS' mission scheduling system and information technology requirements, rent, wireless communications systems and explosives unit operations; recruitment/hiring and retention services (background investigations, security clearances, medical exams/physicals, drug tests); and a host of program support services and requirements (interagency agreements, vehicle leasing, shipment of goods, utilities/communications, janitorial services, supplies, duty equipment, printing, physical security, etc.)

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$591,440	\$624,399	\$659,200	\$34,801

The FY 2010 request includes \$37,531,000 for the annualization of the FY 2009 Budget Enhancement, the FY 2009 pay raise and the FY 2010 pay raise. The FY 2010 request also includes a decrease of \$2,730,000 and associated FTE as a result of the transfer of funding to the Transportation Security Support Appropriation for the funding of contract human resources services.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$206	\$6,267	\$267	(\$6,000)

Transportation of things includes all costs associated with the care of items in the process of being transported, as well as other services associated with the transportation of things. The FAMS uses this object class series for central billing and for the shipment of goods between Headquarters and Field Offices. The FY 2010 request includes a decrease of \$6,000,000 for a technical adjustment to better reflect how funds are executed by object class. There is no program impact associated with this technical change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$2,057	\$2,661	\$3,361	\$700

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request includes an increase of \$700,000 for a technical adjustment to better reflect how funds are executed by object class. There is no program impact associated with this technical change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Rent	\$13,282	\$13,839	\$14,339	\$500

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The majority of the FAMS' commercial office leases for Headquarters and field offices are included in this category. The FY 2010 request includes an increase of \$500,000 for a technical adjustment to better reflect how funds are executed by object class. There is no program impact associated with this technical change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and Miscellaneous charges	\$12,347	\$12,643	\$13,651	\$1,008

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FAMS uses this object class series for PDA and cell phone air time and general office utilities such as metered gas, electric, water usage, etc. The FY 2010 request includes an increase of \$1,008,000 for the annualization of the FY 2009 Budget Enhancement.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$9,961	\$26,876	\$12,076	(\$14,800)

Advisory and assistance services primarily include services acquired by contract from non-Federal sources (i.e. the private sector, foreign governments, State and local governments, tribes, etc.). The FY 2010 request includes a decrease of \$14,800,000 for a technical adjustment to better reflect how funds are executed by object class. There is no program impact associated with this technical change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$17,119	\$15,235	\$23,946	\$8,711

Other services include contractual services with non-Federal and Federal sources that are not otherwise classified under Object Class 25.1. The FAMS uses this series for additional support for the Mission Scheduling and Notification System, support services for other elements (including contractors supporting contracting/procurement efforts) within the Service. The FY 2010 request includes an increase of \$611,000 for the annualization of the FY 2009 Budget Enhancement. In addition, the FY 2010 request includes an increase of \$9,800,000 for a technical adjustment to better reflect how funds are executed by object class. There is no program impact associated with this technical change.

The FY 2010 request also includes a decrease of \$1,700,000 as a result of the transfer of funding to the Transportation Security Support Appropriation for the funding of contract human resources services.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$11,169	\$4,600	\$12,501	\$7,901

Purchases from Government Accounts include costs for purchases from other Federal agencies or accounts that are not otherwise classified. For the FAMS, this includes IT Support for the entire FAMS, facility maintenance support from the FAA, office equipment maintenance and security clearances. The FY 2010 request includes an increase of \$21,000 for the annualization of the FY 2009 Budget Enhancement and an increase of \$7,880,000 for a technical adjustment to better reflect how funds are executed by object class. There is no program impact associated with this technical change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Medical Care	\$292	\$1,533	\$1,900	\$367

Medical care includes payments to contracts for medical services, but excludes Federal employees who are reportable under OPM regulations as federal employees. The FAMS uses this series for a contract with Federal Occupational Health (FOH). The FY 2010 request includes an increase of \$367,000 for the annualization of the FY 2009 Budget Enhancement.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of Equipment	\$3,164	\$1,426	\$5,035	\$3,609

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal account. The FY 2010 request includes an increase of \$9,000 for the annualization of the FY 2009 Budget Enhancement and an increase of \$1,500,000 for a technical adjustment to better reflect how funds are executed by object class. There is no program impact associated with this change. In addition, the FY 2010 request includes an increase of \$2,100,000 for the MSNS refresh/upgrade enhancement.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Subsistence & Support of Persons	\$0	\$780	\$0	(\$780)

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal account for the board, lodging, and care of persons, including prisoners. This would be used by the FAMS only for full PCS moves. FAMS has consolidated the execution of PCS funding within Object Class 25.3. The FY 2010 request includes a decrease of \$780,000 to implement this change to better reflect costs by object class. There is no program impact associated with this technical change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & Materials	\$3,493	\$1,821	\$3,096	\$1,275

Supplies and materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FAMS uses this series for IT supplies and materials, office supplies and fuel. The FY 2010 request includes an increase of \$75,000 for the annualization of the FY 2009 Budget Enhancement and an increase of \$1,200,000 for a technical adjustment to better reflect how funds are executed by object class. There is no program impact associated with this technical change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$7,082	\$7,614	\$7,810	\$196

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. Included in this total are costs for IT equipment and software, furniture and other office equipment. The FY 2010 request includes an increase of \$196,000 for the annualization of the FY 2009 Budget Enhancement.

Department of Homeland Security
Transportation Security Administration
Federal Air Marshal Service
Training & Travel
Funding Schedule
(Dollars in Thousands)

PPA: Training & Travel		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.3	Other than perm	3	---	---	---
21.0	Travel	77,316	74,638	82,225	7,587
22.0	Transportation of things	---	10	10	---
23.2	Other rent	1,000	921	921	---
25.1	Advisory & Assistance Services	111	---	---	---
25.2	Other Services	5,363	12,784	8,232	(4,552)
25.3	Purchase from Govt. Accts.	635	259	259	---
25.4	Operation & maintenance of facilities	1	---	---	---
25.6	Medical care	19	17	17	---
26.0	Supplies & materials	3,014	5,102	5,209	107
31.0	Equipment	4,194	669	669	---
Total, Training & Travel		91,658	\$94,400	\$97,542	\$3,142
Full Time Equivalents		---	---	---	---

PPA Mission Statement

The Travel and Training (T&T) PPA is used to cover all travel and training requirements that support the FAMS program. The Travel portion of the PPA supports the FAMS' requirements for mission travel (per diem, lodging) and associated costs, such as airport parking and automated travel account services. Mission travel resources are essential to the Federal Air Marshals' ability to perform scheduled flight coverage on both domestic and international operations and provide the FAMS the necessary mobility and flexibility to perform their enforcement and counterterrorism missions. T&T funds also support other FAMS travel required for non-mission and training purposes.

T&T also supports the FAMS' comprehensive training requirements to include TP I (Basic Law Enforcement Training) and TP II (FAMS specific training) training of new Federal Air Marshals and all recurrent field training. This PPA provides funding for all associated training requirements, such as Federal Law Enforcement Training Center (FLETC) costs, training-related ammunition, TP II instructor contracts, hotel lodging contracts for Atlantic City classes, training supplies, firing range fees, professional & training gear, equipment and clothing. The T&T PPA also supports the required professional training for FAMS explosives technicians and for other professional development and career training as required.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$77,316	\$74,638	\$82,225	\$7,587

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The bulk of these costs directly support Federal Air Marshal domestic and international mission travel, which is the primary mission of the Service. Also included in this object class are travel costs related to training, conference attendance and site visits. The FY 2010 request includes an increase of \$2,587,000 for the annualization of the FY 2009 Budget Enhancement and an increase of \$5,000,000 for a technical adjustment to better reflect how funds are executed by object class. There is no program impact associated with this technical change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$5,363	\$12,784	\$8,232	(\$4,552)

Other services include contractual services with non-Federal and Federal sources that are not otherwise classified under Object Class 25. The FAMS uses this object class series for FLETC training costs, hotel lodging contracts for TP II training and field recurring range fees for Federal Air Marshals' quarterly requalifications. The FY 2010 request includes an increase of \$448,000 for the annualization of the FY 2009 Budget Enhancement and a decrease of \$5,000,000 for a technical adjustment to better reflect how funds are executed by object class. There is no program impact associated with this technical change.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$3,014	\$5,102	\$5,209	\$107

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FAMS uses this object class series for ammunition, armory supplies and training supplies. The FY 2010 request includes an increase of \$107,000 for the annualization of the FY 2009 Budget Enhancement.

**Department of Homeland Security
Transportation Security Administration
Federal Air Marshal Service
Air to Ground Communications**

Funding Schedule

(Dollars in Thousands)

PPA: Air to Ground		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
25.1	Advisory & Assistance Services	2,000	---	---	---
26.0	Supplies & materials	53	---	---	---
Total, Air to Ground		\$2,053	\$0	\$0	\$0
Full Time Equivalents		---	---	---	---

PPA Mission Statement

Air to Ground Communication System (AGCS) – The AGCS is a secure, wireless system being deployed and refined for use by Federal Air Marshals and other personnel (e.g., flight crews, other law enforcement) as an emergency in-flight air-to-ground communication system. This system provides an invaluable tool for alerting law enforcement and authorities of potential terrorist or criminal activities aboard aircraft and for otherwise improving in-flight safety. This obligation is from no-year funds provided through a previous appropriation.

I. Changes In FTE

Not Applicable.

J. FY 2009 Schedule of Working Capital Fund by Program/Project Activity

Not Applicable.

Department of Homeland Security

Transportation Security Administration



Fiscal Year 2010
Strategic Context
Congressional Justification

FY 2010 PRESIDENT’S BUDGET REQUEST STRATEGIC CONTEXT

TRANSPORTATION SECURITY ADMINISTRATION

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A. Mission and Description of the Transportation Security Administration

U.S. transportation systems move billions of people and trillions of dollars worth of goods each year that are vital to the Nation's economic prosperity, global competitiveness, and national security. The Aviation and Transportation Security Act established the Transportation Security Administration (TSA) to protect these transportation systems and ensure the freedom of movement for people and commerce. The focus of TSA is to identify, prioritize, and mitigate risks, ultimately minimizing the impact of potential incidents. Information sharing among agencies and stakeholders – including intelligence information – is a cornerstone of the risk management model.

TSA has devoted its resources to strengthening the security of the U.S. transportation network. Working with state, local and regional partners, TSA oversees security for highways, railroads, buses, mass transit systems, ports and 450 U.S. airports. TSA has grown from a small cadre of employees to a dedicated workforce of approximately 52,000 people that protect every domestic commercial airport, strengthen the nation's surface transportation modes and work with international partners around the world.

TSA's specific responsibilities include:

- Ensuring a thorough and efficient screening of all aviation passengers and baggage;
- Promoting confidence by deploying Federal Air Marshals to detect, deter, and defeat hostile acts targeting air carriers, airports, passengers, and crews;
- Managing security risks of the surface transportation systems by establishing clear lines of communication and collaborative working relationships with federal, local and private stakeholders, providing support and programmatic direction, conducting on-site inspections, and developing security programs; and
- Developing and implementing more efficient, reliable, integrated, and cost effective terrorist-related screening programs.

B. Major Activities and Key Strategic Goals:

In FY 2009, TSA was appropriated \$6.99 billion in order to maintain its critical mission and expand such areas as the deployment of emerging technologies to screen airline passengers and carry-on baggage for explosives and weapons, increase Federal Air Marshal coverage of international flights, expand technology pilots for air cargo screening, and implement new regulations and activities authorized by the 9/11 Act. In addition, TSA received a supplemental of \$1 billion from the American Recovery and Reinvestment Act (ARRA), P.L. 111-5 to enhance checked baggage systems and checkpoint equipment.

TSA's major activities are represented by the following programs:

The Aviation Security program ensures the screening of every passenger and every bag boarding a commercial aircraft, including international travelers arriving in the United States before they meet a connecting flight. TSA employs a team of highly trained, professional, multi-skilled Transportation Security Officers (TSOs) that perform physical and behavioral screening to counter constantly changing threats and operate state-of-the-art screening equipment.

As part of its improved security measures, TSA is deploying its workforce where it can achieve the best security results most efficiently and with minimal hassle for travelers. These improvements have enabled TSA to add critical new security layers based on risk. The Travel Document Checker (TDC)

program is now operating at all airports with federalized security screening and enhances security by disrupting and detecting individuals who attempt to board an aircraft with fraudulent documents. Also, Behavior Detection Officers (BDOs) have been deployed at the Nation's busiest airports as part of the Screening Passengers by Observation Technique (SPOT) program. The SPOT program uses non-intrusive behavior observation and analysis techniques to identify potentially high-risk passengers based solely on their exhibited behavior. BDOs are trained to detect individuals exhibiting behaviors that indicate they may be a threat. The program is a derivative of other successful behavioral analysis programs that have been employed by law enforcement and security personnel both in the U.S. and around the world. Some of its law enforcement partners at the local and Federal level have asked TSA to provide training on this successful program since it can be used in multiple environments to detect different types of threats.

TSOs utilize multiple technologies to screen passengers, their carry-on baggage, and their checked baggage. Checked baggage screening devices and in-line systems will be installed in the Nation's airports. An in-line baggage screening system allows TSA to integrate the mini van-sized explosive detection systems, or EDS machines, normally seen in airport terminal lobbies, with an airport's behind-the-scenes baggage handling conveyor system. These systems rapidly move baggage from the counter, through screening areas where it is screened for explosives, and onto various departing aircraft, fully integrated into the airport's baggage handling system. In-line systems provide more reliable baggage delivery, greater efficiency, and increased flexibility for traffic growth while also decreasing life cycle costs for the EDS program.

TSA also plays a key role in air cargo security. Safeguarding the Nation's air cargo transportation system is a shared public and private sector responsibility. ATSA charges TSA with the enforcement of statutory and regulatory requirements for ensuring the security of transportation systems and passengers when cargo is transported by air. The 9/11 Commission Act of 2007 (9/11 Act) requires TSA to (1) establish a system to screen 100 percent of cargo transported on passenger aircraft by August 2010; (2) provide a level of security commensurate to that of passenger baggage; and (3) meet inspection benchmarks. TSA met the goal of 50 percent screening for all outbound air cargo from U.S. airports in February 2009 and in FY2010 will focus its efforts to meet the 100% screening deadline.

TSA programs go beyond screening to secure transportation systems. Within TSA, the Office of Law Enforcement/ Federal Air Marshal Service (OLE/FAMS) program serves as the primary law enforcement entity. FAMS deploy on flights around the world and in the United States. While the primary mission of protecting air passengers and crew has not changed much over the years, Federal Air Marshals have an ever-expanding role in homeland security and work closely with other law enforcement agencies to accomplish their mission. Currently, air marshals staff several positions at different organizations such as the National Counterterrorism Center, the National Targeting Center, and on the FBI's Joint Terrorism Task Forces. They are also distributed among other law enforcement and homeland security liaison assignments during times of heightened alert or special national events.

OLE/FAMS have robust liaison relations with foreign air security partners and conduct training for foreign air marshals in relation to international terrorism. TSA continues to engage in an integrated global strategy to help deter terrorism worldwide, encourage the emergence of air marshal programs in other countries, and develop operational and training relationships with its international partners.

In FY 2008, TSA's mission coverage on critical international flights was accelerated amid heightened concerns about potential terrorism threats originating from Britain and other areas of Europe. In both

FY 2009 and FY 2010, TSA will continue to assign FAMs to targeted critical flights and maintain the international mission tempo using a risk-based methodology.

TSA's National Explosives Detection Canine Team Program (NEDTP) resides under OLE/FAMS. NEDTP prepares dogs and handlers to serve on the front lines of America's War on Terror. These very effective mobile teams can quickly locate and identify dangerous materials that may present a threat to transportation systems. By quickly ruling out the presence of dangerous materials in unattended packages, structures or vehicles, canine teams act to allow the free and efficient flow of commerce. Canines are deployed in all modes of transportation. TSA plans to have over 749 teams deployed in Aviation, Air Cargo, and Surface systems by the end of FY 2009, with the goal of reaching 780 teams in FY 2010.

The Surface Transportation Security program manages the security risk to the U.S. surface transportation system while ensuring people and commerce move freely. These systems include approximately 775 million passengers traveling on buses each year; over 9 billion passenger trips on mass transit per year; nearly 800,000 shipments of hazardous materials transported every day (95 percent by truck); over 140,000 miles of railroad track (of which 120,000 miles are privately owned); 3.8 million miles of roads (46,717 miles of Interstate highway and 114,700 miles of National Highway System roads); 582,000 bridges over 20 feet of span; 54 tunnels over 500 meters in length; and nearly 2.2 million miles of pipeline.

TSA and its partners have developed best practices, standards, and regulations to protect the transportation infrastructure through the continuing process of Corporate Security Reviews. TSA also issued a Notice of Proposed Rule Making for rail security that clarifies the agency's inspection authority, imposes security requirements for freight and passenger rail carriers transporting hazardous materials, and specifies reporting requirements for security concerns and incidents.

The High Threat Urban Areas (HTUA) initiative identifies urban areas where an airborne release of toxic inhalation hazards (TIH) chemicals from rail shipment could be catastrophic. HTUA vulnerability assessments will continue to be conducted in rail corridors. In FY 2009 and 2010, TSA is continuing inspections, monitoring and enforcing compliance with standards and regulations, along with designing and implementing vulnerability assessment models for all surface transportation modes.

The Surface Transportation Security Inspection Program (STSIP) is a unique and critically important Federal inspection and compliance program that is breaking new ground in U.S. surface transportation security. With initial emphasis on freight railroads and mass transit and passenger rail systems, the STSIP has set out to enhance security preparedness in an industry that is both vital to the economic well-being of America and is the largest transporter of passengers in the country. In FY 2009 and 2010, surface inspectors will continue to conduct on-site inspections to ensure compliance with security standards and guidelines, security directives, and security regulations. The STSIP will enhance information sharing, highlight best security practices, evaluate security system performance, and discover and assist in mitigating gaps and vulnerabilities in the industry's security systems.

The STSIP program will also continue its large presence on Visual Intermodal Prevention and Response (VIPR) teams. TSA continues to enhance security in all modes of transportation, through this program. VIPR teams consist of FAMs, Transportation Security Inspectors (TSI), TSOs, BDOs, and explosives detection canine teams. The VIPR teams are used to screen passengers, look for suspicious behavior and act as a visible deterrent in multiple transportation sectors, including buses, mass transit and airports.

The Transportation Threat Assessment and Credentialing (TTAC) program reduces the probability of a successful terrorist or other criminal attack to the transportation system through threat assessment methodologies that identify known or suspected terrorist threats working or seeking access to the Nation's transportation system. TSA serves as the Department lead for all name-based security threat assessments in addition to the background check and credentialing services for transportation industry workers and domestic passengers. Currently, TSA vets and adjudicates approximately 400,000 cases a week by reviewing and assessing biographic information, and close to 25,000 cases a week based on biometric checks against criminal databases. Additionally, the TTAC program perpetually vets over 7 million people per day, adjudicates over 12,000 cases per week and responds to over 750 redress requests a week.

On January 27, 2009, the TSA Secure Flight program began its year-long process of absorbing the matching of over two million domestic airline passengers daily to the No-Fly and Selectee subsets of the Terrorist Screening Database (Watch List). Previously air carriers were responsible for the screening of passengers against the Watch List. The Secure Flight program provides a consistent watch list matching process across all aircraft operators; allows for earlier law enforcement notification and coordination if necessary; and decreases the chance of compromised Watch List data due to its limited distribution. Through the consolidation of passenger pre-screening processes, the Secure Flight program will improve the Federal government's ability to prevent terrorists from boarding an aircraft. Watch List matching of passengers on foreign air carriers is also slated to be completed in FY 2010.

The Transportation Worker Identification Credential (TWIC) program establishes an integrated, credential-based, identity verification program through the use of biometric technology. In order to gain unescorted access to secure areas within the transportation system, workers are required to undergo a security background check before they are issued a TWIC card. The card is intended to be integrated into any existing or newly-developed access control system deployed by the transportation sectors. Other vetting programs include Hazardous Materials Commercial Driver's License Endorsement (HazMat CDL) and Alien Flight Student Program (AFSP). These programs enhance security across different transportation domains. The risk-analysis being performed is scalable for use in other sectors of this dynamic network and for other vetting populations should they be added.

Through its Vetting Infrastructure Modernization Program, TSA is strengthening its screening and credentialing framework and continues to work towards further reducing the threat to national security and transportation security. In FY 2010, TSA will continue the modernization efforts to enhance and stabilize the TTAC vetting infrastructure needed to vet populations that access the most critical transportation sectors. The resulting enhanced vetting infrastructure will eliminate existing vulnerabilities and will integrate an end-to-end capability using a universal enrollment and vetting process to conduct and manage identities, credentials and benefits, investigations, and security threat assessments for a growing population. This vetting enhancement will also allow for a universal fee process for TSA vetting programs.

The Transportation Security Support program provides the services that support the operational needs of TSA's extensive airport/field and headquarters personnel and infrastructure. The management and support of the organization is accomplished by staff in Washington, D.C., and five strategically located Mission Support Centers (MSCs). TSA has developed and will maintain a flat organizational structure that emphasizes front-line service delivery with well-trained managers supported by an array of services from Washington, D.C. This program contains four main components: Human Resource (HR) Services, Intelligence, Headquarters (HQ) Administration, and Information Technology (IT).

In an effort to improve contract management and reduce administrative overhead, TSA consolidated three previously human resource contracts into a single contract. This program, known as the Integrated Hiring Operations Program (IHOP), is expected to achieve financial and performance efficiencies through consolidation. In FY 2009, transition of services to the IHOP vendor will be complete. In FY 2010, TSA will review the service levels being delivered and the methodologies, tools, and staffing levels being employed by the IHOP vendor with the objective of identifying opportunities for improvements in order to realize even greater program efficiencies and effectiveness.

The Support program funds IT for headquarters and field offices as well as the core IT program and telecommunications infrastructure for all of the TSA managed enterprise-wide IT services. In FY 2010 DHS proposes consolidation of the DHS Enterprise Data Centers. This effort will standardize IT resource acquisitions across components and streamline maintenance and support contracts, resulting in an enhanced DHS IT security posture, improved information sharing with stakeholders, and increased operational efficiencies over time.

Key Strategic Goals:

Goal 1: Protect our Nation from Dangerous People; Objective 1.3: Strengthen Screening of Travelers and Workers

TSA's mission is to ensure the safe flow of passengers and commerce within the United States by operating robust, overlapping layers of security throughout the Nation's transportation system. Through the application of threat assessment methodologies, TSA intends to identify known or suspected terrorist working or seeking access to the Nation's transportation system. TSA is the transportation community's source for timely, flexible and scalable security threat assessment services for airline passengers and domestic workers seeking access to critical transportation sectors. In the case of a potential match, TSA provides threat assessment information to law enforcement and operational security organizations to keep individuals who pose a threat from gaining access to the transportation systems.

Goal 2: Protect our Nation from dangerous goods; Objective 2.3: Prevent and detect chemical and explosive attacks

TSA works to prevent chemical and explosive attacks through programs whose primary focus is to secure aviation transportation. The path to achieving this mission has evolved in the years since the September 11th attacks. Enhancements in aviation security now include emphasis in explosives detection training and technology, modifications to the prohibited items list, and changes to TSA security screening protocols. The 9/11 Act further strengthens TSA's ability to prevent and detect chemical and explosives attacks through its authorization of extensive Air Cargo screening.

Goal 3: Protect Critical Infrastructure; Objective 3.4: Protect Transportation Sectors

Enhancing screening through improved checkpoint technology will refine passenger security for aviation. This initiative extends beyond the airport Checkpoint and considers the end-to-end passenger experience to improve security and increase efficiency. Focus is on three key elements: improved explosives detection, enhanced hostile intent detection and extended presence in the passenger journey.

The transportation infrastructure is extraordinary in terms of its size and complexity. In cooperation with the transportation sectors, TSA has developed sector security and emergency action items to improve the security of mass transit. Through its partnership with American and Canadian railroads, TSA strives to reduce the risk posed by toxic inhalation materials transported by rail in the US, including chlorine and anhydrous ammonia. Infrastructure security depends upon the establishment and enforcement of regulations across all modes of transportation. Coordination among a vast array of partners is essential to ensure that threats across all modes are mitigated, not just transferred. TSA has several ongoing efforts (e.g. Surface, Air Cargo, Maritime, Mass Transit, Aviation Security, Federal Air Marshals, Crew Members, etc.) to develop indicators to better address risk reduction and the threats to the transportation system.

C. Resources Requested and Performance Impact

The Transportation Security Administration's FY 2010 budget request of \$7.5 billion reflects a total gross increase of \$804.8 million and 346 FTE for transportation security initiatives. Of the total request, \$743.8 million supports the annualization of 9/11 Commission Act (9/11) initiatives expended in FY 2008 and FY 2009; and funding for Workforce Shaping and Sustainment, Visible Intermodal Prevention and Response teams, Vetting Infrastructure, Explosives Detection Systems, Screening Technology Maintenance, Information Technology Sustainment, International Threat Capability, and Department of Homeland Security Traveler Redress Inquiry Program.

The FY 2010 base funding will support full deployment of additional highly skilled workforce that includes Behavior Detection Officers, Aviation Direct Access Screening Program, Travel Document Checkers, and Visible Intermodal Prevention and Response teams. Current services will also provide for acceleration of emergent technology and in-line systems and continued implementation of 9/11 critical initiatives that include Air Cargo and Security Regulations.

Major Program Increases:

- **Vetting Infrastructure Modernization** **\$64.0M (11 FTE)**
TSA requests \$64 million and 22 positions (11 FTE) to continue stabilizing and enhancing TSA's systems infrastructure and to work toward Universal Vetting. The Universal Vetting and fee rule will enable cross-population analysis, provide fee alignment for individuals with multiple credentials and increase the ability to share information across various systems. This request will enable TSA to efficiently and effectively conduct vetting operations on populations that access the most vulnerable areas of the transportation system.
- **International Threat Capability** **\$1.5M (7 FTE)**
TSA requests \$1.5 million and 14 positions (7 FTE) for Field Intelligence Officers (FIOs) to meet expanding intelligence demands and requirements at CAT X, CAT I airports and directly support FSD and Airport Senior Leadership needs for critical and current synthesized intelligence products regarding daily trends and threat assessments against local transportation stakeholders in the geographical location.
- **Travel Redress Inquiry Program** **\$1.3M (1 FTE)**

TSA requests \$1.3 million and 2 positions (1 FTE) to support the Department of Homeland Security Travel Redress Inquiry Program (DHS TRIP), TSA's Checkpoint of the Future, and the Terrorist Screening Center's Office of Redress. This funding will provide the necessary resources to fully resource, respond, and centralize the processing system for travelers who seek inquiry and resolution on screening or credentialing difficulties encountered during air or ground travel. It will implement a DHS-wide traveler redress program involving several DHS components resulting in a uniform and consistent one-stop department-wide process for handling homeland security redress issues and complaints.

Centralization of DHS TRIP processing system for travelers will decrease customer response time; ensure the reliability and integrity of DHS and TSA redress decisions; will enable enhanced information-sharing to the traveling public; and will build appropriate capacity and capability to meet or exceed anticipated future redress needs generated by such upcoming DHS/TSA programs as Secure Flight.

- **Workforce Shaping and Sustainment** **\$16.7M (63 FTE)**
TSA requests \$16.7 million and 63 FTE for Workforce Shaping and Sustainment to fund the following efforts:
 - **Bomb Appraisal Officers (BAOs)** – *\$9M and 109 BAOs (55 FTE)* to enhance aviation security by providing expertise in the recognition of and response to improvised explosive devices (IEDs). Additional BAOs will be deployed to uncovered Category I, Category II, and Primary Hub airports as well as to airports that currently have only one BAO assigned.
 - **Background Investigations** – *\$7.7M and 8 FTE* to conduct timely reinvestigations of TSA employees who have been employed for at least five years, increase the speed of the hiring process, and strengthen security through more thorough Minimum Background Investigations.

- **Explosives Detection Systems (EDS) Procurement and Installation** **\$565.4M (0 FTE)**
TSA requests \$565.4 million to accelerate the Electronic Baggage Screening Program (EBSP) at the Nation's airports to ensure 100% of all checked baggage is screened with an in-line explosive detection capability system, or a suitable alternative. This funding will support facility modifications, recapitalization efforts, and procurement and deployment of electronic baggage screening technology systems.

- **Screening Technology Maintenance** **\$19.0M (0 FTE)**
TSA requests \$19 million for increased maintenance costs associated with higher-than-projected quantities of security equipment purchased over the past several years, as well as equipment purchased in FY 2009, which will be out of warranty in FY 2010.

- **Information Technology Sustainment** **\$7.1M (0 FTE)**
TSA requests \$7.1 million to sustain information technology initiatives including screening:

- **Whisper Communications** – \$5M to provide additional Land Mobile Radios (LMRs) at the TSA checkpoints. Use of LMRs enhances communications between Transportation Security Officers with significantly less disruption to the passenger screening process.
- **Mission Scheduling and Notification System (MSNS)** – \$2.1M to refresh and upgrade critical analytical tools and scheduling system capabilities for the Federal Air Marshal Service. The MSNS provides the ability to assess and prioritize flight selection and to readily schedule and implement flight coverage.
- **Visible Intermodal Prevention and Response Teams \$50.0M (169 FTE)**
TSA requests \$50 million to support an additional 15 new Visible Intermodal Prevention and Response (VIPR) teams (338 positions/169 FTE) to enhance the security of the nation’s surface transportation modes. The VIPR operations dedicated to the surface domain include highways, freight rail, pipelines, mass transit, and maritime. VIPR operations consist of teams of TSA personnel including Transportation Security Inspectors (TSIs), canine teams, Transportation Security Officers (TSOs), Bomb Detection Officers (BDOs) and Federal Air Marshals (FAMs). These additional resources will enhance the program’s ability to screen passengers, look for suspicious behavior and act as a visible deterrent.

D. Performance Highlights, Resources and Alignment to Strategic Goals

For each major program, the performance goal, alignment to DHS goals and objectives, total dollars and FTE, and main performance measure/s are shown below.

Program: Aviation Security						
Performance Goal: Reduce the probability of a successful terrorist or other criminal attack to the air transportation system by improved aviation security.						
DHS strategic objectives supported and % allocation of activities: 1.3 - 65%, 2.3 - 30%, 3.4 - 5%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$5,211,456	\$4,722,436	\$5,367,844	\$5,308,741	\$4,990,913	\$5,580,450
FTE	52,135	45,476	47,259	48,897	49,666	49,757

*Excludes ARRA funding of \$300k and eight FTE for Checkpoint; \$700k and seven FTE for EDS/ETD.

Performance Plan Measures

Measure: Baggage security screening assessment results						
Description of Measure: This measure appraises the percent of the time Transportation Security Officers (TSOs) correctly detect threat items concealed in baggage using realistic and standardized assessment scenarios. This information is used to improve screening practices and procedures to reduce the probability of a successful terrorist or other criminal attack to the aviation transportation system. The actual results are classified and are not releasable to the public at this time for security reasons.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	Classified	Classified	Classified	Classified	Classified
Actual:	None	Classified	Classified	Classified	N/A	N/A

Measure: Passenger security screening assessment results

Description of Measure: This performance measure appraises the percent of the time the Transportation Security Officers (TSOs) correctly detect threat items concealed in carry - on baggage or on a person using realistic and standardized assessment scenarios. This information is used to improve screening practices and procedures to reduce the probability of a successful terrorist or other criminal attack to the aviation transportation system. The actual results are classified and are not releasable to the public at this time for security reasons.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	Classified	Classified	Classified	Classified	Classified	Classified
Actual:	Classified	Classified	Classified	Classified	N/A	N/A

Measure: Percent of air carriers in compliance with leading security indicators						
Description of Measure: This measure identifies overall air carrier compliance with leading security indicators. A leading security indicator is a key indicator, that, when taken into account, may be predictive of the overall security posture of an air carrier (these critical indicators are derived from criteria based on factors like a single point of failure, operational vs. administrative, human factor related). The indicators are guided by security rules, regulations, and standards. Identifying compliance with the key indicators assesses air carrier vulnerabilities. Assessing air carrier vulnerabilities is part of an overall risk reduction process, as in measuring compliance with standards is a strong indicator of system security.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	Baseline	None	96%	96%	97%	97%
Actual:	None	None	97.79%	96%	N/A	N/A

Measure: Percent of airports in compliance with leading security indicators						
Description of Measure: This measure identifies overall airport compliance with leading security indicators. A leading security indicator is a key indicator, that, when taken into account, may be predictive of the overall security posture of an airport (these critical indicators are derived from criteria based on factors like a single point of failure, operational vs. administrative, human factor related). The indicators are guided by security rules, regulations, and standards. Identifying compliance with the key indicators assesses airport vulnerabilities. Assessing airport vulnerabilities is part of an overall risk reduction process, as in measuring compliance with standards as a strong indicator of system security.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	Baseline	None	98%	95%	96%	96%
Actual:	None	95.68	95.55%	95%	N/A	N/A

Additional Measures

Measure: Cost per bag screened						
Description of Measure: This measure will suggest the system - wide human resources cost of screening a bag based on activity based costing information at a sample of airports.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	Classified	\$1.64	\$1.44	\$1.64	\$1.62	\$1.61
Actual:	None	\$1.64	\$1.44	1.44	N/A	N/A

Measure: Cost per passenger screened						
Description of Measure: This measure will suggest the system - wide human resources cost of screening a person based on the total salary and benefits costs of the TSO workforce and the number of people who pass completely through walk - through - metal - detectors at airport screening checkpoints.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010

Target:	None	\$1.89	\$1.97	\$1.89	\$1.87	\$1.85
Actual:	None	\$1.89	\$1.97	\$2.14	N/A	N/A

Measure: Improve protection of aircraft cockpits through requalification certification FFDOs.						
Description of Measure: Measures the total percentage of FFDOs who attended required bi - annual re - qualification firearm certification training. Note Re-qualifications are measured per calendar quarter and only reported at the end of each quarter.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	90%	90%	93.5%	94%	94.5%
Actual:	None	97.75%	93.2%	93.1%	N/A	N/A

Measure: Increase inspection of identified "elevated risk" air cargo on all air carriers.						
Description of Measure: This is a risk based approach to securing the safety of air cargo shipped on air carriers. The Air Cargo program aims to increase the inspection of elevated risk cargo to ensure that all cargo defined as elevated risk is screened at all airports (currently 100% of cargo shipped on air carriers is screened at the smaller category II through IV airports). Elevated risk is identified through 2006 TSA issued Security Directives (SD) and Emergency Amendments (EA).						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	Baseline	100% Domestic	100% Cat II - IV; 100% Cat X - IV categories of elevated risk	100% Cat II - IV; 100% Cat X - IV categories of elevated risk	100% Cat II - IV; 100% Cat X - IV categories of elevated risk	100% Cat II - IV; 100% Cat X - IV categories of elevated risk
Actual:	0%	None	100%	100%	N/A	N/A

Measure: Level of machine effectiveness (this measure is classified)						
Description of Measure: This measure will indicate the performance of systems operating in the field that are tested at startup to determine ongoing ability to detect threat objects at acceptable levels.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	Classified	Classified	Classified	Classified	Classified	Classified
Actual:	Classified	Classified	Classified	Classified	N/A	N/A

Measure: Level of machine effectiveness This performance measure is classified].						
Description of Measure: This measure indicates the performance of systems, which for EDS/ETD is the capacity to detect explosives in baggage at specified threat masses. We desire to have the performance of the equipment and/or systems to be certified in detecting the requisite threats (definition is classified). By meeting this certification, we ensure that the baggage is safe to be transported through aviation means. This is an annually reported measure.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	Classified	Classified	Classified	Classified	Classified
Actual:	None	None	Classified	Classified	N/A	N/A

Measure: Level of machine efficiency						
Description of Measure: This measure is the screening checkpoint capital cost per person screened with respect to walk - through metal detectors, carry on item x - ray machines, and explosives trace detection devices.						

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	Baseline	None	\$0.18	\$0.13	.12	.10
Actual:	.04	\$0.1082	\$0.17	.1102	N/A	N/A

Measure: Level of machine reliability						
Description of Measure: This measure reflects the probability that the EDS equipment, when used under the intended conditions in an actual operational environment, will operate as certified (designed). The outcome of the measurement will help to determine maintenance parameters.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	Classified	Classified	Classified	Classified	Classified
Actual:	None	Classified	Classified	Classified	N/A	N/A

Measure: Level of public confidence in the ability of the flight crew to keep air travel secure and to defend the aircraft and passengers from individuals with hostile intentions (as measured on a scale of 1 - 5).						
Description of Measure: The annual Bureau of Transportation Statistics (BTS) Omnibus Survey is an annual household survey used to measure customer satisfaction and confidence of transportation systems. Participants are randomly selected by the Department of Transportation using a statistical model. The survey is administered to the American public, and response is voluntary. Selected participants who choose to provide feedback will provide insight into the public's confidence of transportation systems. The scores range from 1 to 5, with 5 representing total confidence. Confidence in the flight crew is an indication that the training program is improving aviation security by adding another layer of protection.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	Baseline	3.17	3.19	3.20	3.21	3.24
Actual:	3.17	3.17	3.17	3.34	N/A	N/A

Measure: Level of screeners scoring 85% or greater on annual performance recertification on the first attempt.						
Description of Measure: This measure tracks the percent of screeners who score achieves standards or better on the first attempt on Standard Operating Procedures Quizzes (SOPQ) one (1) and three (3) of the technical proficiency portion in the Performance Accountability and Standards System. To ensure that the screener workforce has the knowledge and skills needed to perform the screener function, ATSA requires TSA to conduct and document an annual proficiency review of each individual who is assigned screening duties. TSA implemented the Performance Accountability and Standards System (PASS), a performance management system that established a systematic, systemic, data - driven and integrated approach to managing and improving employee performance and is strongly linked to TSA's long- and short - term strategic plans, organizational goals, and desired performance results.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	78.8%	86.2%	Classified	Classified	Classified	Classified
Actual:	48.67%	66.4%	Classified	Classified	N/A	N/A

Measure: Level of the Customer Satisfaction Index (CSI - A) for Aviation Operations.						
Description of Measure: The CSI - A is a composite index incorporating data on security confidence, passenger surveys, and compliments/complaint data on screener performance. TSA aspires to provide effective screening operations with minimum disruption to the traveling public. CSI - A is scaled where 0 is very dissatisfied, 25 is dissatisfied, 75 is satisfied, and 100 is very satisfied.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	81	82	83	83.5	84

Actual:	78	81	81	77	N/A	N/A
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Measure: Level of training course evaluation performance						
Description of Measure: Measure utilizes a 5 - point Likert scale measurement of Levels I -III of the Kirkpatrick training evaluation model that covers program effectiveness and post - training performance.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	4.60	4.64	4.68	4.73	4.78
Actual:	4.65	4.6	4.65	4.60	N/A	N/A

Measure: Level of training programs and projects within 10% of program plan						
Description of Measure: This is a percentage level of projects and programs which have output results of cost, schedule, and performance within 10% of plans.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	73%	84%	96%	94%	96%	98%
Actual:	93%	85%	96%	100%	N/A	N/A

Measure: Percent of countries with direct flights to the U.S. who are provided aviation security.						
Description of Measure: The measure reports the amount of interaction the United States has with countries providing Last - Point - of - Departure (LPD) service to the U.S. An LPD country is a country with at least one port providing direct traffic to a specific destination - usually a foreign airport with direct passenger and/or cargo flights to a U.S. destination airport. The U.S. interacts with countries providing LPD service with the goal to share aviation security policy and practices at either the national or airport level.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	100%	Baseline	100%	100%	100%
Actual:	None	None	86%	100%	N/A	N/A

Measure: Percent of countries/territories with no direct flights to the U.S. who are provided aviation security assistance						
Description of Measure: The measure reports the amount of interaction (output) the United States has with countries with no direct service to the US in the area of aviation security policy and practices.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	Baseline	4%	Baseline	45%	50%	55%
Actual:	2%	None	21%	45%	N/A	N/A

Measure: Percent of eligible flight crew members with Federal Flight Deck Officer (FFDO) certification						
Description of Measure: This measure pertains to the Federal Flight Deck Officer (FFDO) program, a Flight Crew Training program administered by the TSA/OLE - FAMS. The specific metric is the percentage of eligible flight crew members that have been trained and deputized as FFDOs, and who may therefore provide a final, deadly - force deterrent to an attempted hostile breach of the flight deck that could result in the military interdiction of a flight, and the loss of an aircraft, its passengers, and crew.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	10.5%	12.0%	13.5%	14%
Actual:	None	9.0%	10.79%	12.7%	N/A	N/A

Measure: Percent reduction in the federal share of LEO costs provided by U.S. commercial						
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airports.						
Description of Measure: Law Enforcement: Annual Measure GOAL: Reduce the reliance on federal funds for law enforcement support at the screening checkpoints through Reimbursement Agreements (RAs) with airports while increasing the number of airports with RAs. RAs are contracts for a negotiated rate of reimbursement for each fiscal year, executed on October 1. FY 2007 is the final option year of the current RAs						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	Baseline	89%	85%	85%	75%	68%
Actual:	88%	89%	85%	80%	N/A	N/A

Measure: Percentage of screeners scoring above the national standard level of Threat Image Projection (TIP) performance						
Description of Measure: First sentence deleted. TSA established a standard level of TIP performance. The measure reflects the percentage of screeners performing above the standard. Transportation Security Officers (TSOs) receive ongoing training and performance assessments to ensure that their skills are being developed to address the variety of threats that may be presented. As threats change and evolve, the TIP program develops new images and training to address the expanded needs of the TSO workforce, allowing TSA to maintain a high level of screener performance that ensures aviation security. SSI: Sensitive Security Information assessments to ensure that their skills are being developed to address the variety of threats that may be presented. As threats change and evolve, the TIP program develops new images and training to address the expanded needs of the TSO workforce, allowing TSA to maintain a high level of screener performance that ensures aviation security. SSI: Sensitive Security Information						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	Classified	Classified	Classified	Classified	Classified	Classified
Actual:	Classified	Classified	Classified	Classified	N/A	N/A

Measure: Reduce the cost per student of the Crew Member Self Defense Training Program.						
Description of Measure: This measure relates to the Crew Member Self Defense Training Program, a Flight Crew Training program administered by the TSA OLE/FAMS. The specific metric is a percentage of projects and programs which have output results of cost and schedule within 10% of annual plans. The data will track the trend in reducing per-student initial application and training course costs, which will gradually bring it to within 10% of the FY06 base of 288 per student.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	73%	None	99%	91.5%	93%	94.5%
Actual:	54%	Baseline	100%	94%	N/A	N/A

Measure: Risk reduced by Air Cargo programs and regulations						
Description of Measure: The risk reduction index assesses the capabilities of air cargo programs in reducing vulnerabilities in the air cargo supply chain to multiple threat case scenarios and evaluating the effectiveness of Air Cargo's countermeasures—programs, policies, and regulations—in reducing the risks posed to the air cargo supply chain.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	None	29 - 30 (high)	28 - 29 (medium)
Actual:	None	None	None	31.5	N/A	N/A

Program: Federal Air Marshal Service						
Performance Goal: Improve the confidence in our Nation's civil aviation system through risk - based deployment of Federal Air Marshals (FAMS) to detect, deter, and defeat hostile acts targeting U.S. air carriers, airports, passengers, and crews.						
DHS strategic objectives supported and % allocation of activities: 1.3 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$662,900	\$683,510	\$714,294	\$769,500	\$819,481	\$860,111
FTE	Classified	Classified	Classified	Classified	Classified	Classified

Performance Plan Measures

Measure: Average annual rate of accuracy in Federal Air Marshals' firearms re - qualification.						
Description of Measure: Federal law enforcement officer candidates must graduate from the Federal Law Enforcement Training Center (FLETC) with a score of 210 out of a possible 300 on FLETC's Practical Pistol Course (PPC). To graduate from Phase II of the Federal Air Marshal Training Program (FAMTP - II), a FAM candidate must achieve a higher standard, which is quantified as 255 out of 300 (85 percent) on the firearms proficiency course of fire. To remain a FAM, an employee must demonstrate the same standard of excellence by scoring at least 255 out of 300 on recurring quarterly tests. Precision requirements drive a FAM's ultimate ability to defeat an attempted attack.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	95%	95%	95%
Actual:	None	None	None	95.3%	N/A	N/A

Measure: Percent level in meeting Federal Air Marshal Service (FAMS) coverage target for each individual category of identified risk						
Description of Measure: This measure reflects the performance levels of Office of Law Enforcement, Federal Air Marshal Service (OLE/FAMS) coverage of targeted critical flights based upon impact (geographical location), vulnerability (aircraft destructive potential), threats, and intelligence relative to the availability of resources. Coverage is provided by specially trained armed law enforcement officers referred to as Federal Air Marshals (FAMs). These FAMs are deployed to fly missions noncommercial U.S. aircraft for both domestic and international flights that have been identified as Targeted Critical Flights under 10 individual risk categories that are found in the OLE/FAMS Concept of Operations. Coverage is provided using arise - based management approach for mission planning.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	100%	100%	100%	100%	100%	100%
Actual:	99.8%	101.7%	96.2%	98.1%	N/A	N/A

Additional Measures

Measure: Cost per flight per FAM						
Description of Measure: The measure reflects the full cost (FTE, Per Diem and Program Management Costs) of the FAM Service to the government per flight per FAM.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	Classified	Classified	Classified
Actual:	None	None	None	None	N/A	N/A

Measure: Improve confidence in our Nation's civil aviation system through risk-based deployment of Federal Air Marshals to detect, deter, and defeat hostile acts targeting U.S. air						
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carriers, airports, passengers, and crews.						
Description of Measure: As required by the Aviation and Transportation Security Act (PL 107 - 71), the Transportation Security Administration's Office of Law Enforcement and Federal Air Marshal Service places Federal Air Marshals on high - risk flights. This measure assesses whether these efforts improve the confidence of the U.S. public in the ability of this professional staff to defend aircraft and passengers against hostile acts. Respondents chose from one of five options to describe their confidence "in the ability of the Federal Air Marshals to defend an aircraft and its passengers from individuals with hostile intention:" 1) no confidence, 2) a small amount of confidence, 3) a moderate amount of confidence, 4) a great deal of confidence, or 5) total confidence). The percentage of responses to each option is then weighted to produce a score.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	Baseline	3.5	3.65
Actual:	None	None	None	3.33	N/A	N/A

Measure: Percentage of FAMs providing the targeted number of flying days per year						
Description of Measure: The measure is expressed as the percentage of mission deployed FAMs who were in mission status for within plus/minus ten percent of the expected annual number of mission days. FAMS best demonstrates cost efficiency by optimizing the allocation of its personnel—that is, improving the rate at which they serve in mission status at levels tied to management's focus on long-term and annual performance goals.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	N/A	88.5%	89%
Actual:	None	None	None	None	N/A	N/A

Program: Surface Transportation Security						
Performance Goal: Protect the surface transportation system while ensuring the freedom of movement for people and commerce.						
DHS strategic objectives supported and % allocation of activities: 3.4 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$36,000	\$52,226	\$37,200	\$46,613	\$63,431	\$128,416
FTE	291	277	288	326	353	545

Performance Plan Measures

Measure: Percent of mass transit agencies that are in full compliance with industry agreed upon Security and Emergency Management Action Items to improve security						
Description of Measure: The program assesses and evaluates the security posture of the mass transit and passenger rail modes through the Baseline Assessment for Security Enhancement (BASE) program. Security assessments commenced during FY07 with a focus on the 50 largest mass transit and passenger rail agencies based on passenger volume, which carries 75% of mass transit rail volume. The BASE program assesses security posture in comprehensive Security and Emergency Management Action Items, including security plans, training, exercises, public awareness, and other specific security areas. The Action Items encompass activities and measures that are critical to an effective security program. Security Inspectors conduct the assessments in partnership with the mass transit and passenger rail agencies' security chiefs and directors. The results of the security assessments inform development of risk mitigation programs and resource allocations, most notably security grants.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	50%	40%	50%
Actual:	None	None	None	23%	N/A	N/A

Measure: Percent reduction in risk from toxic inhalation hazard bulk cargoes in rail transportation						
Description of Measure: The Toxic Inhalation Hazard (TIH) Risk Reduction Program strives to reduce the risk posed by TIH materials, the most toxic chemicals transported by rail in the U.S., including chlorine and anhydrous ammonia. Through a partnership with American and Canadian railroads, Transportation Security Administration (TSA) gathers railcar movement data, focusing on the time a loaded rail car is standing unattended in a DHS - designated High Threat Urban Area (HTUA). This period of time is referred to as "dwell time". The program uses a risk calculation comprised of four elements: 1) the amount of "dwell time" in hours; 2) the specific HTUA; 3) the Population Proximity Factor; and 4) whether the car is attended or unattended. The level of risk will be compared to the baseline risk level, which is calculated from the period prior to the adoption of TSA/Department of transportation issued Security Action Items developed to enhance the security of TIH shipments.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	50%	55%	61%
Actual:	None	None	None	56.3%	N/A	N/A

Additional Measures

Measure: Number of high risk Pipeline corporate systems on which Pipeline Corporate Security Reviews will be conducted						
Description of Measure: TSA is assessing and elevating the security posture of the pipeline mode through the Pipeline Corporate Security Reviews (PCSRs). The focus of the PCSRs is on the high consequence (based on energy throughput) corporate pipelines, which carry approximately 84 percent of the nation's energy throughput. The objectives of an onsite security review are to develop first hand knowledge of security planning and execution at critical pipeline systems, establish communication with key pipeline security personnel, and identify and share smart practices. TSA's Pipeline Division conducts PCSRs in partnership with the pipeline systems staff. As industry wide security gaps are identified through the PCSR process, the TSA pipeline security division develops programs to address gaps throughout the pipeline industry.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	25 (25%)	37 (37%)	53 (53%)
Actual:	None	None	None	25 (25%)	N/A	N/A

Measure: Number of rail inspections conducted per 1000 inspector hours.						
Description of Measure: Compliance/Surface: This measure illustrates the efficiency of inspection activities by quantifying the number of inspections conducted per inspector within a certain time frame. It is important to note that surface transportation inspection processes and requirements are continually evolving and maturing. As a result, this may require adjustments to future targets.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	14	53.4	60	62	64
Actual:	None	14	53.4	91	N/A	N/A

Measure: Percent of highway infrastructure systems that have undergone a Corporate Security Review (CSR)						
Description of Measure: TSA assesses security posture of state DOTs (and the District of Columbia) through the Highway and Motor Carrier Corporate Security Review Program (CSR). The Highway and Motor Carrier Division CSRs are "instructional" reviews that provide TSA with a general understanding of each state Department of Transportation's ability to protect its key						

physical and critical assets. During a CSR, teams of TSA modal experts evaluate and collect physical and operational preparedness information, critical assets, key point - of - contact lists, review emergency procedures and domain awareness training, and provide an opportunity to share smart practices. The on - site voluntary reviews serve to establish data against which to evaluate minimum security standards and identify coverage gaps within states to reduce risk.

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	43 (84.3%)	47 (92.2%)	51 (100%)
Actual:	None	None	None	43 (84.3)	N/A	N/A

Measure: Percentage of applicable passenger and mass transit rail systems having undergone a Security Directive Review (rail).

Description of Measure: A security directive review is an evaluation of a system's security posture with respect to TSA - issued security directives. As additional security directives and regulations are promulgated in other modes, it is expected that these compliance reviews will incorporate other modes as well. 100% of applicable systems will be completed by FY08. Systems reviewed in FY 06 - 08 will be revisited at a rate of 33% per year in FYs 09 - 12.

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	24%	72%	100%	100%	100%
Actual:	None	55.7%	72%	88%	N/A	N/A

Program: Transportation Security Support

Performance Goal: Improve the efficiency and effectiveness of transportation security business and management services by providing comprehensive leadership, oversight, and support to all programs.

DHS strategic objectives supported and % allocation of activities: 1.3 - 100%

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	None	\$514,641	\$525,283	\$523,515	\$950,235	\$1,004,600
FTE	None	1,271	1,476	1,476	1,383	1,397

Performance Plan Measures

Measure: Percent decrease in worker's compensation claims.

Description of Measure: This measure tracks improvements that have been made in reducing the amount of money that has been paid in worker's compensation. Traumatic Injury Leave is authorized when an employee sustains a work - related traumatic injury and the injured workers physician certifies that the employee is unable to work or TSA fails to provide limited duty work during the first 45 days following the injury. The percent decrease represents salary compensation paid to employees for lost time associated with traumatic injuries.

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	5%	5%	7%
Actual:	None	None	None	39%	N/A	N/A

Measure: Percent of customers satisfied with the intelligence products provided

Description of Measure: This measure shows the overall level of customer satisfaction with intelligence products produced and disseminated by the program

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	75%	85%	85%	90%	90%
Actual:	None	No Response	89.6%	80%	N/A	N/A

Additional Measures

Measure: Increase in percentage of reporting in the Daily Intelligence Summary directed at Terrorists groups and or activities that reflect a direct threat to the U.S. transportation system.						
Description of Measure: Savings in people - hours and effort expended on reporting intelligence information not required (non - transportation system) for TSA decision making.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	90	0	0	0	0
Actual:	None	No Data	N/A	N/A	N/A	N/A

Measure: Level of customer satisfaction with user support resolution.						
Description of Measure: Portions of the TSS program tracks customer satisfaction metrics through follow - up SPOC field surveys that are based on a 5.0 Likert scale. These monthly metrics are a compilation of daily follow - up calls in response to user support issues. The questions include responses based on promptness, courteousness, technical service, and problem solving. Using a response of 1 as the lowest (customer dissatisfaction) and 5 as the highest (customer satisfaction), TSA is able to identify potential areas for improvement and areas where support is satisfactory.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	4.85	4.85	4.85	4.85	4.85
Actual:	None	4.85	4.88	4.85	N/A	N/A

Measure: Percent of customers utilizing the Transportation Security Intelligence Service Remote Access to Classified Enclaves (TRACE) intelligence sharing program.						
Description of Measure: This measure shows the percentage of total deployed TRACE systems that record a connection. The connectivity is based on the site fully authenticating through the TRACE network and opening a product while connected to the website.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	50%	50%	90%	92%	94%
Actual:	None	38%	22%	84%	N/A	N/A

Measure: Percentage of systems certified based on Federal Information System Management Act (FISMA), as accepted by DHS and accredited as designated by CIO.						
Description of Measure: This measure ensures that all IT systems are certified and able to provide quality support to the Nations transportation systems. A certified IT system undergoes a security accreditation, which is the official management decision given by a senior agency official to authorize operation of an information system and to explicitly accept the risk to agency operations, agency assets, or individuals based on the implementation of an agreed - upon set of security controls. (Note: In FY 2004, TSA had only seven operational IT systems. The certification effort became significantly more challenging in FY 2005, when the number of systems spiked up to 107. This resulted in TSA missing its target. The process has stabilized and the current and future year targets are valid.) This measure is reported based on FISMA year-end of July 31st as opposed to fiscal year-end of September 30th.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	100%	100%	100%	100%	100%
Actual:	None	100%	100%	100%	N/A	N/A

Measure: Reduce cost and schedule variance for information technology infrastructure projects.						
Description of Measure: This efficiency allows both Government and contractor Program Managers (PM) to have visibility into technical, cost, and schedule planning, performance, and progress of the contract effort. TSA's target is to achieve 75% programs meeting cost and schedule goals by less than 10% variance.						

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	99.99%	99.99%	99.99%	99.99%	99.99%
Actual:	None	99.99%	99.99%	99.99%	N/A	N/A

Program: Transportation Threat Assessment and Credentialing						
Performance Goal: Reduce the threat to national security or transportation security by individuals engaged in various aspects of the U.S. transportation systems.						
DHS strategic objectives supported and % allocation of activities: 1.3 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$240,686	\$65,224	\$74,670	171,490	\$166,718	\$219,999
FTE	104	83	172	172	201	250

*Includes Appropriation and Fees

Performance Plan Measures

Measure: Percent of individuals undergoing a Transportation Threat Assessment and Credentialing (TTAC) security threat assessment						
Description of Measure: This measure indicates the percent of Transportation Threat Assessment and Credentialing (TTAC) population receiving a Security Threat Assessment. Thorough vetting will decrease vulnerabilities of sensitive transportation systems by limiting access of potentially dangerous individuals who are identified by TTAC vetting and credentialing programs. The populations currently include international flight crews, aviation workers, hazardous material drivers, and non-U.S. citizens receiving flight instruction at Federal Aviation Administration certified flight schools in the U.S. and abroad. In the future, TTAC programs will also cover domestic airline passengers, surface, and maritime workers.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	100%	100%	100%	100%	100%
Actual:	None	100%	100%	100%	N/A	N/A

Additional Measures

Measure: Percent of all commercial airline domestic flight passengers vetted. (Secure Flight Only)						
Description of Measure: This is an indication of what percentage of commercial airline domestic flight passengers are being protected from potential terrorist activities.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	None	100%	100%
Actual:	None	None	None	None	N/A	N/A

Measure: Ratio of false positives to total names processed.						
Description of Measure: This measure assesses how well the program is restricting access to people who do (or do not) present a threat to the Nation's transportation system.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	Baseline	TBD	+/- .8%	+/- .6%	+/- .4%
Actual:	None	None	.58%	.55%	N/A	N/A

Measure: Security Threat Assessment (STA) cost per vetted individual.						
Description of Measure: This measure ensures that the cost of performing security threat assessments remains within acceptable levels.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010

Target:	None	\$15.56	\$15.00	\$14.50	\$14.00	\$13.75
Actual:	None	\$15.56	\$15.00	\$14.50	N/A	N/A

**Department of Homeland Security
Transportation Security Administration**
(Dollars in Thousands)

Budget Activity	2008		2009		2010	
	Revised Enacted ¹		Enacted ²		Request	
	FTE	Amount	FTE	Amount	FTE	Amount
I. AVIATION SECURITY	48,897	4,808,691	49,666	4,740,913	49,757	5,330,450
1. Screening Partnership Program	---	143,385	---	151,272	---	149,643
2. Screener PC&B	45,438	2,636,104	45,643	2,716,014	45,698	2,788,575
3. Screener Training & Other	---	223,766	54	197,318	54	203,463
4. Human Resource Services	---	182,234	---	---	---	---
5. Checkpoint Support	---	---	40	250,000	40	128,739
6. EDS/ETD Procurement and Installation	---	294,000	106	294,000	102	856,591
7. Screening Technology Maintenance and Utilities	---	264,000	---	305,625	---	326,625
8. Operation Integration	24	25,000	---	21,481	---	21,481
9. Aviation Regulation and Other Enforcement	1,038	255,953	1,086	248,943	1,097	254,064
10. Airport Management and Support	2,045	651,933	2,064	401,666	2,093	448,424
11. Federal Flight Deck Officer and Flight Crew Training	25	25,091	29	25,025	29	25,127
12. Air Cargo	325	73,000	642	122,849	642	108,118
13. Airport Perimeter Security	---	4,000	---	4,000	---	---
14. Implementation of 9/11 Act	---	30,000	---	---	---	---
15. General Aviation at DCA - Fee	---	25	---	120	---	100
16. Indirect Air Cargo - Fee	2	200	2	2,600	2	2,600
17. Certified Cargo Screening Program - Fee	---	---	---	---	---	5,200
18. Large Aircraft Security Program - Fee	---	---	---	---	---	1,600
19. Secure Identification Display Area Checks - Fee	---	---	---	---	---	10,000
20. Other Security Threat Assessments - Fee	---	---	---	---	---	100
II. SURFACE TRANSPORTATION SECURITY	326	46,613	353	63,431	545	128,416
1. Surface Transp Security Operations and Staffing	188	24,485	160	33,711	160	42,293
2. Surface Transp Security Inspectors	138	22,128	193	29,720	385	86,123
III. TRANSPORTATION THREAT ASSESSMENT & CREDENTIALING	122	82,590	151	116,018	206	191,999
1. Secure Flight	65	50,000	86	82,211	108	84,363
2. Crew Vetting	42	14,990	---	---	---	---
3. Other Vetting	15	9,500	65	33,807	98	107,636
4. TWIC Appropriated	---	8,100	---	---	---	---
CREDENTIALING FEES	44	85,900	44	46,700	38	24,000
1. Registered Traveler Program -Fee	12	3,500	12	---	---	---
2. TWIC - Fee	15	64,400	15	31,700	21	9,000
3. HAZMAT CDL - Fee	17	18,000	17	15,000	17	15,000
IV. TRANSPORTATION SECURITY SUPPORT	1,476	523,515	1,383	950,235	1,397	1,004,600
1. Intelligence	99	21,000	149	24,461	167	28,203
2. Headquarters Administration	1,377	293,191	922	234,870	888	248,929
3. Human Capital Services	---	---	177	218,105	193	226,338
4. Information Technology	---	209,324	135	472,799	149	501,110
5. Sensitive Security Information - Fee	---	---	---	---	---	20
V. FEDERAL AIR MARSHALS	---	769,500	---	819,481	---	860,111
1. Management and Administration	---	674,173	---	725,081	---	762,569
2. Travel and Training	---	95,327	---	94,400	---	97,542
Total Direct Appropriations and Budget Estimates (Gross Discretionary)	50,865	6,316,809	51,597	6,736,778	51,943	7,539,576
MANDATORY FEES						
Aviation Security Capital Fund (ASCF)	---	250,000	---	250,000	---	250,000
Airport Checkpoint Security Fund (ACSF)	---	250,000	---	---	---	---
Alien Flight School - Fee	6	3,000	6	4,000	6	4,000
Total Budget Authority (Gross Budgetary Resources)	50,871	6,819,809	51,603	6,990,778	51,949	7,793,576
FEE ACCOUNT OFFSET						
Discretionary Fees:	---	(2,199,150)	---	(2,369,420)	---	(2,272,541)
Aviation Passenger Security Fees (less ASCF & ACSF)	---	(1,664,975)	---	(1,872,000)	---	(1,780,941)
Aviation Security Infrastructure Fund	---	(448,000)	---	(448,000)	---	(448,000)
General Aviation at DCA - Fee	---	(75)	---	(120)	---	(100)
Indirect Air Cargo - Fee	---	(200)	---	(2,600)	---	(2,600)
Certified Cargo Screening Program - Fee	---	---	---	---	---	(5,200)
Large Aircraft Security Program - Fee	---	---	---	---	---	(1,600)
Secure Identification Display Area Checks - Fee	---	---	---	---	---	(10,000)
Other Security Threat Assessments - Fee	---	---	---	---	---	(100)
Registered Traveler Program - Fee	---	(3,500)	---	---	---	---
TWIC - Fee	---	(64,400)	---	(31,700)	---	(9,000)
HAZMAT CDL - Fee	---	(18,000)	---	(15,000)	---	(15,000)
Sensitive Security Info - Fee	---	---	---	---	---	(20)
Mandatory Fees:	---	(503,000)	---	(254,000)	---	(254,000)
Aviation Security Capital Fund	---	(250,000)	---	(250,000)	---	(250,000)
Airport Checkpoint Security Fund (ACSF)	---	(250,000)	---	---	---	---
Alien Flight School - Fee	---	(3,000)	---	(4,000)	---	(4,000)
RESCISSION OF PRIOR YEAR FUNDS	---	(4,500)	---	(31,000)	---	---
Net, Direct Appropriations and Budget Estimates	50,871	4,113,159	51,603	4,336,358	51,949	5,267,015

¹ FY 2008 Revised Enacted include revised fee estimates.

² FY 2009 Enacted includes (1) spread of \$20M in Implementation of 9/11 Act funding to Aviation Regulation & Enforcement, Rail Security Inspectors a Intelligence & Headquarters Administration; and (2) revised FY09 fee estimates.

ii. Homeland and Non-Homeland Allocation

Department of Homeland Security
U.S. Coast Guard
 Homeland and Non-Homeland Allocation by Strategic Goals
 (Dollars in Thousands)

Budget Activity	2008 Actual Budget Authority (BA)						2009 Enacted						2010 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Operating Expenses	17,965	\$2,146,923	29,058	\$3,967,031	47,023	\$6,113,954	16,969	\$2,195,378	30,915	\$3,999,547	47,884	\$6,194,925	17,462	2,357,988	31,088	4,198,200	48,550	\$6,556,188
- Marine Safety		---	9,065	1,260,928	9,065	1,260,928		---	9,389	1,214,727	9,389	1,214,727		---	9,463	1,277,931	9,463	1,277,931
- Maritime Mobility		---	8,674	1,147,942	8,674	1,147,942		---	9,122	1,180,100	9,122	1,180,100		---	9,050	1,222,160	9,050	1,222,160
- Protection of Natural Resources		---	5,151	717,203	5,151	717,203		---	5,459	706,184	5,459	706,184		---	5,529	746,688	5,529	746,688
- Maritime Security	14,434	1,740,141	6,168	840,958	20,602	2,581,099	13,825	1,788,522	6,945	898,536	20,770	2,687,058	14,278	1,928,125	7,046	951,421	21,324	2,879,546
- National Defense	3,531	406,782		---	3,531	406,782	3,144	406,856		---	3,144	406,856	3,184	429,863		---	3,184	429,863
Environmental Compliance and Restoration	---	---	23	13,400	23	13,400	---	---	24	13,000	24	13,000	---	---	24	13,198	24	13,198
- Protection of Natural Resources		---	23	13,400	23	13,400		---	24	13,000	24	13,000		---	24	13,198	24	13,198
Reserve Training	211	44,555	341	82,328	552	126,883	190	46,247	346	84,254	536	130,501	193	47,922	343	85,710	536	133,632
- Marine Safety		---	106	26,168	106	26,168		---	105	25,589	105	25,589		---	104	26,375	104	26,375
- Maritime Mobility		---	102	23,823	102	23,823		---	102	24,860	102	24,860		---	100	23,976	100	23,976
- Protection of Natural Resources		---	60	14,884	60	14,884		---	61	14,877	61	14,877		---	61	15,454	61	15,454
- Maritime Security	170	36,114	73	17,453	243	53,567	155	37,676	78	18,928	233	56,604	158	39,359	78	19,905	236	59,264
- National Defense	41	8,441		---	41	8,441	35	8,571		---	35	8,571	35	8,563		---	35	8,563
Acquisition, Construction and Improvements	230	493,018	406	774,801	636	1,267,819	218	475,334	467	1,019,242	685	1,494,576	256	480,570	479	903,410	735	1,383,980
- Marine Safety		---	121	253,345	121	253,345		---	109	238,983	109	238,983		---	108	202,382	108	202,382
- Maritime Mobility		---	51	141,188	51	141,188		---	49	105,847	49	105,847		---	22	42,409	22	42,409
- Protection of Natural Resources		---	103	167,528	103	167,528		---	117	254,934	117	254,934		---	129	244,231	129	244,231
- Maritime Security	187	414,131	131	212,740	318	626,871	174	379,451	192	419,478	366	798,929	214	401,677	220	414,388	434	816,065
- National Defense	43	78,887		---	43	78,887	44	95,883		---	44	95,883	42	78,893		---	42	78,893
Alteration of Bridges	---	---	---	16,000	---	16,000	---	---	---	16,000	---	16,000	---	---	---	---	---	---
- Maritime Mobility		---		16,000		16,000		---		16,000		16,000		---		---		---
Research, Development, Test and Evaluation	13	4,979	72	20,021	85	25,000	35	5,538	67	12,462	102	18,000	13	2,646	88	17,099	101	19,745
- Marine Safety		---	17	4,803	17	4,803		---	17	2,841	17	2,841		---	44	7,904	44	7,904
- Maritime Mobility		---	16	4,372	16	4,372		---	14	1,953	14	1,953		---	8	1,422	8	1,422
- Protection of Natural Resources		---	33	8,892	33	8,892		---	23	5,304	23	5,304		---	23	5,056	23	5,056
- Maritime Security	10	4,056	6	1,954	16	6,010	31	4,919	13	2,364	44	7,283	11	2,126	13	2,717	24	4,843
- National Defense	3	923		---	3	923	4	619		---	4	619	2	520		---	2	520
Health Care Fund Contribution	---	95,553	---	176,558	---	272,111	---	91,185	---	166,120	---	257,305	---	95,670	---	170,336	---	266,006
- Marine Safety		---		56,120		56,120		---		50,454		50,454		---		51,851		51,851
- Maritime Mobility		---		51,090		51,090		---		49,015		49,015		---		49,587		49,587
- Protection of Natural Resources		---		31,920		31,920		---		29,330		29,330		---		30,296		30,296
- Maritime Security		77,446		37,428		114,874		74,286		37,321		111,607		78,230		38,602		116,832
- National Defense		18,107		---		18,107		16,899		---		16,899		17,440		---		17,440

ii. Homeland and Non-Homeland Allocation

Department of Homeland Security
U.S. Coast Guard
 Homeland and Non-Homeland Allocation by Strategic Goals
 (Dollars in Thousands)

Budget Activity	2008 Actual Budget Authority (BA)						2009 Enacted						2010 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Retired Pay	---	422,196	---	762,524	---	1,184,720	---	398,442	---	838,303	---	1,236,745	---	465,947	---	895,298	---	1,361,245
- Marine Safety		---		242,565		242,565		---		247,916		247,916		---		264,039		264,039
- Maritime Mobility		---		206,771		206,771		---		220,178		220,178		---		214,995		214,995
- Protection of Natural Resources		---		144,727		144,727		---		161,580		161,580		---		177,914		177,914
- Maritime Security		344,488		168,461		512,949		338,704		208,629		547,333		382,788		238,350		621,138
- National Defense		77,708		---		77,708		59,738		---		59,738		83,159		---		83,159
Boat Safety	---	---	8	132,924	8	132,924	---	---	8	133,552	8	133,552	---	---	8	130,589	8	130,589
- Marine Safety		---	8	132,924	8	132,924		---	8	133,552	8	133,552		---	8	130,589	8	130,589
Oil Spill Recovery	---	---	---	76,286	---	76,286	---	---	---	149,095	---	149,095	---	---	---	91,000	---	91,000
- Protection of Natural Resources		---		76,286		76,286		---		149,095		149,095		---		91,000		91,000
Gift Fund	---	696	---	1,290	---	1,986	---	29	---	51	---	80	---	29	---	51	---	80
- Marine Safety		---		410		410		---		15		15		---		15		15
- Maritime Mobility		---		373		373		---		16		16		---		14		14
- Protection of Natural Resources		---		233		233		---		9		9		---		10		10
- Maritime Security		565		274		839		23		11		34		24		12		36
- National Defense		131		---		131		6		---		6		5		---		5
Total Direct Appropriations and Budget Estimates	18,419	\$3,207,920	29,908	\$6,023,163	48,327	\$9,231,083	17,412	\$3,212,153	31,827	\$6,431,626	49,239	\$9,643,779	17,924	\$3,450,772	32,030	\$6,504,891	49,954	\$9,955,663
Fee Accounts	---	---	---	19,217	---	19,217	---	---	---	19,319	---	19,319	---	---	---	19,437	---	19,437
Marine Safety Fees	---	---	---	19,217	---	19,217	---	---	---	19,319	---	19,319	---	---	---	19,437	---	19,437

Explanation of Changes:

Homeland Security activities includes the following programs: Migrant Interdiction, Ports, Waterways and Coastal Security and Defense Readiness.

Non-Homeland activities include the following programs: Search and Rescue, Marine Safety, Aids to Navigation, Ice Operations, Marine Environmental Protection, Living Marine Resources, Drug Interdiction and Other Law Enforcement.

Funds account for all scorekeeping adjustments

For comparability purposes, FY 2008 Operating Expenses excludes \$9.584M rescission of unobligated 2007 recurring balance from section 505 of P.L. 109-295 which was offset when allowed to be transferred to FY 2008, P.L. 110-161. Also, FY 2009 Operating Expenses Appropriation includes \$112M OIF Supplemental Appropriations pursuant to P.L. 110-329.

iii. Status of Congressionally Requested Studies, Reports, and Evaluation**Department of Homeland Security
U.S. Coast Guard**

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2009	Prior to obligation of \$350M.	Senate bill, Senate mark; House bill, House mark; Conf. bill, explanatory statement	Deepwater Expenditure Plan	Will submit after FY10 President's Request is delivered to Congress.
2009	Feb. 2, 2009	Senate bill; House bill; Conf. bill	Deepwater Implementation Plan Review	Will submit after FY10 President's Request is delivered to Congress.
2009	2011	Senate bill; House bill; Conf. bill	5 Year Comprehensive Deepwater Implementation Plan Review	Under development.
2009	Apr. 6, 2009	Senate mark; explanatory statement	Workforce Action Plan	In CG for review
2009	Apr. 6, 2009	Senate mark; explanatory statement	Coast Guard Yard Report	With DHS for review/clearance

iii. Status of Congressionally Requested Studies, Reports, and Evaluation**Department of Homeland Security
U.S. Coast Guard**

2009	Dec. 1, 2008	House bill, House mark; Conf. bill, explanatory statement	Financial Management Improvement Plan	Delivered to Congress: 12/2/08
2009	Sep. 30, 2009	House bill, House mark; Conf. bill	Sexual Harassment and Violence at the Service Academies Report	Routing for CCG signature
2009	Nov. 28, 2008	House mark; explanatory statement	Port and Maritime Safety and Security Expenditure Plan	Delivered to Congress: 1/22/09
2009	Apr. 6, 2009	House mark; explanatory statement	Maritime Surveillance Mission Needs in Air Station Borinquen AOR	In CG for review
2009	Nov. 28, 2008	House mark; explanatory statement	Aviation Mission Hour Gap Allocation Plan	Delivered to Congress: 1/29/09

iii. Status of Congressionally Requested Studies, Reports, and Evaluation**Department of Homeland Security
U.S. Coast Guard**

2009	Apr. 6, 2009	House mark; explanatory statement	Cutter Maintenance Costs Analysis	With OMB for review/clearance
2009	Mar. 30, 2009	House mark; explanatory statement	Management and Technology Efficiencies	With OMB for review/clearance
2009	Apr. 6, 2009	House mark; explanatory statement	Bay Area Lighthouse Report	With OMB for review/clearance
2009	Prior to obligation	House mark	MPA requirements and operational testing plan	DELIVERED (PER CDR OFFUTT EMAIL DATED 11/10/08 DOCUMENTING DISCUSSION WITH CG-0921)
2009	Nov. 28, 2008	House mark; explanatory statement	HC-130J Remediation Plan	Delivered to Congress: 1/22/09

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

**Department of Homeland Security
U.S. Coast Guard**

2009	Apr. 6, 2009	Conf. bill	Plan for Reconstruction and Restoration Associated with 2008 Natural Disasters and Flooding (\$300M)	Delivered to Congress: 4/4/09
2009	Jan 15, April 15, Jul 15, Oct 15	FY01 DOT Approps Conf Report (106-940) Sec. 360	(Quarterly) Abstract of Operations Report (QAOP)	Delivered to Congress:
2009	Jan 15, April 15, Jul 15, Oct 15	FY01 DOT Approps Conf Report (106-940) Sec. 360	(Quarterly) Acquisition Report (QARC)	With DHS/OMB for review/clearance
2009	5/17/2009, 11/17/09	(PL 94-524) Sec 9 Presidential Protection Assistance Act	(Semi-Annual) FY09 Presidential Security Expenditures	In CG for review
2009	10-Aug-09	FY06 DHS Approps House Report (109-79) PG 60 FY06 DHS Conference Approps Report (109-241)	BiAnnual Port Security Terrorism Excercises Results	Under development.

iv: Schedule of Authorized/Unauthorized Appropriations by PPA

Department of Homeland Security
U. S. Coast Guard
Schedule of Authorized/Unauthorized Appropriations by Program Project/Activity
(Dollars in Thousands)

Budget Activity	Last Year of	Authorized	Appropriation in Last	FY 2010
	Authorization	Level	Year of Authorization	Request
	Fiscal Year	Amount	Amount	Amount
Operating Expenses	FY 2006	5,633,900	5,492,331	6,556,188
Acquisition, Const, & Impr.	FY 2006	1,903,821	1,141,800	1,383,980
Research & Development	FY 2006	24,000	17,750	19,745
Retired Pay	FY 2006	1,014,080	1,014,080	1,361,245
Bridge Alteration & Removal	FY 2006	38,400	15,000	0
Environmental Compliance	FY 2006	12,000	12,000	13,198
Reserve Training	FY 2006	119,000	119,000	133,632
Boat Safety	FY 2006	113,401	113,401	130,589
Oil Spill Recovery	FY 2006	139,442	139,442	91,000
Gift Fund	FY 2006	1,563	1,563	80
Health Care Fund	FY 2006	260,533	260,533	266,006
Total Direct Authorization/Appropriation		9,260,140	8,326,900	9,955,663
Fee Accounts				

Department of Homeland Security

United States Coast Guard

Operating Expenses



Fiscal Year 2010

Congressional Justification

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U. S. Coast Guard

Operating Expenses

I. Appropriation Overview

A. Mission Statement for Operating Expenses:

The Coast Guard requests \$6.556 billion and 48,550 FTE in FY 2010, increases of \$361.263 million and 666 FTE compared to the \$6.195 billion and 47,884 FTE enacted in FY 2009. The Coast Guard's Operating Expenses (OE) request seeks funding for the annualization of prior-year, part-year funding, pay and non-pay cost of living increases, and operating and maintenance funding for prior-year Administration and Congressional line items. The OE request supports all 11 statutorily mandated Coast Guard mission-programs, and in turn, these mission programs directly support the Coast Guard's role as the nation's principal Federal agency charged with ensuring America's maritime **safety and security** as well as the Department of Homeland Security's (DHS) strategic goals and objectives.

B. Budget Activities:

Operating Expenses provide direct support to all Coast Guard missions, including: Search and Rescue (SAR); Marine Safety; Aids to Navigation (AtoN); Ice Operations; Marine Environmental Protection (MEP); Living Marine Resources (LMR); Drug Interdiction; Migrant Interdiction; Other Law Enforcement; Ports, Waterways and Coastal Security (PWCS); and Defense Readiness.

C. Budget Request Summary:

The Coast Guard requests \$6.556 billion and 48,550 FTE in FY 2010. Total adjustments-to-base are \$308,247 million and 576 FTE. In particular, new funding will support the mandatory pay increase (2.9% military and 2.0% civilian); GSA rent and security charge increases; emergency maintenance; increased costs for government services; IT inflation; and the operation, maintenance, and crewing of Deepwater assets.

Additionally, total funding continues support for operation and maintenance costs associated with non-Deepwater programs such as Response Boat-Medium, Interagency Operations Centers, Rescue 21, and the Nationwide Automatic Identification System (NAIS).

Program increases include 90 FTE and \$53.016 million to improve financial management oversight, and enhance marine safety and security operations.

Efficiencies amounting to \$88,412 million are identified to allow for the re-allocation of resources to critical DHS and Coast Guard priorities. These efficiencies include decommissioning four aircraft in accordance with the Deepwater Implementation Plan and terminating the Loran-C system.

Of the total 48,645 positions, 48,550 FTE, and \$6.556 billion requested in this budget, an increase of 194 positions, 666 FTE, and \$361.263 million is reflected in this account.

Base adjustments include:

- Annualizations of prior-year funding – \$85.920 million
- FY 2010 pay increase and annualization of FY 2009 pay raise for both military and civilian members – \$100.714 million
- Parity with DoD's military entitlement initiatives – \$80.520 million
- Operational Adjustment Increases (includes GSA rent and security charges, Emergency Maintenance, Government services, Long Range Identification and Tracking, Coast Guard Academy IT network, and IT inflation.– \$58.117 million
- Operating and Maintenance funds for new assets (to include follow-on costs related to Deepwater assets, Aids-to-Navigation Modernization, Response Boat-Medium, Interagency Operations Centers (Command 21), Rescue 21, Nationwide Automatic Identification System, and Sector Air Station Corpus Christi. – \$71.388 million

Program change decreases include:

- Termination of one-time costs – (\$32.689 million)
- Annualization of FY 2009 management efficiencies – (\$4.934 million)
- Decommissioning of three HU-25 Aircraft – (\$8.171 million)
- Decommissioning of one HC-130H Aircraft – (\$3.018 million)
- Operations Systems Center expansion project reduction – (\$3.600 million)
- Loran-C Termination – (\$36.000 million)

Program change increases include:

- Financial Management Oversight – \$20.000 million
- Marine Safety Program – \$7.500 million
- Armed Helicopters Initiative Enhancement – \$0.845 million
- Biometrics at Sea – \$1.183 million
- Seahawk Charleston Interagency Operations Ctr Sustainment – \$1.088 million
- Data Center migration - \$22.400 million

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses**
Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Total Changes		Increase (+) or Decrease (-) For FY 2010		Adjustments-to-base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
I. Military Pay and Allowances	40,710	\$ 3,002,361	41,359	\$ 3,073,520	41,775	\$ 3,244,861	416	\$ 171,341	42	\$ 4,917	374	\$ 166,424
II. Civilian Pay and Benefits	6,313	\$ 603,859	6,525	\$ 648,346	6,775	\$ 699,594	250	\$ 51,248	48	\$ 5,594	202	\$ 45,654
III. Training and Recruiting	-	\$ 190,858	-	\$ 197,993	-	\$ 205,970	-	\$ 7,977	-	\$ 1,253	-	\$ 6,724
IV. Operating Funds and Unit Level Maintenance	-	\$ 1,246,185	-	\$ 1,185,317	-	\$ 1,149,513	-	\$ (35,804)	-	\$ 16,724	-	\$ (52,528)
V. Centrally Managed Accounts	-	\$ 250,281	-	\$ 263,702	-	\$ 353,071	-	\$ 89,369	-	\$ 24,051	-	\$ 65,318
VI. Depot Level Maintenance	-	\$ 816,121	-	\$ 826,047	-	\$ 903,179	-	\$ 77,132	-	\$ 477	-	\$ 76,655
Subtotal, Enacted Appropriations and Budget Estimates	47,023	\$ 6,109,665	47,884	\$ 6,194,925	48,550	\$ 6,556,188	666	\$ 361,263	90	\$ 53,016	576	\$ 308,247
Adjustments for Other Funding Sources:												
OSL/TF Contribution		[\$ 24,500]										
DoD Transfer (P.L. 110-161)		[\$ 110,000]										
DoD Transfer (P.L. 110-252)		[\$ 112,607]	[844]	[\$112,000]	[844]	[\$241,503]						
DoD Transfer (P.L. 110-252)			-	[\$129,503]								
Net, Enacted Appropriations & Budget Estimates	47,023	\$ 6,109,665	47,884	\$ 6,194,925	48,550	\$ 6,556,188	666	\$ 361,263	90	\$ 53,016	576	\$ 308,247

III. Current Services Program Description by PPA

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses
Program Performance Justification**
(Dollars in thousands)

PPA I: MILITARY PAY AND ALLOWANCES

	Perm Pos	FTE ¹	Amount
2008 Actual	40,492	40,710	3,002,361
2009 Enacted	41,427	41,359	3,073,520
2010 Adjustments-to-Base	(108)	374	166,424
2010 Current Services	41,319	41,733	3,239,944
2010 Program Change	84	42	4,917
2010 Request	41,403	41,775	3,244,861
Total Change 2009-2010	(24)	416	171,341

The Coast Guard's FY 2010 request is \$3.245 billion, an increase of \$171.341 million over FY 2009 enacted.

CURRENT SERVICES PROGRAM DESCRIPTION:

Requests funding for expenses related to compensation and benefits for active duty military personnel. This category includes pay, allowances, employer's share of FICA, Social Security credits, and other expenses associated with compensating military personnel. Costs related to compensation are calculated by using the Coast Guard's Standard Personnel Cost (SPC) tables. These tables are updated annually and provide a detailed calculation for each billet, broken down by rank/rate, location – in the United States (INCONUS) or out of the country (OCONUS – which includes AK and HI), medical costs and permanent change of station (PCS) expenses. Calculations for medical cost estimates are the same for each billet. Calculations for PCS moves and base pay are based upon rank and location of billet. Pay estimates account for OMB published pay inflation factors for the fiscal year in question.

Significant accomplishments in FY 2008 include:

- Interdicted 2,419 illegal migrants.
- Seized and removed 153,855 lbs of cocaine and 4,995 lbs of marijuana.
- Responded to 7,676 calls for assistance and saved the lives of 1,605 distressed mariners.
- Fully-missionized three HC-130J
- Terminated the Helicopter Interdiction Squadron (HITRON) contract and began operating the Atlantic Aviation Deployment Center.

¹ The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

FY09 planned accomplishments include:

- Improved procurement management and oversight.
- Improved information sharing and investigative capabilities.
- Improved counter-intelligence capability.
- Operation of the HC-144A Ocean Sentry.
- Operation of four new Coastal Patrol Boats.
- Enhancements to the Rescue 21 National Distress Response System.

In FY 2010 an investment in active duty military personnel will ensure the service remains “Semper Paratus” (Always Ready). The service was founded as a military, multi-mission, maritime service and continues to be ready, aware and responsive across all of the Coast Guard’s 11 mission-programs. As the Nation’s maritime first responder, the Coast Guard must not only be effective in its daily operations, but must also remain ready for emergencies and contingencies; it must be aware of maritime conditions and activities in order to detect, deter and defeat threats early; and when called it must be responsive with the right capabilities at the right time.

As one of the Nation’s five Armed Services, dedicated Coast Guard personnel conduct missions that protect the public, the environment, and U. S. economic interests – in the Nation’s ports and waterways, along the coast, on international waters and in any maritime region required to support homeland security. The unique, multi-mission character of the Coast Guard requires personnel to serve as sailors, emergency responders, humanitarians, regulators, law enforcement personnel, stewards of the environment, and guardians of the coast – military, multi-mission, and maritime. Coast Guard forces are flexible, rapidly deployable, and able to respond to crises with a full range of capabilities. Coast Guard forces capitalize upon their multi-mission synergies to prevent maritime incidents, protect the U. S. Maritime Domain, and respond to and recover from incidents that may occur.

Requested new funding will support the anticipated FY 2010 pay raise and the basic allowance for housing increase for all military service members, while annualizing military average monthly end strength introduced in FY 2009. Additionally, the funding will support military personnel to:

- Address financial audit remediation.
- Increase Marine Safety capability and capacity.
- Operate a National Security Cutter (NSC) and Fast Response Cutter (FRC).
- Increase Coastal Patrol Boat (CPB) operations.

PPA II: CIVILIAN PAY AND BENEFITS

	Perm Pos	FTE	Amount
2008 Actual	6,924	6,313	603,859
2009 Enacted	7,024	6,525	648,346
2010 Adjustments-to-Base	123	202	45,654
2010 Current Services	7,147	6,727	694,000
2010 Program Change	95	48	5,594
2010 Request	7,242	6,775	699,594
Total Change 2009-2010	218	250	51,248

The Coast Guard’s FY 2010 request is \$699.594 million, an increase of \$51.248 million over FY 2009 enacted.

CURRENT SERVICES PROGRAM DESCRIPTION:

Requests funding for expenses related to compensation and entitlements for federal civilian employees. The workforce is composed of General Schedule (GS) personnel, Administrative Law Judges (AL), Senior Executive Service (SES) personnel, personnel whose salaries are Administratively Determined (AD) (e.g., Coast Guard Academy civilian faculty members), Wage Grade (WG) positions employed in industrial operations, and "Non-Ceiling" (NC) employees (e.g., cooperative education students, student aids, summer interns, and federal junior fellows). Costs related to compensation are calculated using the Coast Guard’s Standard Personnel Cost (SPC) tables. These annually updated tables provide a detailed calculation for each billet, broken down by pay grade and location – in the United States (INCONUS) or out of the country (OCONUS – which includes AK and HI). Calculations for base pay are based upon position, location of position, and OMB economic assumptions for the fiscal year in question.

Significant accomplishments in FY 2008 include:

- Supported interdiction of 2,419 illegal migrants.
- Supported seizure and removal of 153,855 lbs of cocaine and 4,995 lbs of marijuana.
- Responded to 7,676 calls for assistance and saved the lives of 1,605 distressed mariners.
- Fully-missionized three HC-130J.
- Terminated the HITRON contract and began operating the Atlantic Aviation Deployment Center.

FY 2009 planned accomplishments include:

- Improved procurement management and oversight.
- Improved information sharing and investigative capabilities.
- Increased rule-making capacity.
- Enhancements to the Rescue 21 National Distress Response System.

In FY 2010, requested funding will provide dedicated civilian personnel who contribute daily to the Coast Guard’s 11 mission-programs. Civilian personnel stand side-by-side with military personnel to fulfill the roles of maritime first responders and help maintain daily mission effectiveness, prepare for emergencies and contingencies, and ensure Maritime Domain Awareness. These dedicated personnel support and conduct the missions that protect the public,

the environment, and U. S. economic interests – in the Nation’s ports and waterways, along the coast, on international waters, and in any maritime region required to support national security.

Funding requested will support the anticipated FY 2010 pay raise for all civilian personnel and annualize civilian FTE introduced in FY 2009. Additionally, the funding will allow civilian personnel to:

- Continue improving acquisition management and oversight.
- Address financial audit remediation.
- Increase Marine Safety capability and capacity.

PPA III: TRAINING AND RECRUITING

	Perm Pos	FTE	Amount
2008 Actual	190,858
2009 Enacted	197,993
2010 Adjustments-to-Base	6,724
2010 Current Services	204,717
2010 Program Change	1,253
2010 Request	205,970
Total Change 2009-2010	7,977

The Coast Guard’s FY 2010 request is \$205.970 million, an increase of \$7.977 million over FY 2009 enacted.

CURRENT SERVICES PROGRAM DESCRIPTION:

The training and recruiting PPA provides funding for the Coast Guard’s professional training and education programs, as well as operation and maintenance of the seven major Coast Guard training centers and the Coast Guard Academy and Leadership Development Center.

Significant accomplishments in FY 2008 include:

- Accessing 4,690 recruits through recruit training; graduating 4,000 enlisted apprentices from our “A” schools; and commissioning 449 officers from the Coast Guard Academy, Officer Candidate School and Direct Commission Program.
- Training 1,645 members in advanced maritime law enforcement, 1,483 members in counter terrorism activities, 7,976 members in leadership skills, and providing 54,000 advanced Coast Guard classroom training courses.

Graduating 217 members from post-graduate schools to meet advanced training and knowledge requirements.

FY 2009 planned accomplishments include:

- Graduating 205 members from post-graduate schools to meet advanced training and knowledge requirements.

The FY 2010 request provides funding for all Coast Guard recruiting operations, given projected attrition and growth, to ensure sufficient numbers of qualified individuals for the military workforce. Coast Guard recruiting is a national endeavor. As such, recruiters cover broad

geographic areas with diverse socio-economic demographics to compete for the best qualified candidates.

Additionally, this request includes funding for tuition, travel, and per diem for formal training and education performed as temporary additional duty (TAD) by military service members and civilian personnel. It also ensures the training infrastructure is adequately resourced to provide Coast Guard personnel with the tools and competencies necessary for assigned missions. Training is provided by the Coast Guard, commercial providers, DoD, and other agencies. This training and education is usually conducted by dedicated resident staffs in classrooms, but may also include exportable training, correspondence courses, and/or computer-based training.

From entry-level personnel through senior leadership, the Coast Guard focuses its training resources to embed those competencies that will maximize operational capabilities. The FY 2010 budget will include an increase in the requirement for training related to Deepwater platforms. A portion of legacy platform training will be reduced, but the infrastructure and travel for this legacy training will be required for continuous operation of aging platforms.

PPA IV: OPERATING FUNDS AND UNIT LEVEL MAINTENANCE

	Perm Pos	FTE	Amount
2008 Actual	1,246,185
2009 Enacted	1,185,317
2010 Adjustments-to-Base	(52,528)
2010 Current Services	1,132,789
2010 Program Change	16,724
2010 Request	1,149,513
Total Change 2009-2010	(35,804)

The Coast Guard requests \$1.149 billion for this activity, a decrease of \$35.804 million from FY 2009 enacted.

CURRENT SERVICES PROGRAM DESCRIPTION:

Requests funding to units, facilities, and activities that are under the direct operational and administrative control of the Coast Guard’s Headquarters, Atlantic Area or Pacific Area Commanders. These include Maintenance Logistics Commands (MLCs), Integrated Support Commands (ISCs), High and Medium Endurance Cutters (WHECs/WMECs), Communication Stations, Maritime Safety and Security Teams (MSSTs), and Area Offices as applicable, for supplies, materials, and services that allow the Coast Guard to sustain an operations tempo with an immediate response capability for Coast Guard missions. Maintenance of cutter hulls, mechanical systems, electrical equipment, and small boats; procurement of supplies and materials utilized for unit “housekeeping” and administration, spare parts, fuel, and energy; funding of personnel support programs; and other materials consumed all contribute directly to mission effectiveness.

Significant accomplishments in FY 2008 include:

- Achieved Full Operational Capability (FOC) for the Deployable Operations Group (DOG).
- Initiated a national assessment of the National Preparedness for Response Exercise Program (PREP), a robust preparedness exercise program in which oil facilities, tank vessels, freight ships, and hazardous material facilities exercise their associated response plans.
- Began operating three fully missionized HC-130J aircraft.
- Completed operational testing of three HC-144A Ocean Sentry aircraft.
- Terminated the HITRON contract and begin operating the Atlantic Area Aviation Deployment Center.

FY 2009 planned accomplishments include:

- Begin operating HC-144A aircraft numbers four through eight.
- Begin operating the Manned Covert Surveillance Aircraft.
- Augment watchstanders for Rescue 21.

The FY 2010 request will support the annualization of new operations introduced in FY 2009 and accounts for non-pay related inflation associated with maintenance and procurement of supplies and consumables. Follow-on funding is provided to operation and maintain 14 Response Boat-Mediums (RB-M), new Rescue 21 equipment, and Interagency Operations Centers (IOC).

The Coast Guard is participating in the Great Lakes Restoration Initiative, which is requested in the EPA budget. In FY 2010 we anticipate performing the following activities (EPA will fund an estimated \$6.85M):

- **Toxics** - The Coast Guard will work with National Park Service to remove dangerous goods and materials from Great Lakes light houses, including contaminated soils, lead based paints, asbestos, PCBs, and petroleum products. USCG will also create a system that will recover heavy oil from the sea floor, and develop detection and response techniques for oil spills in ice in fresh water.
- **Invasive Species** - The Coast Guard will coordinate with EPA, USFWS, and DOT-MARAD to fund the further development of up to five ballast water treatment systems suitable for fresh water ecosystems by supporting the use of laboratory and ship-board testing, verification of treatment technologies, and coordination with the maritime industry.
- **Accountability, Monitoring, Evaluation, Communication, and Partnerships** - Additional Initiative funding (not included above) will be provided by EPA through an interagency agreement to support participation in planning, coordination, development of measures and outcomes, and reporting on progress pertaining to the Initiative. Activities will include appropriate participation in the Interagency Task Force, Regional Working Group, Binational Executive Committee, Lakewide Management Plan forums, and Remedial Action Plan forums.

PPA V: CENTRALLY MANAGED ACCOUNTS

	Perm Pos	FTE	Amount
2008 Actual	250,281
2009 Enacted	263,702
2010 Adjustments-to-Base	65,318
2010 Current Services	329,020
2010 Program Change	24,051
2010 Request	353,071
Total Change 2009-2010	89,369

The Coast Guard requests \$353.071 million for this activity, an increase of \$89.369 million over FY 2009 enacted.

CURRENT SERVICES PROGRAM DESCRIPTION:

Requested funding represents centrally managed accounts at Coast Guard and DHS Headquarters, which provide service to the entire Coast Guard. Larger central accounts include: the Federal Telephone System (FTS), Standard Workstation recapitalization, Coast Guard Data Network (CGDN), postal expenses, satellite communications, General Services Administration (GSA) rent, ammunition replenishment, and the DHS Working Capital Fund.

Significant accomplishments in FY 2008 include:

- Progress toward "e-Coast Guard" both for administration and operations, through the implementation of enhanced voice and data communications.
- Sustainment of critical ammunition stores to ensure mission effectiveness, particularly for Coast Guard boarding officer and cutter combat team proficiency.
- Increased access and capabilities associated with operational databases such as the Marine Information for Safety and Law Enforcement (MISLE) and the Abstract of Operations (AOPS) systems.

FY 2009 planned accomplishments include:

- New support infrastructure for the National Maritime Center (NMC), Deployable Operations Group (DOG), and expanded space for Coast Guard units in Corpus Christi, TX, Chicago, and Anchorage.

The FY 2010 request funds new leased facilities for the DOG, increased lease space for various units, radio frequency spectrum charge increases, and postal expense increases.

PPA VI: INTERMEDIATE AND DEPOT LEVEL MAINTENANCE

	Perm Pos	FTE	Amount
2008 Actual	816,121
2009 Enacted	826,047
2010 Adjustments-to-Base	76,655
2010 Current Services	902,702
2010 Program Change	477
2010 Request	903,179
Total Change 2009-2010	77,132

The Coast Guard requests \$903.179 million for this activity. This is an increase of \$77.132 million over FY 2009 enacted.

CURRENT SERVICES PROGRAM DESCRIPTION:

This request provides service-wide funding for the Coast Guard’s base level operating expense (OE) funded maintenance for the service’s shore facilities, vessels, and aircraft. The Coast Guard maintains its aircraft, vessels, and shore infrastructure using in-house maintenance and repair infrastructure in conjunction with contracted depot-level maintenance activities. A mature project planning and execution program exists within the Coast Guard to provide routine unit-level and depot-level maintenance. Where expertise or infrastructure does not exist organically within the Service, the Coast Guard uses contracted resources to provide the requisite maintenance support.

The Coast Guard’s maintenance planning process involves every level of the organization including: (1) field level input provided in casualty, mishap, and annual unit engineering reports; (2) engineering/support provider input in the form of regional maintenance data/trend analysis, observations of experienced support/engineering personnel, and prioritization of issues/needs; and (3) Coast Guard Headquarters involvement in the collation of CG-wide data/trend analysis, input from the Atlantic and Pacific Area Commanders and their support providers, and development of corrective strategies.

FY 2008 accomplishments include:

- Program Depot Maintenance for: HC-130H (6); HH-60J (9); HH-65C (22); HU-25 (4).
- In addition to a continued effort to target deferred maintenance requirements, allocate funding to support diverse requirements including: mission-enabling shore facility projects; Aids-to-Navigation systems to support maritime mobility; Unaccompanied Personnel Housing (UPH); and maintaining standards necessary to execute Training Centers’ vital missions to sustain service excellence.
- Completed the following dry-docks: WYTL 65 (4); WPB 87 (17); WPB 110 (3); WLR/WLIC (9); WTGB 140 (2); WLM 175 (3); WLB 225 (5); WMEC 210/270 (1); WHEC 378 (3); WAGB 399 (1); and WIX 295 EAGLE.

FY 2009 planned accomplishments include:

- Major maintenance for legacy aircraft and cutters.

The FY 2010 request includes:

Aircraft. Includes service-wide funding to support the major maintenance and repair of Coast Guard aircraft not appropriated in the Coast Guard Acquisition, Construction and Improvements (AC&I) appropriation. This category includes: materials, services and supplies necessary for depot-level repair, maintenance, modification and overhaul of aircraft and aircraft equipment, including associated avionics; transportation of aircraft and aeronautical materials and equipment; and procurement and overhaul of aircraft ground handling and support equipment. Request also includes funding for general expenses related to inventory and engineering design, alteration and modification services in support of Coast Guard aircraft.

This funding request supports intermediate and depot-level aircraft repair. Coast Guard rotary wing aircraft are continuously rotated out of operational service to allow for programmed depot maintenance (PDM) at the Coast Guard Aircraft Repair and Supply Center (ARSC) in Elizabeth City, NC. This funding also provides for contractor support to conduct PDM on the service's HC-130Hs, as ARSC does not have this capacity. All PDM is based upon established service standards. The purpose of the aircraft PDM program is to (1) provide periodic inspection of areas of an aircraft which are not accessible without extensive disassembly, (2) perform heavy maintenance which is beyond the capability of operating units, and (3) incorporate changes and modifications which are too extensive to perform at the operating unit level.

Vessels. Includes service-wide funding to support the major maintenance and repair of Coast Guard vessels not appropriated in the Coast Guard AC&I appropriation. In particular, funding requested will support the procurement, installation, replacement and support of standard hull, mechanical, electrical and electronic systems. Request also includes funding for general expenses related to inventory and engineering design, alteration and modification services in support of Coast Guard vessels.

Coast Guard vessels are regularly scheduled for programmed depot maintenance based upon established class maintenance plans (CMP). In addition to ship repair work provided by the Coast Guard Yard in Curtis Bay, MD, the Coast Guard routinely uses ship repair facilities/contractors to complete depot level maintenance via competitive contracts. The Coast Guard manages vessel base OE legacy asset maintenance funding using Standard Support Levels (SSLs) established for each vessel class of asset at the time of asset acquisition and adjusted annually for inflation. Actual expenditures vary from the SSL as the Coast Guard's maintenance managers shift resources to deal with their most immediate fleet maintenance challenges, often using funds from another vessel's SSL or outside sources to ensure availability of the most critical Coast Guard assets.

Shore Infrastructure. Includes service-wide funding for depot-level, nonrecurring facility maintenance to ensure the safety and integrity of the shore infrastructure, maximize facility economic life, and avoid large recapitalization expenses. This request includes funding for repairs, rebuilding, renovation, alterations, improvement and other services provided by the Coast Guard's Civil Engineering program not appropriated in the Coast Guard's AC&I appropriation. This category includes support of: Coast Guard-owned land; buildings (e.g. replacement of roofs and mechanical systems); and structures (e.g. repairs to waterfront, communications and navigation system towers, roads and runways). It also includes: support for fixed Aids to Navigation (AtoN) structures (ashore and offshore); major non-consumable equipment used to support the shore plant (e.g. emergency generators, fuel systems, and pressure vessels). This shore OE funding also supports the Coast Guard's Unaccompanied Personnel Housing (i.e. barracks), family housing, clinics, and morale/well-being and recreational facilities.

III. Current Services Program Description by PPA

Department of Homeland Security
U. S. Coast Guard
Operating Expenses
Program Performance Justification
(Dollars in thousands)

Increases **\$396,659**

A. Annualization of Prior Year Funding**\$85,920**

Strategic Goal(s) & Objectives: 1.1, 2, 3, 4.1, 5.5

PPA Breakdown - Annualization of Prior Year Funding		Total (\$000)
PPA I: Military Personnel (519 FTE)		
	Military Pay and Allowances	36,122
	Military Health Care	3,873
PPA II: Civilian Personnel (102 FTE)		
	Civilian Pay and Allowances	11,242
PPA III: Training and Recruiting		
	Training and Education	4,401
	Recruiting and Training Centers	1,019
PPA IV: Operating Funds and Unit Level Maintenance		
	Atlantic Area	607
	Pacific Area	123
	1st District	710
	5th District	188
	7th District	359
	8th District	863
	9th District	96
	11th District	198
	13th District	171
	14th District	121
	17th District	130
	Headquarters Directorates	15,197
	Headquarters Units	96
	Other Activities	73
PPA V: Centrally Managed Accounts		
	Central Accounts	2,751
PPA VI: Depot Level Maintenance		
	Aircraft Maintenance	5,047
	Electronics Maintenance	1,250
	Civil/Ocean Engineering and Shore Facility Maintenance	302
	Vessel Maintenance	981
		85,920

Certain projects and programs for which resources were first provided in FY 2009 were funded for only part of the year. Additional funding and Full-Time Equivalents (FTE) are required to provide full year resources.

FY 2009 Line Items	FTE (Mil)	FTE (Civ)	FY 2010 Funding (\$000)
Government Services Increase	0	0	120
Mission & Business Systems Licenses	0	0	415
Flight Training Funding Gap	0	0	2,571
Inland Rivertenders' Emergency Subsystem Sustainment	1	1	224
Aids to Navigation (ATON) Modernization Follow-On	0	0	32
Air Station Cape Cod (ASCC) Operations Follow-On	1	15	2,061
Response Boat - Medium (RB-M) Maintenance Follow-On	1	0	108
Rescue 21 Follow-On	47	1	6,651
Nationwide Automatic Identification System (NAIS) Follow-On	3	2	3,998
Counter-Terrorism (CT) Training Infrastructure-Shoot House Follow-On	0	0	240
Surface and Air Asset Follow-On	101	5	16,773
Situation Unit Watchstanders	38	12	4,621
Marine Inspection Program	103	34	13,911
MAGNet 2.0 - Intel Integration	6	2	3,161
Counter-Intelligence (CI) Service Initiative	9	5	1,486
Cryptologic Service Group and Direct Support	23	0	1,864
Department of Homeland Security Regulatory Program	0	0	867
Port and Maritime Safety and Security	113	24	14,350
Increased Operational Hours for Coastal Patrol Boats	66	1	8,100
Aviation Mission Hour Gap	7	0	4,370
Total	519	102	85,920

B. Mandatory Personnel Entitlements

1. Annualization of FY 2009 Pay Raise.....\$29,241

Strategic Goal(s) & Objectives: 5.1

PPA Breakdown - Annualization of FY 2009 Pay Raise		Total (\$000)
PPA I: Military Personnel		
	Military Pay and Allowances	22,885
	Permanent Change of Station	166
PPA II: Civilian Personnel		
	Civilian Pay and Allowances	6,190
		29,241

Request one quarter funding to annualize the FY 2009 military (3.9%) and civilian (3.9%) pay raise.

2. FY 2010 Pay Increase\$71,473

Strategic Goal(s) & Objectives: 5.1

PPA Breakdown - FY 2010 Pay Increase		Total (\$000)
PPA I: Military Personnel		
	Military Pay and Allowances	51,107
	Permanent Change of Station	371
PPA II: Civilian Personnel		
	Civilian Pay and Allowances	19,995
		71,473

Request funds the FY 2010 military (2.9%) and civilian (2.0%) pay raise.

3. Military Entitlements (DoD Parity)\$80,520

Strategic Goal(s) & Objectives: 5.1

PPA Breakdown - Military Entitlements (DoD Parity)		Total (\$000)
PPA I: Military Personnel		
	Military Pay and Allowances (Basic Allowance for Housing)	28,395
	Military Health Care	21,310
	Permanent Change of Station	30,534
PPA V: Centrally Managed Accounts		
	Central Accounts	281
		80,520

Provides funding to maintain current services and ensure parity of military pay and allowances with the Department of Defense (DoD). The request includes funding for Basic Allowance for Housing (BAH), which is scheduled to take effect on January 01, 2010, childcare benefits for Coast Guard members, and Permanent Change of Station (PCS) costs above non-pay inflation. Approximately 12-15% of the increase in PCS funding is a direct result of the Families First Initiative that is consistent with DoD benefits.

C. Non-Pay Adjustments

1. Operational Adjustments

Strategic Goal(s) & Objectives: 1.1, 2, 3, 4.1

a) GSA Rent and Security Charges Increase\$10,019

PPA Breakdown - GSA Rent and Security Charges Increase		Total (\$000)
PPA V: Centrally Managed Accounts		
	Central Accounts	10,019
		10,019

This request funds additional GSA lease space requirements and offsets costs exceeding non-pay inflation. The GSA Rent account is a demand account that reflects costs resulting from occupancy agreements established with GSA to meet specific shore facility requirements. The GSA Rent account is a “bill” that must be paid. Facility space requirements include administrative office space and other unique space such as waterfront facilities and hanger space. This request incorporates costs for new facilities in FY 2010 including a space to house the Deployable Operations Group (DOG), and increases include additional space requirements to house new personnel at Dellums Federal Building in Oakland, CA, the Port of Anchorage, AK, Sector Jacksonville, FL, and MSU Pittsburgh, PA.

Security Charges on GSA Facilities is a demand account that reflects the costs from occupancy agreements established with GSA to meet specific shore facility security requirements. This request provides funding to address GSA security rates that are increasing beyond the cost of living adjustment (forecasted by GSA/OMB) and new security requirements. Requested levels are based on estimates provided by GSA/DHS. The two components of this request are basic service charges and building-specific charges. Basic service charges include control center dispatch and alarm monitoring, criminal investigations, protective activities, security assessments, and occupant emergency plan development. Building-specific charges include contract guard costs and other services directly related to building security such as repairing and maintaining security systems, magnetometers, and other countermeasures.

b) Depot Level (4X) and Emergency Maintenance\$35,000

PPA Breakdown - Depot Level (4X) and Emergency Maintenance		Total (\$000)
PPA VI: Depot Level Maintenance		
	Aircraft Maintenance	35,000
		35,000

Rising maintenance costs and increasing casualty rates have led to increased deferred maintenance and parts shortages. The funding would support one-time funding to restore a severe aviation spare parts shortage. Adequate aircraft readiness is premised upon an aviation supply-shortage rate of 5% or less. Existing funding shortages have driven that rate above 8%, which negatively impacts aircraft

availability. Aviation spare parts funding will enable the Coast Guard to restore inventory to a target supply level that will allow legacy aircraft to achieve 71% aircraft availability.

c) Government Services Increase\$8,798

PPA Breakdown - Government Services Increase		Total (\$000)
PPA V: Centrally Managed Accounts		
	Central Accounts	8,798
		8,798

Provides funding for enhanced services necessary in three communications segments: radio frequency, postal, and satellite communications. This funding will be used to offset annual increases and reimburse the National Telecommunication and Information Administration (NTIA), Office of Spectrum Management, for increased operating expenses incurred through the management of approximately 17,000 radio frequency assignments. The payment of this fee allows the Coast Guard to maintain frequency authority on its assigned frequencies. This request will also fund anticipated postal increases.

d) Long Range Identification and Tracking.....\$3,500

PPA Breakdown - Long Range Identification and Tracking		Total (\$000)
PPA IV: Operating Funds and Unit Level Maintenance		
	Headquarters Directorates	993
PPA V: Centrally Managed Accounts		
	Central Accounts	2,507
		3,500

Provides operating and maintenance funding for Long Range Identification and Tracking System (LRIT), which will provide a critical layer to the overall Maritime Domain Awareness tactical picture. LRIT is an information system designed to collect position reports from all U.S. flagged vessels subject to the International Convention for the Safety of Life at Sea (SOLAS) regulation V/19-1, Long Range Identification and Tracking, including all U.S. flagged vessels 300 gross tons and larger traveling internationally. The International Maritime Organization (IMO) LRIT system was designed to collect vessel position information from IMO member state ships which are subject to SOLAS. This system will allow the Coast Guard to monitor any IMO member state ships bound for the United States or traveling within 1000 miles of the coast.

As part of the regulation, the United States Government is responsible for operating and maintaining an LRIT National Data Center (NDC), which is connected to a worldwide network of other NDCs through a central router or switch called the International Data Exchange (IDE). The NDC's primary function is to send position report messages of U.S. flagged vessels to other contracting governments in accordance with LRIT rules.

e) Coast Guard Academy IT Network\$800

PPA Breakdown - Coast Guard Academy IT Network		Total (\$000)
PPA III: Training and Recruiting		
	Recruiting and Training Centers	800
		800

This request provides funding for the Coast Guard Academy’s (CGA) .edu network, a network not currently supported by existing computer funding allowances. The CGA IT infrastructure directly supports training and educating the corps of cadets and is a prerequisite for currency and relevancy in academia. Maintaining, administering, and troubleshooting a dual network IT infrastructure requires an increase to the technical support allowance at CGA.

D. Operating and Maintenance Funds for New Assets

1. Shore Facility Follow-On\$7,086

Strategic Goal(s) & Objectives: 3.1, 3.2, 4.1

PPA Breakdown - Shore Facility Follow-On		Total (\$000)
PPA IV: Operating Funds and Unit Level Maintenance		
	Atlantic Area	40
	Pacific Area	337
	1st District	371
	8th District	434
	Headquarters Directorates	325
	Headquarters Units	50
PPA VI: Depot Level Maintenance		
	Civil/Ocean Engineering and Shore Facility Maintenance	5,529
		7,086

This request provides funding to operate and maintain acquisition, construction and improvement (AC&I) shore facility projects scheduled for completion prior to FY 2010. Funding is required for daily operating costs for energy, utility services, routine repairs, and housekeeping. Funding also supports major non-recurring maintenance and repairs (e.g., rebuilding, improvement, rehabilitation, etc.) anticipated throughout the life of the facility. Facilities include:

- Construct Sector NOLA Facilities, New Orleans, LA.
- Acquired BRAC Facilities at Massachusetts Military Reservation (MMR)
- Construct Addition Telecommunication and Information Systems Command (TISCOM-TSD)
- Purchase Three Housing Units
- Title X DoD Navy Transfer

2. Response Boat - Medium (RB-M) Maintenance Follow-On\$1,065

Strategic Goal(s) & Objectives: 1.1, 2, 3

PPA Breakdown - Response Boat - Medium (RB-M) Maintenance Follow-On		Total (\$000)
PPA I: Military Personnel (6 FTP, 3 FTE)		
	Military Pay and Allowances	182
	Military Health Care	23
	Permanent Change of Station	38
PPA III: Training and Recruiting		
	Training and Education	33
	Recruiting and Training Centers	5
PPA IV: Operating Funds and Unit Level Maintenance		
	7th District	4
	8th District	2
	9th District	4
	Headquarters Directorates	571
	Other Activities	1
PPA V: Centrally Managed Accounts		
	Central Accounts	24
PPA VI: Depot Level Maintenance		
	Electronics Maintenance	122
	Vessel Maintenance	56
		1,065

Provides funding for FY 2010 maintenance and energy costs associated with delivery of 22 RB-Ms (hulls #19 thru #40). This request also includes electronics support personnel and associated Personal Protective Equipment funding to support the platform's operation.

The RB-M project provides a standard platform to replace the aging 41-foot Utility Boat fleet, which has reached the end of its useful service life. The RB-M will also replace other medium-sized Non-Standard Boats located at multi-mission shore stations. Increased boat capacity directly supports the Ports, Waterways, and Coastal Security mission and enhances the Coast Guard's Search and Rescue and Maritime Law Enforcement missions.

This new platform will significantly increase operational capability and improve crew health and safety. Additional funding is required for the RB-M maintenance, repair, and operational costs.

3. Rescue 21 Follow-On\$12,279

Strategic Goal(s) & Objectives: 3.2, 4.1

PPA Breakdown - Rescue 21 Follow-On		Total (\$000)
PPA I: Military Personnel (8 FTP, 5 FTE)		
	Military Pay and Allowances	407
	Military Health Care	31
	Permanent Change of Station	80
PPA II: Civilian Personnel (12 FTP, 6 FTE)		
	Civilian Pay and Allowances	784
PPA III: Training and Recruiting		
	Training and Education	38
	Recruiting and Training Centers	8
PPA IV: Operating Funds and Unit Level Maintenance		
	Atlantic Area	(844)
	Pacific Area	(843)
	Headquarters Directorates	12,085
	Headquarters Units	98
	Other Activities	1
PPA V: Centrally Managed Accounts		
	Central Accounts	96
PPA VI: Depot Level Maintenance		
	Electronics Maintenance	338
		12,279

Provides follow-on funding for the third installment of the National Distress and Response System Modernization Project (Rescue 21). Rescue 21 is the Coast Guard's primary system to perform the functional tasks of command, control, and communications in the inland and coastal zones for Coast Guard operations including search and rescue and homeland security activities. Rescue 21 will meet safety requirements for growing marine traffic, as well as the International Convention for the Safety of Life at Sea (SOLAS) standards. Rescue 21 also provides modernized command and control capabilities and improved Maritime Domain Awareness (MDA), both critical to the performance of the Coast Guard's homeland security operations.

The Rescue 21 system reached Initial Operating Capability (IOC) in December 2005. Four Low Rate Initial Production (LRIP) locations were operational in Calendar Year 2006. Eleven more locations became operational in FY 2008, which includes the relocation of two IOC commands (SFO Eastern Shore and SFO Atlantic City) to their parent commands, (Sector Hampton Roads and Sector Delaware Bay respectively). Five more locations will be added in FY 2009, bringing the total to 21 operational locations (of the 39 planned).

This follow-on funding supports five distinct cost categories which sustain Rescue 21: Equipment O&M, Circuit Connectivity, Property & Power, Training, and Technology Refresh.

4. Nationwide Automatic Identification System (NAIS) Follow-On\$2,000

Strategic Goal(s) & Objectives: 1.1, 3.1, 3.2

PPA Breakdown - Nationwide Automatic Identification System (NAIS) Follow-On		Total (\$000)
PPA II: Civilian Personnel (2 FTP, 1 FTE)		
	Civilian Pay and Allowances	107
PPA III: Training and Recruiting		
	Training and Education	20
PPA IV: Operating Funds and Unit Level Maintenance		
	Headquarters Directorates	1,672
	Headquarters Units	3
PPA V: Centrally Managed Accounts		
	Central Accounts	10
PPA VI: Depot Level Maintenance		
	Electronics Maintenance	188
		2,000

Provides funding for network operation and maintenance service for the Nationwide Automatic Information System (NAIS) including:

- Increased bandwidth and IT security protocols;
- AIS inter-and-intra-governmental data sharing;
- Satellite data;
- Technology refresh (hardware and software) to conform with updated international standards.

NAIS will be operating in a receive-only mode in 55 critical ports and nine coastal areas. Automatic Information System data is validated, stored, and transferred from Sector Command Centers to a central data processing center. This information will feed the maritime Common Operational Picture (COP) as well as intelligence community partners in support of the National Strategy for Maritime Security and its eight supporting plans.

The Maritime Transportation Security Act of 2002 (46 USC 70013) directed DHS to implement a persistent maritime surveillance system to collect, integrate, and analyze information concerning certain vessels operating within, or bound for waters subject to the jurisdiction of the United States. NAIS supports this Congressional requirement and serves as a centerpiece to the Coast Guard and DHS' effort to build Maritime Domain Awareness (MDA). This initiative also contributes to the successful execution of the National Strategy for Maritime Security, Homeland Security Presidential Directive (HSPD-13).

The NAIS project fills MDA gaps by collecting vessel position data and furnishing this information to the COP and other display tools. This information enhances port/coastal surveillance and may be fused with data from other sources and shared with other agencies for global maritime intelligence integration.

5. Sector Air Station Corpus Christi Facility Follow-On.....\$2,400

Strategic Goal(s) & Objectives: 3.1, 3.2, 4.1

PPA Breakdown - Sector Air Station Corpus Christi Facility Follow-On		Total (\$000)
PPA I: Military Personnel (26 FTP, 13 FTE)		
	Military Pay and Allowances	842
	Military Health Care	101
	Permanent Change of Station	178
PPA III: Training and Recruiting		
	Training and Education	142
	Recruiting and Training Centers	20
PPA IV: Operating Funds and Unit Level Maintenance		
	8th District	903
	Headquarters Directorates	7
	Other Activities	2
PPA V: Centrally Managed Accounts		
	Central Accounts	26
PPA VI: Depot Level Maintenance		
	Electronics Maintenance	179
		2,400

Coast Guard Sector and Air Station Corpus Christi is located in a 60-year old, WWII-era Navy seaplane facility at Naval Air Station Corpus Christi. This facility is poorly sited, functionally inadequate and well past its service life. The Coast Guard contracted with GSA to partner with Corpus Christi International Airport for a new, build-to-lease facility that will co-locate the Air Station and the Sector Command. This initiative will provide funding for personnel and equipment requirements to operate a dining facility. Staffing the dining facility with Coast Guard personnel will help improve the sea-to-shore rotation schedule for the Food Service Specialist (FS) rating.

6. Surface and Air Asset Follow-On.....\$46,558

Strategic Goal(s) & Objectives: 1.1, 2, 3.1, 3.2, 4.1

PPA Breakdown - Surface and Air Asset Follow-On		Total (\$000)
PPA I: Military Personnel (320 FTP, 163 FTE)		
	Military Pay and Allowances	10,783
	Military Health Care	1,179
	Permanent Change of Station	2,633
PPA II: Civilian Personnel (40 FTP, 20 FTE)		
	Civilian Pay and Allowances	2,138
PPA III: Training and Recruiting		
	Training and Education	6,814
	Recruiting and Training Centers	1,731
PPA IV: Operating Funds and Unit Level Maintenance		
	Atlantic Area	1,163
	Pacific Area	271
	1st District	1
	7th District	957
	9th District	1
	13th District	1
	14th District	1
	Headquarters Directorates	3,111
	Headquarters Units	47
	Other Activities	24
PPA V: Centrally Managed Accounts		
	Central Accounts	3,568
PPA VI: Depot Level Maintenance		
	Aircraft Maintenance	11,763
	Electronics Maintenance	222
	Civil/Ocean Engineering and Shore Facility Maintenance	150
		46,558

CASA HC-144A Aircraft Follow-On: The Coast Guard intends to acquire 36 HC-144A Maritime Patrol Aircraft by FY 2020. This initiative will provide funding for Personnel and Operations & Maintenance for three new HC-144A aircraft being added to the Coast Guard’s inventory in FY09, ultimately providing additional programmed flight hours in support of maritime domain awareness. In addition, this proposal will fund the operation of Commercial Satellite Communications (COMSATCOM) equipment for current HC-144A aircraft, providing full operational capability and global coverage of high speed data and voice connectivity.

Armed Helicopters Enhancement (Critical Recapitalization): This proposal provides recurring funds to recapitalize Airborne Use of Force (AUF) Kit “A” equipment for 22 HH-65C helicopters fleet wide as well as the two Tactics Training Boats (TTB’s) assigned to HITRON. Airborne use of force is frequently the sole means to stop go-fasts involved in illegal activities. This initiative allows full use of

the increased capability achieved as a result of the transition from the MH-68A to the MH-65C, increasing deployments of the highly successful HITRON initiative by 120%. When the Coast Guard's Armed Helicopter for Homeland Security initiative is completed, the service will have a total of 91 HH-60J and HH-65C helicopters outfitted with Kit "A" equipment, enabling rapid installation of requisite weapons, gun mounts and protective equipment via a "plug and play" methodology. The Coast Guard's other 46 helicopters will be AUF configured (i.e. Kit "A" + Kit "B" = weapons, gun mounts, PPE, and armory support) and located at units surrounding strategic ports. Maintaining standard configuration throughout the Coast Guard's helicopter fleet provides continuity of training and maintenance and allows trained AUF aircrews and full Kit "B" equipment to rapidly deploy throughout the nation in anticipation or response to National Security events or other situations requiring AUF capability.

HC-130J Missionization Follow-On: Provides critical operation and sparing to support operations of six missionized HC-130J aircraft. Missionized HC-130J aircraft have entered operational service and require mission sparing to maintain a high level of operational availability and meet programmed flight hour targets.

WMSL Crew Charlie Phase II (WMSL 752): Provides personnel and funding for the second phase of the crew designated to accept the third National Security Cutter (NSC), scheduled for delivery in 2011. Advanced arrival of crew is necessary to attend required pre-arrival training prior to accepting delivery of the cutter.

NSC SCIF Follow-On: Provides personnel and funding to staff, operate, maintain, and refresh the first two National Security Cutter's (NSC) Sensitive Compartmented Information Facilities (SCIF). Both SCIF installs will occur during their respective Post-Shakedown Availabilities (PSA) in 2010 and 2011. This request includes operations and maintenance (O&M) to support the operations for the SCIFs installed onboard USCGC BERTHOLF & USCGC WAESCHE and provides intelligence training funding for NSC SCIF personnel.

Oversight Alameda - WMSL Logistics: Provides the necessary resources to support USCGC's BERTHOLF & WAESCHE when these cutters transition from the interim support period to long-term support in FY 2010. Hull, Mechanical and Electrical (HM&E) sustainment through the interim support period is expected to rely heavily on contracted logistics support services. As the CG transitions to full, long-term support in FY 2010, a permanent organic logistics support infrastructure is required.

FRC Crews 2 thru 6 (Miami): Provides personnel to operate and maintain the second through sixth Fast Response Cutters (FRC), scheduled for delivery in 2010 and 2011. Advance arrival of the crews is critical to ensure appropriate training is conducted prior to delivery.

FRC Shore Support (Miami): Provides phase one of FRC shore-side maintenance personnel needed to support the scheduled FY 2010 delivery of the lead ship. Assigned billets will support six clustered FRCs in Miami, FL. Phase one establishes the initial support level for the first three FRCs.

E. Base Re-Allocations (Non-Add)

1. Military FTP and FTE Transfer to Civilian.....[\$8,072]

PPA Breakdown - Military FTP and FTE Transfer to Civilian		Total (\$000)
PPA I: Military Personnel (-79 FTP, -79 FTE)		
	Military Pay and Allowances	(7,098)
	Military Health Care	(613)
	Permanent Change of Station	(253)
PPA II: Civilian Personnel (79 FTP, 79 FTE)		
	Civilian Pay and Allowances	8,072
PPA III: Training and Recruiting		
	Training and Education	(108)
		0

Request the transfer of 79 military FTP/FTE to civilian FTP/FTE. This request is based upon the conversion of military positions to civilian positions. These conversions are in accordance with GAO guidance to change military positions funded in PPA I (Military Pay and Allowances) with inherently civilian job functions to civilian positions funded in PPA II (Civilian Pay and Allowances).

2. PPA Funding Technical Transfers (\$74.889 million base re-allocation)[\$74,889]

PPA Breakdown - PPA Funding Technical Transfers (\$74.889 million base re-allocation)		Total (\$000)
PPA I: Military Personnel		
	Military Pay and Allowances	(279)
	Military Health Care	(5,473)
PPA II: Civilian Personnel		
	Civilian Pay and Allowances	(1,770)
PPA III: Training and Recruiting		
	Training and Education	119
	Recruiting and Training Centers	831
PPA IV: Operating Funds and Unit Level Maintenance		
	Atlantic Area	(400)
	Pacific Area	(84)
	1st District	(19)
	Headquarters Directorates	(64,064)
PPA V: Centrally Managed Accounts		
	Central Accounts	44,080
PPA VI: Depot Level Maintenance		
	Aircraft Maintenance	5,270
	Electronics Maintenance	20,134
	Civil/Ocean Engineering and Shore Facility Maintenance	(2,800)
	Vessel Maintenance	4,455
		0

Request recurring technical base adjustments to move funding to the appropriate PPA for compliance with Coast Guard financial policy. All requested adjustments retain the original intent and purpose of the funding appropriated; however, the PPA to properly execute these items is different than originally appropriated.

Requested adjustments include movement of funding to the Military Pay and Allowances PPA (PPA 1) for clergy support for the Coast Guard and movement of the budget authority for support of the Coast Guard’s training centers from the Operating Funds and Unit Level Maintenance PPA (PPA 4) to the Training and Recruiting PPA (PPA 3).

Request also includes transferring and centralizing maintenance funds into Depot Level Maintenance PPA (PPA 6) to be used by the C4IT Support Center for National Security Cutter sustainment and the Surface Force Logistics Center for C-144A sustainment initiatives. Funding for service-wide support contracts is also transferred to the Centrally Managed Accounts PPA (PPA 5).

All of the requested transfers are consistent with Coast Guard policy, the intent/purpose or the appropriated funding and will better allow the Coast Guard to execute its budget authority.

Decreases **(\$88,412)**

A. Termination of One Time Costs **(\$32,689)**

PPA Breakdown - Termination of One-Time Costs		Total (\$000)
PPA I: Military Personnel		
	Permanent Change of Station	(5,215)
PPA III: Training and Recruiting		
	Training and Education	(5,563)
	Recruiting and Training Centers	(2,175)
PPA IV: Operating Funds and Unit Level Maintenance		
	Atlantic Area	(155)
	1st District	(29)
	5th District	(48)
	7th District	(248)
	8th District	(399)
	9th District	(29)
	11th District	(39)
	13th District	(35)
	14th District	(19)
	17th District	(41)
	Headquarters Directorates	(13,989)
	Headquarters Units	(220)
PPA V: Centrally Managed Accounts		
	Central Accounts	(2,731)
PPA VI: Depot Level Maintenance		
	Aircraft Maintenance	(200)
	Civil/Ocean Engineering and Shore Facility Maintenance	(447)
	Vessel Maintenance	(1,107)
		(32,689)

This line item reflects FY 2010 savings associated with the termination of one-time costs for program start-up and exit transactions funded in FY 2009.

FY 2009 Line Items	Non-Recurring Amount (\$000)
Intra-Government Services	(156)
Inland Rivertenders' Emergency Subsystem Sustainment	(26)
Air Station Cape Cod (ASCC) Operations Follow-On	(68)
Response Boat - Medium (RB-M) Maintenance Follow-On	(33)
Coastal Patrol Boat Follow-On	(2,039)
Rescue 21 Follow-On	(823)
Nationwide Automatic Identification System (NAIS) Follow-On	(66)
Defense Messaging System Follow-On	(220)
Surface and Air Asset Follow-On	(8,408)
POLAR High Latitude Study	(200)
Decommission USCGC BLACKBERRY	(414)
Decommission Two (2) HU-25 Aircraft	(297)
Decommission Four (4) HC-130H Aircraft	(465)
Decommission Two (2) PC-179 Patrol Boats	(683)
Situation Unit Watchstanders	(751)
Marine Inspection Program	(4,051)
MAGNet 2.0 - Intel Integration	(4,638)
Counter-Intelligence (CI) Service Initiative	(382)
Cryptologic Service Group and Direct Support	(1,120)
Port and Maritime Safety and Security	(6,155)
Increased Operational Hours for Coastal Patrol Boats	(1,098)
Aviation Mission Hour Gap	(596)
Total	(32,689)

B. Management and Technology Efficiencies

1. Annualization of FY 2009 Management and Technology Efficiencies(\$4,934)

PPA Breakdown - Annualization of FY 2009 Management and Technology Efficiencies		Total (\$000)
PPA I: Military Personnel (-19 FTE)		
	Military Pay and Allowances	(1,337)
	Military Health Care	(144)
	Permanent Change of Station	(566)
PPA II: Civilian Personnel (-3 FTE)		
	Civilian Pay and Allowances	(208)
PPA III: Training and Recruiting		
	Training and Education	(59)
	Recruiting and Training Centers	(76)
PPA IV: Operating Funds and Unit Level Maintenance		
	1st District	(8)
	Headquarters Directorates	(719)
	Other Activities	(3)
PPA V: Centrally Managed Accounts		
	Central Accounts	(27)
PPA VI: Depot Level Maintenance		
	Aircraft Maintenance	(1,787)
		(4,934)

This line item annualizes FY 2009 part-year reductions from various asset decommissionings.

FY 2009 Line Items	FTE (Mil)	FTE (Civ)	Recurring Amount Annualized (\$000)
Air Station Cape Cod (ASCC) Operations Follow-On	0	(3)	(224)
Decommission USCGC BLACKBERRY	0	0	(17)
Decommission Two (2) HU-25 Aircraft	(19)	0	(4,257)
Decommission Four (4) HC-130H Aircraft	0	0	(227)
Decommission Two (2) PC-179 Patrol Boats	0	0	(209)
Total	(19)	(3)	(4,934)

2. Decommission Three HU-25 Aircraft (\$8,171)

PPA Breakdown - Decommission Three HU-25 Aircraft		Total (\$000)
PPA I: Military Personnel (-78 FTP, -39 FTE)		
	Military Pay and Allowances	(2,567)
	Military Health Care	(303)
	Permanent Change of Station	299
PPA III: Training and Recruiting		
	Training and Education	(242)
	Recruiting and Training Centers	(63)
PPA IV: Operating Funds and Unit Level Maintenance		
	7th District	(254)
	Headquarters Directorates	(1,419)
	Other Activities	(6)
PPA V: Centrally Managed Accounts		
	Central Accounts	(73)
PPA VI: Depot Level Maintenance		
	Aircraft Maintenance	(3,543)
		(8,171)

In accordance with the Deepwater Implementation Plan, the total number of HU-25 aircraft in the U.S. Coast Guard’s inventory will decrease from 20 to zero between FY 2009 and FY 2014. This initiative will decommission aircraft three through five from the original fleet of 20 HU-25 aircraft. Decommissioning three HU-25 aircraft represents a loss of 2,400 flight hours per year (800 flight hours per aircraft). This flight hour deficit will be mitigated with the introduction of HC-144A aircraft in the Coast Guard’s inventory.

3. Decommission One HC-130H Aircraft(\$3,018)

PPA Breakdown - Decommission One HC-130H Aircraft		Total (\$000)
PPA I: Military Personnel (-28 FTP, -14 FTE)		
	Military Pay and Allowances	(891)
	Military Health Care	(109)
	Permanent Change of Station	115
PPA III: Training and Recruiting		
	Training and Education	(150)
	Recruiting and Training Centers	(15)
PPA IV: Operating Funds and Unit Level Maintenance		
	7th District	(123)
	Headquarters Directorates	(852)
	Other Activities	(2)
PPA V: Centrally Managed Accounts		
	Central Accounts	(24)
PPA VI: Depot Level Maintenance		
	Aircraft Maintenance	(967)
		(3,018)

In accordance with the Deepwater Implementation Plan, the total number of HC-130H aircraft in the U.S. Coast Guard’s inventory will decrease from 27 to 16 between FY 2009 and FY 2016. This initiative will decommission the fifth of 11 HC-130H aircraft identified for decommissioning.

4. Operations System Center Expansion Project Reduction(\$3,600)

PPA Breakdown - Operations System Center Expansion Project Reduction		Total (\$000)
PPA V: Centrally Managed Accounts		
	Central Accounts	(3,600)
		(3,600)

Reduction of one-time funding in FY 2009 for unrequested initiative.

5. LORAN-C Termination(\$36,000)

PPA Breakdown - LORAN-C Termination		Total (\$000)
PPA I: Military Personnel (-283 FTP, -178 FTE)		
	Military Pay and Allowances	(18,598)
	Military Health Care	(2,197)
	Permanent Change of Station	413
PPA II: Civilian Personnel (-10 FTP, -3 FTE)		
	Civilian Pay and Allowances	(896)
PPA III: Training and Recruiting		
	Training and Education	(459)
	Recruiting and Training Centers	(347)
PPA IV: Operating Funds and Unit Level Maintenance		
	1st District	(131)
	5th District	(70)
	7th District	(56)
	8th District	(461)
	9th District	(123)
	11th District	(257)
	13th District	(133)
	17th District	(1,404)
	Headquarters Directorates	(6,777)
	Headquarters Units	(608)
	Other Activities	(29)
PPA V: Centrally Managed Accounts		
	Central Accounts	(387)
PPA VI: Depot Level Maintenance		
	Electronics Maintenance	(1,666)
	Civil/Ocean Engineering and Shore Facility Maintenance	(1,814)
		(36,000)

As a result of technological advancements over the last 20 years and the emergence of the U.S. Global Positioning System (GPS), Loran-C is no longer required by the armed forces, the transportation sector, or the nation’s security interests, and is used only by a small segment of the population. The Loran-C system was not established as, nor was it intended to be, a viable systemic backup for GPS. Consequently, consistent with the Administration’s pledge to eliminate unnecessary federal programs and systems, Federal broadcast of the Loran-C signal will be terminated in Fiscal Year 2010. Termination of Loran-C will result in \$36 million of savings in FY2010 and \$190 million over five years.

After satisfying domestic and international notification obligations, the Coast Guard will terminate transmission of the Loran-C signal and systematically close, harden, and de-staff its 24 Loran-C stations and associated support units. In total, 293 FTP associated with Loran-C will be eliminated during the fiscal year with military personnel reassigned to other priority missions.

IV. Program Justification of Changes

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses
Justification of Program Changes
(Dollars in thousands)**

Program Changes **\$53,016**

A. Financial Management Oversight**\$20,000**

Strategic Goal(s) & Objectives: 4.1, 5.2

PPA Breakdown - Financial Management Oversight		Total (\$000)
PPA I: Military Personnel (23 FTP, 12 FTE)		
	Military Pay and Allowances	1,122
	Military Health Care	89
	Permanent Change of Station	204
PPA II: Civilian Personnel (63 FTP, 32 FTE)		
	Civilian Pay and Allowances	3,810
PPA III: Training and Recruiting		
	Training and Education	390
	Recruiting and Training Centers	21
PPA IV: Operating Funds and Unit Level Maintenance		
	Atlantic Area	6
	Pacific Area	8
	Headquarters Directorates	13,873
	Headquarters Units	24
	Other Activities	5
PPA V: Centrally Managed Accounts		
	Central Accounts	448
		20,000

Description of Item

Provides needed resources to support critical modernization of the Coast Guard’s financial management structure, which includes processes, internal controls, information technology (IT) systems, and human resources as essential pillars of the control environment. The goals of this transformation are to improve the Service’s ability to link mission performance to budget and ensure compliance with the DHS Financial Accountability Act by creating an environment for a sustainable clean audit opinion on annual financial statements. To reach this goal, a methodical approach which examines and strengthens the internal control regime, the building block to assuring sound financial management practices and reporting, will be employed. Personnel from this initiative will build in-house financial management and internal control capability throughout the Service and enhance the management faculty at the Coast Guard Academy to improve the accounting and financial management fields of study.

Justification

Fiscal constraints in the 1990's forced the Coast Guard to streamline its financial management competencies. At the time, financial management was not deemed a core competency for the execution of the service's missions. As such, the Coast Guard now lacks the breadth of expertise in key specialties to make and maintain the significant organizational change required to comply with governmental financial management initiatives.

Financial auditors have identified seven material weaknesses in the Coast Guard's policies, processes, procedures, and IT systems, which inhibit operational efficiency, federal compliance, and financial reporting accuracy. The Coast Guard has developed a Financial Strategy for Transformation and Audit Readiness (FSTAR), which contains detailed plans to remediate internal controls. In addition, the Coast Guard is expanding FSTAR diligently to include plans to support financial statement assertions. Given the reduced capacity of financial management expertise, the Coast Guard requires significant resources to execute FSTAR and rebuild a strong financial management organization with reengineered processes and integrated IT systems.

Performance Impact

By modernizing Coast Guard financial management structure, workforce, and systems, this initiative will support the Department of Homeland Security's effort to achieve an unqualified opinion on its consolidated financial statements as required by the Chief Financial Officer's Act. Failure to fund this request will inhibit the Coast Guard's ability to obtain a clean audit.

B. Enhance Maritime Safety and Security

1. Marine Safety Program.....\$7,500

Strategic Goal(s) & Objectives: 3.1, 3.2, 4.1, 4.2

PPA Breakdown - Marine Safety Program		Total (\$000)
PPA I: Military Personnel (44 FTP, 22 FTE)		
	Military Pay and Allowances	2,192
	Military Health Care	171
	Permanent Change of Station	327
PPA II: Civilian Personnel (30 FTP, 15 FTE)		
	Civilian Pay and Allowances	1,677
PPA III: Training and Recruiting		
	Training and Education	235
	Recruiting and Training Centers	506
PPA IV: Operating Funds and Unit Level Maintenance		
	1st District	6
	5th District	6
	7th District	3
	8th District	61
	9th District	19
	11th District	3
	13th District	6
	14th District	2
	17th District	2
	Headquarters Directorates	1,623
	Other Activities	4
PPA V: Centrally Managed Accounts		
	Central Accounts	438
PPA VI: Depot Level Maintenance		
	Civil/Ocean Engineering and Shore Facility Maintenance	219
		7,500

Description of Item

Marine Safety is a critical, statutorily mandated Coast Guard mission. In 2007, the Coast Guard developed the Marine Safety Enhancement Plan (MSEP), which was designed to address identified deficiencies and performance gaps, and provide a roadmap for the execution of a multi-year effort to enhance its ability to effectively carry out this mission. Complete implementation of the MSEP requires additional resources to build the Coast Guard’s capacity to keep pace with maritime industry growth, adjust to Marine Transportation System complexities, and expand its level of technical expertise for development of design and engineering standards.

Justification

The resources provided through this fiscal year 2010 initiative allows the Coast Guard to continue to build out increased capacity and capability needs expressed in the Marine Safety Improvement Plan provided to the Congress by the Commandant. It continues filling the long term gaps between workforce size and industry growth while systematically expanding inspection and investigation personnel in a methodology designed to create a sustainable, highly competent professional workforce. Funding will:

- Allow assignment of 25 Apprentice Marine Inspectors at field units (New York, NY, Hampton Roads, VA, Jacksonville, FL, Galveston, TX, Morgan City, LA, Port Arthur, TX, New Orleans, LA, Houston, TX, Corpus Christi, TX, Seattle, WA, and Los Angeles, CA) to facilitate development of a more effective career progression for marine inspectors and sustainable work force.
- Establish civilian Senior Marine Inspector Training Officers in 7 Feeder Ports (Jacksonville, FL, Galveston, TX, Port Arthur, TX, Houma, LA, Corpus Christi, TX, San Francisco, CA, and Honolulu, HI) to improve long term continuity, facilitate the professional development of junior field personnel, and enhance marine inspector competency.
- Expand or establish Investigating Officer capacity at a dozen Sectors.
- Enhance Coast Guard engineering capacity for standards development and review, as well as increasing engineering graduate school opportunities.
- Complete staffing for National Centers of Expertise (NCOEs) for Towing Vessel (Paducah, KY), Offshore Vessel (Morgan City, LA), LNG Vessel (Port Arthur, TX), Suspension & Revocation (Martinsburg, WV), Investigations (New Orleans, LA), Steam (Duluth, MN) and Vintage Vessels (Duluth, MN) to enhance service delivery and public outreach capacity for existing NCOEs.
- Enhance baseline qualification training in resident courses for Marine Inspectors and Investigators by increasing class capacity and number of courses at the Marine Safety School in Yorktown, VA.

Performance Impact

Failure to fund this request will have a significant adverse impact on the Service's continuing efforts to expand its marine inspection and investigating capacity and establish the training infrastructure and career progression necessary to ensure a sustainable highly competent workforce capable of meeting current and future demands of a growing maritime industry. Without addressing known performance gaps, building competency, and developing an effective workforce model, the Coast Guard will continue to fall further behind industry growth, not have the engineering capacity to keep pace with technological advances, and likely result in diminished service to industry, delays to commerce, and reduction of public safety.

2. Armed Helicopters Enhancement\$845

Strategic Goal(s) & Objectives: 1.1, 2.4, 3.1

PPA Breakdown - Armed Helicopters Enhancement		Total (\$000)
PPA I: Military Personnel (14 FTP, 7 FTE)		
	Military Pay and Allowances	433
	Military Health Care	54
	Permanent Change of Station	109
PPA III: Training and Recruiting		
	Training and Education	77
	Recruiting and Training Centers	12
PPA IV: Operating Funds and Unit Level Maintenance		
	Atlantic Area	129
	Headquarters Directorates	4
	Other Activities	1
PPA V: Centrally Managed Accounts		
	Central Accounts	26
		845

Description of Item

This initiative supports the increased capability of the Coast Guard’s Helicopter Interdiction Squadron (HITRON), located in Jacksonville, FL. In 2006, the Commandant authorized the establishment of the Area Deployment Center (ADC) and the transition from eight leased MH-68A helicopters to ten MH-65C helicopters. Prior to this transition, this unit was limited to CD/PWCS missions and provided 1,000 Days Deployed At Sea (DDAS) and Days Away from Home Station (DAHS). The personnel and funding in this initiative will support the training and qualification of HITRON aircrews to perform multiple missions while increasing their AUF-capable DDAS and DAHS from 1,000 to 1,450 days, an increase of 450 AUF-capable DDAS/DAHS.

Justification

This initiative will enhance the effectiveness of the maritime law enforcement mission, specifically drug interdiction, by providing additional support assets required by HITRON helicopters and aircrews to meet operational demands. The addition of Tactics Training Boat (TTB) operators and Aerial Gunners are prerequisites for HITRON aircrews to conduct multi-mission operations and increase their AUF-capable DDAS and DAHS from 1,000 to 1,450.

Performance Impact

This additional capability will significantly improve the Coast Guard’s ability to deter drug trafficking, maritime threats, and will play a vital role in establishing an integrated, interoperable border security system. Failure to fund this initiative will sub-optimize the effectiveness of the AUF-equipped helicopters and will ultimately increase the risk of illicit drugs and dangerous people entering the United States.

3. Biometrics at Sea.....\$1,183

Strategic Goal(s) & Objectives: 1.1, 1.3

PPA Breakdown - Biometrics at Sea		Total (\$000)
PPA I: Military Personnel (2 FTP, 1 FTE)		
	Military Pay and Allowances	105
	Military Health Care	8
	Permanent Change of Station	16
PPA II: Civilian Personnel (2 FTP, 1 FTE)		
	Civilian Pay and Allowances	107
PPA III: Training and Recruiting		
	Training and Education	8
PPA IV: Operating Funds and Unit Level Maintenance		
	Headquarters Directorates	59
	Headquarters Units	561
PPA V: Centrally Managed Accounts		
	Central Accounts	319
		1,183

Description of Item

This initiative supports operating costs of the Biometrics-At-Sea System (BASS) on approximately 18 Coast Guard cutters operating primarily in the Mona Pass and Florida Straights. The requested funds will provide design and engineering of data capture devices, program support, training, Enterprise Architecture integration, Federal Information Security Management Act (FISMA) certification, and a 2-3 year equipment refresh cycle.

Justification

The BASS provides Coast Guard personnel with the ability to identify dangerous individuals documented in the United States Visitor and Immigration Status Indicator Technology (US-VISIT) database including known felons, those under deportation orders, or on a terrorist watchlist. With a nearly 75% reduction in undocumented migrant flow from the Dominican Republic, the BASS pilot program demonstrated the effectiveness of the system in deterring attempts by undocumented migrants to enter the United States illegally. In addition, it provides Coast Guard law enforcement personnel the capability to identify, detain and ultimately deliver consequences to those engaged in criminal activity such as human smuggling. This initiative will transition the BASS from a pilot program to a program of record and establish the necessary program management and technical support for future expansion to other operational assets including high endurance and medium endurance cutters and Deployable Specialized Forces.

Performance Impact

As of January 2009, Coast Guard personnel captured biometric data on approximately 2,400 undocumented migrants resulting in over 230 criminal convictions. BASS prevented repatriation of these individuals to their respective countries without punishment or deterrence from making future attempts. Failure to fund this initiative will increase the risk of dangerous individuals entering the country illegally and eliminate a proven deterrent to illegal migrant recidivism.

4. Seahawk Charleston Interagency Operations Center Sustainment.....\$1,088

Strategic Goal(s) & Objectives: 1.1, 2, 3, 5.1, 5.5

PPA Breakdown - Seahawk Charleston Interagency Operations Center Sustainment		Total (\$000)
PPA I: Military Personnel (1 FTP, 1 FTE)		
	Military Pay and Allowances	72
	Military Health Care	4
	Permanent Change of Station	11
PPA III: Training and Recruiting		
	Training and Education	4
PPA IV: Operating Funds and Unit Level Maintenance		
	Atlantic Area	66
	7th District	43
	Headquarters Units	210
PPA V: Centrally Managed Accounts		
	Central Accounts	420
PPA VI: Depot Level Maintenance		
	Electronics Maintenance	258
		1,088

Description of Item

Provides funding for administrative services, facility support, information and communications system hardware maintenance and software licensing and support to continue operation of Project Seahawk in Charleston, SC. Seahawk is a multi-agency coordination center originally established and administered by the Department of Justice (DOJ) to provide a collaborative, Unified Command-based work environment bringing together the cooperative and complimentary capabilities of an Intelligence Cell, the FBI’s Joint Terrorism Task Force, Coast Guard, Customs and Border Protection (CBP), Immigration and Customs Enforcement, and other Federal, state, and local agencies to improve Maritime Domain Awareness and coordinate vessel and inter-modal transportation screening and targeting in the Port of Charleston. Seahawk has proven to be a successful interagency operation center model since 2003. DOJ intends to fund Seahawk through FY09. DHS, with the Coast Guard as Executive Agent, will assume responsibility for the administration of Seahawk in FY10.

Justification

The Port of Charleston is the 5th largest container port in the United States and the trans-shipment point for over 2 million containers and over \$53 billion in cargo. The Charleston customs district is the sixth largest in the country and the port itself makes up approximately 16% of the State of South Carolina’s total economy. Project Seahawk provides tactical level unity of effort and creates synergies among the interagency to coordinate vessel boardings by CBP and Coast Guard boarding teams, fusion of intelligence with vessel arrival schedules to inform threat and risk-based targeting, and coordination of inter-modal and multi-jurisdictional screening activities among Federal, State and local government agencies. The SeaHawk Task Force vets over 2,100 vessels and conducts 400 joint boardings per year. New national requirements for vessel screening will require SeaHawk to conduct an additional 200 boarding per year.

Seahawk has also developed innovative information technologies including the Seahawk portal – an information integration portal capable of consuming and populating a wide range of information and intelligence databases – and the multi-function Seahawk Wireless Network which is an expandable, multi-frequency network capable of supporting operational, sensor and communications data transfer. Without the coordinated operations and increased information sharing among Federal, State and local agencies, the Coast Guard and its interagency port partners would operate independently.

Performance Impact

This initiative supports the operation of Project Seahawk and will allow DHS to continue to realize the benefits already delivered by the project in mitigating terror-related risk, including WMD/Terrorist transfer and direct attack/exploitation of critical infrastructure and key assets by:

- Maintaining a unity of effort among interagency partners through integrated planning and collaboration with Sector operations;
- Maintaining a “goal line defense” layered security system;
- Monitoring critical infrastructure and security zones 24/7; and
- Maintaining a proactive security posture and deterrent to illegal activity.

Failure to fully fund this initiative will result in reduced coordination and the disbanding of the multi-agency center. Additionally, port partners may return to independent, uncoordinated operations and innovative IT systems will be discontinued.

C. Data Center Migration\$22,400

Strategic Goal(s) & Objectives:

PPA Breakdown - Data Center Migration		Total (\$000)
PPA V: Centrally Managed Accounts		
	Central Accounts	22,400
		22,400

Description of Item

FY 2010 data center development funding will be used for the continuation of system and application migration to the two DHS Enterprise Data Centers for central DHS management in FY 2010. This includes:

- Discovery, migration planning, and scheduling activities specifically related to systems/applications that will transition to the DHS Data Centers in FY 2010
- Purchase of new equipment for placement in the DHS Data Centers as part of migration/transition efforts
- Installation of equipment racks at the DHS Data Centers
- Migration-related build-out of DHS Data Center infrastructure
- Transition of disaster recovery/backup/COOP (Continuity of Operations) capability to DHS Data Centers
- Installation of infrastructure support as part of system migrations at the DHS Data Centers

- Migration of Coast Guard hardware, systems/applications to occupy rack space at the DHS Data Centers.

Justification

The Data Center consolidation efforts will standardize IT resource acquisitions across Components, and streamline maintenance and support contracts, allowing for less complex vendor support and expediting response times in the event of an emergency. Benefits derived from consolidation are enhanced DHS IT security posture, improved information sharing with stakeholders, and increased operational efficiencies over time.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Department of Homeland Security
U. S. Coast Guard
Justification of Proposed Changes in Operating Expenses
Appropriation Language

For necessary expenses for the operation and maintenance of the Coast Guard, not otherwise provided for; purchase or lease of not to exceed 25 passenger motor vehicles, which shall be for replacement only; for purchase or lease of small boats for contingent and emergent requirements (at a unit cost of no more than \$700,000) and for repairs and service-life replacements, not to exceed a total of \$26,000,000; minor shore construction projects not exceeding [\$1,000,000] **\$1,000,000** in total cost at any location; payments pursuant to section 156 of Public Law 97-377 (42 U.S.C. 402 note; 96 Stat. 1920); and recreation and welfare; [\$6,194,925,000] **\$6,556,188,000**, of which \$340,000,000 shall be for defense-related activities; of which \$24,500,000 shall be derived from the Oil Spill Liability Trust Fund to carry out the purposes of section 1012(a)(5) of the Oil Pollution Act of 1990 (33 U.S.C. 2712(a)(5)); of which not to exceed \$20,000 shall be for official reception and representation expenses: Provided further, That none of the funds made available by this Act shall be for expenses incurred for recreational vessels under section 12114 of title 46, United States Code, except to the extent fees are collected from yacht owners and credited to this appropriation:

Explanation of Changes:

Removed: [Provided, That none of the funds made available by this or any other Act shall be available for administrative expenses in connection with shipping commissioners in the United States]. The designation and duties of the “shipping commissioner,” which was formerly codified, has been repealed, and is therefore largely undefined. The vast majority of the duties and responsibilities of the “shipping commissioner” were transferred to “ship masters.” A reasonable construction of the appropriation provision is that Congress does not intend for Coast Guard appropriations to be available for the expenses of a former position that has, with one exception, been repealed.

[Provided further, That amounts not to exceed 5 percent of the total amount appropriated under this heading may be transferred to the “Acquisition, Construction, and Improvements” appropriation, to be available under the terms and conditions applicable to that appropriation, and to be available for personnel compensation and benefits and related costs to adjust personnel assignment to accelerate management and oversight of new or existing projects without detrimentally affecting the management and oversight of other projects: Provided further, That the amount made available for “Personnel, Compensation, and Benefits” in the “Acquisition, Construction, and Improvements” Appropriation shall not be increased by more than 10 percent by such transfers: Provided further, That the Committees on Appropriations of the Senate and the House of Representatives shall be notified of each transfer within 10 days after it is executed. (Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009.)]

B. FY 2009 to FY 2010 Budget

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actual	47,416	47,023	6,109,665
2009 Enacted*	48,451	47,884	6,194,925
Adjustments-to-Base			
Increases			
A. Annualization of Prior Year Funding	-	621	85,920
B. Mandatory Personnel Entitlements			
1. Annualization of FY 2009 Pay Raise	-	-	29,241
2. FY 2010 Pay Increase	-	-	71,473
3. Military Entitlements (DoD Parity)	-	-	80,520
C. Non-Pay Adjustments			
1. Operational Adjustments			
a) GSA Rent and Security Charges Increase	-	-	10,019
b) Depot Level (4X) and Emergency Maintenance	-	-	35,000
c) Government Services Increase	-	-	8,798
d) Long Range Identification and Tracking	-	-	3,500
e) Coast Guard Academy IT Network	-	-	800
D. Operating and Maintenance Funds for New Assets			
1. Shore Facility Follow-On	-	-	7,086
2. Response Boat - Medium (RB-M) Maintenance Follow-On	6	3	1,065
3. Rescue 21 Follow-On	20	11	12,279
4. Nationwide Automatic Identification System (NAIS) Follow-On	2	1	2,000
5. Sector Air Station Corpus Christi Facility Follow-On	26	13	2,400
6. Surface and Air Asset Follow-On	360	183	46,558
E. Base Re-Allocations (Non-Add)			
1. Military FTP and FTE Transfer to Civilian	[79]	[79]	[8,072]
2. PPA Funding Technical Transfers (\$74.889 million base re-allocation)	-	-	[74,889]
F. DoD Transfer (Overseas Contingency Operations)	-	[844]	[241,503]
Total Increases	<u>414</u>	<u>832</u>	<u>396,659</u>
Decreases			
A. Termination of One-Time Costs	-	-	(32,689)
B. Management and Technology Efficiencies			
1. Annualization of FY 2009 Management and Technology Efficiencies	-	(22)	(4,934)
2. Decommission Three HU-25 Aircraft	(78)	(39)	(8,171)
3. Decommission One HC-130H Aircraft	(28)	(14)	(3,018)
4. Operations System Center Expansion Project Reduction	-	-	(3,600)
5. LORAN-C Termination	(293)	(181)	(36,000)
Total Decreases	<u>(399)</u>	<u>(256)</u>	<u>(88,412)</u>
Total Adjustments-to-Base	<u>15</u>	<u>576</u>	<u>308,247</u>
2010 Current Services	48,466	48,460	6,503,172

B. FY 2009 to FY 2010 Budget

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
Program Changes			
Program Increases / (Decreases)			
A. Financial Management Oversight	86	44	20,000
B. Enhance Maritime Safety and Security			
1. Marine Safety Program	74	37	7,500
2. Armed Helicopters Enhancement	14	6	845
3. Biometrics at Sea	4	2	1,183
4. Seahawk Charleston Interagency Operations Center Sustainment	1	1	1,088
C. Data Center Migration	-	-	22,400
Total Program Changes	179	90	53,016
2010 Request	48,645	48,550	6,556,188
2009 to 2010 Total Change	194	666	361,263

** 168 FTE/FTP Public Health Service (PHS) officers were removed from the FY 2009 enacted presentation to properly document the arrangement per OMB A-11 Section 85.7; Department of Health and Human Services (HHS) is the servicing account in the reimburseable FTE arrangement with the Coast Guard.*

C. Summary of Requirements

Department of Homeland Security
U. S. Coast Guard
Operating Expenses Appropriation
Summary of Requirements
(Dollars in Thousands)

	2009 Enacted*			2010 Request		
	Pos.	FTE	Amount	Pos.	FTE	Amount
2008 Actual						
2009 Enacted*						
Adjustments to Base (See "FY 2009 to FY 2010 Budget Change" for details)						
Increases						
Decreases						
Total Adjustments to Base						
2010 Current Services						
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)						
2010 Request						
2009 to 2010 Total Change						

	2009 Enacted*			2010 Adjustments-to-Base			2010 Program Changes			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Estimates by Program/Project Activity												
I. Military Pay and Allowances												
Military Pay and Allowances (AFC-01)	41,427	41,359	2,585,046	(108)	374	119,953	84	42	3,924	41,403	41,775	2,708,923
Military Health Care (AFC-57)			353,368			17,678			326			371,372
Permanent Change of Station (AFC-20)			135,106			28,793			667			164,566
SubTotal	41,427	41,359	3,073,520	(108)	374	166,424	84	42	4,917	41,403	41,775	3,244,861
II. Civilian Pay and Benefits												
Civilian Pay and Benefits (AFC-08)	7,024	6,525	648,346	123	202	45,654	95	48	5,594	7,242	6,775	699,594
SubTotal	7,024	6,525	648,346	123	202	45,654	95	48	5,594	7,242	6,775	699,594
III. Training and Recruiting												
Training and Education (AFC-56)			97,688			4,986			714			103,388
Recruiting and Training Centers (AFC-34)			100,305			1,738			539			102,582
SubTotal			197,993			6,724			1,253			205,970
IV. Operating Funds and Unit Level Maintenance												
Atlantic Command (AFC-30)			176,862			411			201			177,474
Pacific Command (AFC-30)			196,131			(196)			8			195,943
1st District (AFC-30)			59,173			895			6			60,074
5th District (AFC-30)			21,865			70			6			21,941
7th District (AFC-30)			77,653			639			46			78,338
8th District (AFC-30)			47,873			1,342			61			49,276
9th District (AFC-30)			11,704			(51)			19			11,672
11th District (AFC-30)			17,736			(98)			3			17,641
13th District (AFC-30)			23,050			4			6			23,060
14th District (AFC-30)			19,184			103			2			19,289
17th District (AFC-30)			31,142			(1,315)			2			29,829
Headquarter Directories (AFC-30)			323,493			(53,859)			15,559			285,193
Headquarter Managed Units (AFC-30)			158,640			(534)			795			158,901
Other Activities (AFC-40)			811			61			10			882
SubTotal			1,185,317			(52,528)			16,724			1,149,513
V. Centrally Managed Accounts												
Centrally-Managed Operating Expenses (AFC-36)			263,702			65,318			24,051			353,071
SubTotal			263,702			65,318			24,051			353,071
VI. Depot Level Maintenance												
Aeronautical (AFC-41)			314,708			50,583			-			365,291
Electronic (AFC-42)			134,076			20,767			258			155,101
Civil/Ocean Engineering & Shore Facilities (AFC-43)			179,790			920			219			180,929
Vessel (AFC-45)			197,473			4,385			-			201,858
SubTotal			826,047			76,655			477			903,179
SubTotal Operating Expenses	48,451	47,884	6,194,925	15	576	308,247	179	90	53,016	48,645	48,550	6,556,188
Operating Expenses Supplementals												
Dod Transfer (P.L. 110-252)			[844]			[844]			[844]			[844]
Total	48,451	47,884	6,194,925	15	576	308,247	179	90	53,016	48,645	48,550	6,556,188

* 168 FTE/FTP Public Health Services (PHS) officers were removed from the FY 2009 enacted presentation to properly document the arrangement per OMB A-11 Section 85.7; Department of Health and Human Services (HHS) is the servicing account in the reimbursable FTE arrangement with the Coast Guard.

D. Summary of Reimbursable Resources

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses
Summary of Reimbursable Resources**
(Dollars in Thousands)

Collection by Source	2008 Actuals		2009 Revised Estimate		2010 Estimate		Increase/Decrease	
	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos.	FTE
Agency 1								
Department of Homeland Security			26,862		27,667		33,091	
Agency 2								
Department of Defense			117,279		120,798		122,266	
Agency 3								
Department of Transportation			7,482		7,706		8,262	
Agency 4								
Department of Treasury			2,702		2,702		2,783	
Agency 5								
Department of Commerce			1,317		1,357		1,607	
Agency 6								
Department of State			7,150		7,364		6,351	
Agency 7								
Department of Justice			413		426		3,965	
Agency 8								
Federal Emergency Management Agency			1,031		1,062		26,157	
Agency 9								
Environmental Protection Agency			4,609		4,747		5,041	
Miscellaneous								
- Panama Canal Authority			2		2		2	
- National Science Foundation			57,226		58,943		54,059	
Other Anticipated Reimbursables General			7,087		7,402		17,565	
Total Budgetary Resources	921	555	233,160	925	240,176	911	281,149	(14)
				661	661	661	40,973	-

E. Summary of Requirements by Object Class

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1 Full-time permanent	425,683	438,764	476,952	38,188
11.3 Other than full-time permanent	7,433	7,263	8,562	1,299
11.5 Other personnel compensation	16,600	15,682	16,981	1,299
11.7 Military personnel	2,201,977	2,248,515	2,337,094	88,579
11.8 Special service pay	35,726	30,894	32,045	1,151
12.1 Civilian personnel benefits	135,760	138,670	148,868	10,198
12.2 Military personnel benefits	483,216	501,593	536,045	34,452
13.0 Benefits-former	18,256	23,807	23,860	53
Total, Personnel Comp. & Benefits	\$ 3,324,651	\$ 3,405,188	\$ 3,580,407	\$ 175,219
Other Objects Classes:				
21.0 Travel	321,581	278,926	279,865	939
22.0 Transportation of things	57,168	72,239	102,250	30,011
23.1 GSA rent	70,051	94,049	103,043	8,994
23.2 Other rent	28,075	12,657	13,949	1,292
23.3 Communication, utilities, and misc charges	172,333	261,985	271,719	9,734
24.0 Printing and reproduction	3,858	4,740	4,742	2
25.1 Advisory and assistance services	129,315	56,304	69,431	13,127
25.2 Other services	393,639	217,170	249,602	32,432
25.3 Purchases of goods & svcs. from gov't accounts	1,341	65,729	70,663	4,934
25.4 Operation & maintenance of facilities	191,586	202,094	183,203	(18,891)
25.5 Research and development	-	-	-	-
25.6 Medical care	181,430	306,612	324,616	18,004
25.7 Operation and maintenance of equipment	151,309	358,919	419,791	60,872
25.8 Subsistence and support of persons	46,747	9,087	7,660	(1,427)
26.0 Supplies and materials	906,945	643,097	648,627	5,530
31.0 Equipment	106,016	156,765	164,314	7,549
32.0 Land and structures	19,002	28,022	40,964	12,942
41.0 Grants, subsidies and contributions	-	-	-	-
42.0 Insurance claims and indemnity	4,618	21,342	21,342	-
Total, Other Object Classes	\$ 2,785,014	\$ 2,789,737	\$ 2,975,781	\$ 186,044
Total Direct Obligations	\$ 6,109,665	\$ 6,194,925	\$ 6,556,188	\$ 361,263
Unobligated balance, start of year	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Total Requirements	\$ 6,109,665	\$ 6,194,925	\$ 6,556,188	-

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses - Military
Permanent Positions by Grade**

Grade	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
	Pos.	Pos.	Pos.	Pos.
O-10	1	1	1	-
O-9	4	4	4	-
O-8	25	24	24	-
O-7	7	6	6	-
O-6	336	289	290	1
O-5	753	754	754	-
O-4	1,194	1,244	1,250	6
O-3	2,129	2,251	2,273	22
O-2	1,407	1,446	1,449	3
O-1	160	164	164	-
CWO	1,475	1,533	1,531	(2)
Cadet/OC	933	852	852	-
E-10	1	1	1	-
E-9	291	288	289	1
E-8	664	637	639	2
E-7	3,223	3,287	3,287	-
E-6	6,538	6,801	6,781	(20)
E-5	7,936	8,206	8,201	(5)
E-4	7,189	7,359	7,336	(23)
E-3	4,164	4,052	4,044	(8)
E-2	1,373	1,538	1,537	(1)
E-1	689	690	690	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
Total Permanent Positions	40,492	41,427	41,403	(24)
Unfilled Positions EOY	176	-	-	-
Total Perm. Employment EOY	40,316	41,427	41,403	(24)
FTE*	40,710	41,359	41,775	416
Headquarters	1,220	1,126	1,084	(42)
U.S. Field	39,161	40,161	40,179	18
Foreign Field	111	140	140	-
Total Permanent Positions	40,492	41,427	41,403	(24)
<u>Position Data:</u>				
Average Salary, Officer Positions**	\$86,912.25	\$94,756.92	\$99,456.10	\$4,699.18
Average Grade, Officer Positions	2.82	2.82	2.82	0.00
Average Salary, Enlisted Positions**	\$51,096.80	\$56,007.74	\$59,469.50	\$3,461.76
Average Grade, Enlisted Positions	4.81	4.81	4.81	0.00

*The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year. 168 FTE/FTP Public Health Service (PHS) officers were removed from this presentation to properly document the arrangement per OMB A-11 Section 85.7; Department of Health and Human Services (HHS) is the servicing account in the reimburseable FTE arrangement with the Coast Guard.

**The military pay and allowances averages include the costs associated with all pay and allowances paid to a particular paygrade, including: Basic Pay, Basic Allowance for Housing, Basic Allowance for Subsistence, Federal Insurance Contributions, Incentive/Special Pays, Clothing Allowances, Cost-of-Living Allowances and Selective Re-enlistment Bonus payments. The term "Officer" includes Chief Warrant Officers, Cadets and Officer Candidates.

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses - Civilian
Permanent Positions by Grade**

Grade	2008	2009	2010	2009 - 2010
	Actual Pos.	Enacted Pos.	Request Pos.	Change Pos.
Total, SES	13	13	14	1
Total, EX	-	-	-	-
GS-15	152	158	158	-
GS-14	495	475	509	34
GS-13	1,115	1,114	1,180	66
GS-12	1,356	1,454	1,513	59
GS-11	847	806	834	28
GS-10	26	29	29	-
GS-9	510	515	530	15
GS-8	187	191	192	1
GS-7	676	680	689	9
GS-6	237	298	298	-
GS-5	130	142	143	1
GS-4	26	31	30	(1)
GS-3	3	2	2	-
GS-2	6	5	5	-
Other Graded Positions	1,145	1,111	1,116	5
Ungraded Positions	-	-	-	-
Total Permanent Positions	6,924	7,024	7,242	218
Unfilled Positions EOY	703	713	735	22
Total Perm. Employment (Filled Positions) EOY	6,221	6,311	6,507	196
FTE	6,313	6,525	6,775	250
Headquarters	1,273	1,227	1,355	128
U.S. Field	5,651	5,797	5,887	90
Foreign Field	-	-	-	-
Total Permanent Positions	6,924	7,024	7,242	218
<u>Position Data:</u>				
Average Personnel Costs, ES Positions	\$201,400.00	\$206,400.00	\$206,700.00	\$ 300
Average Personnel Costs, GS Positions	\$96,277.94	\$96,885.25	\$100,481.25	\$ 3,596
Average Grade, GS Positions	10.85	10.79	10.84	0.04

The average personnel costs shown above include basic/locality pay, lump sum payments, awards, overtime, benefits such as retirement, health care and life insurance, and other compensation such as holiday, Sunday, hazardous duty, reemployment annuitant and severance pays, night differential, non foreign Cost-of-Living Allowance, premium compensation for firefighters. Civilian FTP is presented as a count of full time positions, vice full time employees.

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Reimbursables - Military
Permanent Positions by Grade**

Grade	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
	Pos.	Pos.	Pos.	Pos.
O-10	-	-	-	-
O-9	-	-	-	-
O-8	-	-	-	-
O-7	1	1	1	-
O-6	10	8	10	2
O-5	28	28	27	(1)
O-4	44	48	43	(5)
O-3	41	47	40	(7)
O-2	14	16	13	(3)
O-1	3	3	3	-
CWO4	28	38	27	(11)
Cadet	-	-	-	-
E-10	-	-	-	-
E-9	18	25	9	(16)
E-8	13	-	13	13
E-7	56	54	53	(1)
E-6	110	104	108	4
E-5	158	143	156	13
E-4	88	89	87	(2)
E-3	44	44	44	-
E-2	21	21	21	-
E-1	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
Total Permanent Positions	677	669	655	(14)
Unfilled Positions EOY	-	-	91	91
Total Perm. Employment EOY	677	669	564	(105)
FTE*	295	401	401	-
Headquarters	118	118	104	(14)
U.S. Field	555	547	547	-
Foreign Field	4	4	4	-
Total Permanent Positions	677	669	655	(14)
<u>Position Data:</u>				
Average Salary, Officer Positions**	\$97,042.11	\$97,333.10	\$104,610.27	\$7,277.17
Average Grade, Officer Positions	3.55	3.43	3.56	0.13
Average Salary, Enlisted Positions**	\$50,976.68	\$51,860.64	\$53,849.10	\$1,988.46
Average Grade, Enlisted Positions	5.19	5.15	5.10	-0.05

*The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

**The military pay and allowances averages include the costs associated with all pay and allowances paid to a particular paygrade, including: Basic Pay, Basic Allowance for Housing, Basic Allowance for Subsistence, Federal Insurance Contributions, Incentive/Special Pays, Clothing Allowances, Cost-of-Living Allowances and Selective Re-enlistment Bonus payments. The term "Officer" includes Chief Warrant Officers, Cadets and Officer Candidates.

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Reimbursables - Civilian
Permanent Positions by Grade**

Grade	2008	2009	2010	2009 - 2010
	Actual Pos.	Enacted Pos.	Request Pos.	Change Pos.
Total, SES	-	-	-	-
Total, EX	-	-	-	-
GS-15	2	2	2	-
GS-14	15	13	15	2
GS-13	30	32	30	(2)
GS-12	43	44	43	(1)
GS-11	29	29	28	(1)
GS-10	-	2	-	(2)
GS-9	26	28	40	12
GS-8	11	11	11	-
GS-7	49	51	52	1
GS-6	7	7	7	-
GS-5	32	35	28	(7)
GS-4	-	-	-	-
GS-3	-	-	-	-
GS-2	-	-	-	-
Other Graded Positions	-	2	-	(2)
Ungraded Positions	-	-	-	-
Total Permanent Positions	244	256	256	-
Unfilled Positions EOY	27	-	36	36
Total Perm. Employment (Filled Positions) EOY	217	256	220	(36)
FTE	260	260	260	-
Headquarters	29	29	29	-
U.S. Field	215	227	227	-
Foreign Field	-	-	-	-
Total Permanent Positions	244	256	256	-
Position Data:				
Average Personnel Costs, ES Positions	n/a	n/a	n/a	n/a
Average Personnel Costs, GS Positions	\$79,045.49	\$81,100.00	\$80,772.66	\$ (327)
Average Grade, GS Positions	9.56	9.48	9.56	0.08

The average personnel costs shown above include basic/locality pay, lump sum payments, awards, overtime, benefits such as retirement, health care and life insurance, and other compensation such as holiday, Sunday, hazardous duty, reemployment annuitant and severance pays, night differential, non foreign Cost-of-Living Allowance, premium compensation for firefighters. Civilian FTP is presented as a count of full time positions, vice full time employees.

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses
PPA I: Military Personnel
Funding Schedule
(Dollars in Thousands)**

PPA I: Military Personnel		2008 Actual	2009 * Enacted	2010 Request	2009 - 2010 Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	1,570,002	2,309,699	2,398,278	88,579
11.8	Special service pay	32,599	5,886	7,011	1,125
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	749,598	200,688	235,140	34,452
13.0	Benefits-former	19,030	22,134	22,134	-
21.0	Travel	111,781	110,931	110,519	(412)
22.0	Transportation of things	5,302	45,145	75,017	29,872
23.1	GSA rent	-	-	-	-
23.2	Other rent	9,955	7,215	7,215	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	5	-	-	-
25.2	Other services	15,773	1,591	1,591	-
25.3	Purchases of goods & svcs. from gov't accounts	31,620	-	-	-
25.4	Operation & maintenance of facilities	-	11	11	-
25.5	Research and development	-	-	-	-
25.6	Medical care	228,217	300,184	318,188	18,004
25.7	Operation and maintenance of equipment	75,946	2,503	2,503	-
25.8	Subsistence and support of persons	138,506	11,535	11,256	(279)
26.0	Supplies and materials	8,731	36,374	36,374	-
31.0	Equipment	5,296	1,404	1,404	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	18,220	18,220	-
Total, Military Personnel		\$ 3,002,361	\$ 3,073,520	\$ 3,244,861	\$ 171,341
Full Time Equivalents		40,710	41,359	41,775	416

* 168 FTE/FTP Public Health Service (PHS) officers were removed from the FY 2009 enacted presentation to properly document the arrangement per OMB A-11 Section 85.7; Department of Health and Human Services (HHS) is the servicing account in the reimburseable FTE arrangement with the Coast Guard.

PPA Mission Statement

This PPA requests funding for expenses related to compensation for active duty military personnel. This category also includes pay, allowances, employer's share of FICA, Social Security credits and other expenses associated with compensating military personnel. Requested funding will compensate our 43,310 military personnel as they serve as the Nation's First Responder across all of the Coast Guard's 11 missions.

Summary Justification and Explanation of Changes

Salaries and Benefits

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 2,371,229	\$ 2,538,407	\$ 2,662,563	\$ 124,156

Salaries and benefits funds provide for compensation directly related to duties performed for the Coast Guard by active duty military personnel. The FY 2010 request includes funding for the proposed pay raise (currently predicted at 2.9% for military and 2.0% for civilians), medical benefits, other mandatory personnel entitlements and program increases. Personnel increases are accounted for through the annualization of FTE introduced in FY 2009, as well as personnel for acquisition management and oversight, marine inspections, operation of the CASA HC-144A aircraft, and the first two National Security Cutters.

Travel

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 111,781	\$ 110,931	\$ 110,519	\$ (412)

Requested funds cover the travel costs of Coast Guard military service members, while in an authorized travel status, either directly or by reimbursing the traveler. The FY 2010 request reflects increases from inflation and an increase in the number of personnel required to support marine inspections, the CASA HC-144A aircraft, and the first two National Security Cutters.

Transportation of things

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 5,302	\$ 45,145	\$ 75,017	\$ 29,872

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. Funding primarily supports the shipment of military member's household goods in conjunction with Permanent Change of Station (PCS) moves. The FY 2010 request reflects increases from inflation and an increase in the number of personnel required to support marine inspections, the CASA HC-144A aircraft, and the first two National Security Cutters.

Other rent

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 9,955	\$ 7,215	\$ 7,215	\$ -

The FY 2010 request has no change.

Other services

	2008		2009		2010		2009 to 2010
	Actual		Enacted		Request		Change
\$	15,773	\$	1,591	\$	1,591	\$	-

The FY 2010 request has no change.

Purchases of goods & svcs. from gov't accounts

	2008		2009		2010		2009 to 2010
	Actual		Enacted		Request		Change
\$	31,620	\$	-	\$	-	\$	-

The FY 2010 request has no change.

Operation & maintenance of facilities

	2008		2009		2010		2009 to 2010
	Actual		Enacted		Request		Change
\$	-	\$	11	\$	11	\$	-

The FY 2010 request has no change.

Medical care

	2008		2009		2010		2009 to 2010
	Actual		Enacted		Request		Change
\$	228,217	\$	300,184	\$	318,188	\$	18,004

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. Specifically, funding supports medical care costs for military service members. The FY 2010 request includes an adjustment for medical cost increases due to inflation and the increase in FTE.

Operation and maintenance of equipment

	2008		2009		2010		2009 to 2010
	Actual		Enacted		Request		Change
\$	75,946	\$	2,503	\$	2,503	\$	-

The FY 2010 request has no change.

Subsistence and support of persons

	2008		2009		2010		2009 to 2010
	Actual		Enacted		Request		Change
\$	138,506	\$	11,535	\$	11,256	\$	(279)

Supplies and materials

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change	
	\$	8,731	\$	36,374	\$	36,374	\$	-

The FY 2010 request has no change.

Equipment

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change	
	\$	5,296	\$	1,404	\$	1,404	\$	-

The FY 2010 request has no change.

Insurance claims and indemnity

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change	
	\$	-	\$	18,220	\$	18,220	\$	-

The FY 2010 request has no change.

H. PPA Budget Justifications

Department of Homeland Security
U. S. Coast Guard
Operating Expenses
PPA II: Civilian Personnel
Funding Schedule
(Dollars in Thousands)

PPA II: Civilian Personnel		2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Object Classes					
11.1	Full-time permanent	425,683	470,966	509,154	38,188
11.3	Other than full-time permanent	7,433	7,751	9,050	1,299
11.5	Other personnel compensation	16,600	16,829	18,128	1,299
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	24	50	26
12.1	Civilian personnel benefits	135,760	148,806	159,004	10,198
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	431	551	604	53
21.0	Travel	926	331	358	27
22.0	Transportation of things	2,557	3,088	3,246	158
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	-	-
25.2	Other services	-	-	-	-
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	-	-	-	-
31.0	Equipment	-	-	-	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	10	-	-	-
Total, Civilian Personnel		\$ 589,400	\$ 648,346	\$ 699,594	\$ 51,248
Full Time Equivalents		6,313	6,525	6,775	250

PPA Mission Statement

This PPA requests funding for expenses related to compensation and entitlements for federal civilian employees. The workforce is composed of General Schedule (GS) personnel, Administrative Law Judges (AL), Senior Executive Service (SES) personnel, personnel whose salaries are Administratively Determined (AD) (e. g. Coast Guard Academy civilian faculty members), Wage Grade (WG) positions employed in industrial positions, and "Non-Ceiling" (NC) employees (e. g. cooperative education students, student aids, summer interns and federal junior fellows) and civilian employees not otherwise covered by other PPAs.

Summary Justification and Explanation of Changes

Salaries and Benefits

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 585,907	\$ 644,927	\$ 695,990	\$ 51,063

Salaries and benefits funds provide for compensation directly related to duties performed for the Coast Guard by Federal civilian employees. The FY 2010 request includes funding for the proposed pay raise (currently predicted at 2.0%), medical benefits, other mandatory personnel entitlements. This is the result of additional personnel for acquisitions management and oversight, marine inspections, and financial management specialists.

Travel

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 926	\$ 331	\$ 358	\$ 27

Requested funds cover the travel costs of Coast Guard civilian employees, while in an authorized travel status, either directly or by reimbursing the traveler. The FY 2010 request reflects an increase from inflation, as well as an increase in the number of personnel for acquisitions management and oversight, marine inspections, and financial management specialists.

Transportation of things

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 2,557	\$ 3,088	\$ 3,246	\$ 158

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. Funding primarily supports the shipment of civilian personnel's household goods in conjunction with the acceptance of a new position. The FY 2010 increase is the result of additional personnel for acquisitions management and oversight, marine inspections, and financial management specialists.

H. PPA Budget Justifications

Department of Homeland Security
U. S. Coast Guard
Operating Expenses
PPA III: Training and Recruiting
Funding Schedule
(Dollars in Thousands)

PPA III: Training and Recruiting		2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	2	2	2	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	75	29	29	-
11.8	Special service pay	-	83	83	-
12.1	Civilian personnel benefits	-	4	4	-
12.2	Military personnel benefits	9	9	9	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	39,510	37,031	36,794	(237)
22.0	Transportation of things	815	970	970	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	5,358	5,496	5,496	-
23.3	Communication, utilities, and misc charges	9,229	10,401	10,401	-
24.0	Printing and reproduction	339	448	448	-
25.1	Advisory and assistance services	26	2,373	2,555	182
25.2	Other services	60,187	86,038	88,138	2,100
25.3	Purchases of goods & svcs. from gov't accounts	9,029	10,477	15,848	5,371
25.4	Operation & maintenance of facilities	3,522	4,782	4,845	63
25.5	Research and development	502	-	-	-
25.6	Medical care	36,795	19	19	-
25.7	Operation and maintenance of equipment	135	2,939	3,888	949
25.8	Subsistence and support of persons	1,774	924	924	-
26.0	Supplies and materials	22,099	24,410	25,170	760
31.0	Equipment	1,448	11,521	10,310	(1,211)
32.0	Land and structures	4	37	37	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total, Training and Recruiting		\$ 190,858	\$ 197,993	\$ 205,970	\$ 7,977
Full Time Equivalents		-	-	-	-

PPA Mission Statement

Requests funding for the Coast Guard's professional training and education programs, and operation and maintenance of the six Coast Guard Training Centers and the Coast Guard Academy. Provides funding for tuition, travel and per diem for formal training and education performed as Temporary Assigned Duty (TAD) for military and civilian personnel. "Formal training and education" is defined as structured, curriculum-based instruction and applied exercises for the attainment and retention of skills and knowledge required to accomplish specific job tasks. Requested funding will ensure a level of capabilities and competencies commensurate with the response posture the Coast Guard has displayed in recent years, such as operational response to Hurricane Katrina, Operation Iraqi Freedom, 9/11 terrorist attacks and other events requiring a rapid response capability.

Summary Justification and Explanation of Changes

Salaries and Benefits

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 86	\$ 127	\$ 127	\$ -

The FY 2010 request has no change.

Travel

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 39,510	\$ 37,031	\$ 36,794	\$ (237)

Travel funds cover the travel costs of Coast Guard employees, while in an authorized travel status, either directly or by reimbursing the traveler. Increases in travel in FY 2010 are derived from additional training requirements resulting from additional personnel for HC-144A operations, marine inspectors and financial management.

Transportation of things

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 815	\$ 970	\$ 970	\$ -

The FY 2010 request has no change.

Other rent

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 5,358	\$ 5,496	\$ 5,496	\$ -

The FY 2010 request has no change.

Communication, utilities, and misc charges

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 9,229	\$ 10,401	\$ 10,401	\$ -

The FY 2010 request has no change.

Printing and reproduction

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 339	\$ 448	\$ 448	\$ -

The FY 2010 request has no change.

Advisory and assistance services

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 26	\$ 2,373	\$ 2,555	\$ 182

Advisory and assistance services include services acquired by contract from non-federal sources (e.g. private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. Specifically, funding supports contracted training and services to repair/maintain Coast Guard operational assets and facilities. The FY 2010 increase is primarily the result of additional personnel for HC-144A operations, marine inspectors and financial management.

Other services

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 60,187	\$ 86,038	\$ 88,138	\$ 2,100

Other services include report contractual services with non-federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs in support of the President's Management Agenda and Program Assessment Rating Tool and other initiatives focused on improving performance of Coast Guard missions. The FY 2010 increase is due to technical adjustments, HC-144A operations, marine inspectors, and financial management personnel.

Purchases of goods & svcs. from gov't accounts

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 9,029	\$ 10,477	\$ 15,848	\$ 5,371

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from other government agencies including interagency service requirements. The FY 2010 increase is primarily the result of additional personnel for HC-144A operations, marine inspectors and financial management.

Operation & maintenance of facilities

	2008		2009		2010		2009 to 2010
	Actual		Enacted		Request		Change
\$	3,522	\$	4,782	\$	4,845	\$	63

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. Specifically, funds support contracted janitorial, landscaping, security, and environmental services (e.g. hazardous materials disposal) associated with the operation of Coast Guard facilities. The FY 2010 decrease is the result management efficiencies and a portions of the FY09 pay raise.

Research and development

	2008		2009		2010		2009 to 2010
	Actual		Enacted		Request		Change
\$	502	\$	-	\$	-	\$	-

The FY 2010 request has no change.

Medical care

	2008		2009		2010		2009 to 2010
	Actual		Enacted		Request		Change
\$	36,795	\$	19	\$	19	\$	-

The FY 2010 request has no change.

Operation and maintenance of equipment

	2008		2009		2010		2009 to 2010
	Actual		Enacted		Request		Change
\$	135	\$	2,939	\$	3,888	\$	949

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. Specifically, funding supports contracted specialized maintenance and minor repair of Coast Guard operational assets (e.g. cutters, boats, and aircraft) and supporting systems. The FY 2010 request reflects funding increases to support the operation of the Coast Guard Academy IT network.

Subsistence and support of persons

	2008		2009		2010		2009 to 2010
	Actual		Enacted		Request		Change
\$	1,774	\$	924	\$	924	\$	-

The FY 2010 request has no change.

Supplies and materials

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change
	\$ 22,099	\$	24,410	\$	25,170	\$	760

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters, boats, aircraft, supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. The FY 2010 increase supports additional marine inspectors, HC-144A operations, and the annualization of FY 2009 funding.

Equipment

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change
	\$ 1,448	\$	11,521	\$	10,310	\$	(1,211)

This object class covers the purchase of capitalized and non-capitalized assets. For example, this object class enables the Coast Guard to purchase furniture for the cadets at the Coast Guard Academy and survival suits for the rescue swimmers deployed to the frigid waters of Alaska. The FY 2010 request includes training requirements related to the operation of HC-144A aircraft and surface Deepwater assets, and funds technical adjustments.

Land and structures

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change
	\$ 4	\$	37	\$	37	\$	-

The FY 2010 request has no change.

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses
PPA IV: Operation and Maintenance
Funding Schedule
(Dollars in Thousands)**

PPA IV: Operation and Maintenance		2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Object Classes					
11.1	Full-time permanent	702	12	12	-
11.3	Other than full-time permanent	6	3	3	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	7,575	2,997	2,997	-
11.8	Special service pay	358	289	289	-
12.1	Civilian personnel benefits	567	445	445	-
12.2	Military personnel benefits	2,450	1,323	1,323	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	165,665	96,470	98,020	1,550
22.0	Transportation of things	29,740	16,589	16,568	(21)
23.1	GSA rent	39	4,137	4,179	42
23.2	Other rent	14,070	5,239	5,549	310
23.3	Communication, utilities, and misc charges	101,578	210,642	145,467	(65,175)
24.0	Printing and reproduction	5,648	4,165	4,167	2
25.1	Advisory and assistance services	60,381	70,706	84,901	14,195
25.2	Other services	281,606	211,953	216,434	4,481
25.3	Purchases of goods & svcs. from gov't accounts	62,990	29,224	28,467	(757)
25.4	Operation & maintenance of facilities	47,529	37,574	34,231	(3,343)
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	45,200	93,682	110,387	16,705
25.8	Subsistence and support of persons	-	1,305	157	(1,148)
26.0	Supplies and materials	382,845	329,240	331,359	2,119
31.0	Equipment	35,405	65,099	61,571	(3,528)
32.0	Land and structures	463	2,346	1,110	(1,236)
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	1,368	1,877	1,877	-
Total, Operation and Maintenance		\$ 1,246,185	\$ 1,185,317	\$ 1,149,513	\$ (35,804)
Full Time Equivalents		-	-	-	-

PPA Mission Statement

Requests funding to units, facilities and activities that are under the direct operational and administrative control of the Coast Guard's Atlantic Area and Pacific Area Commanders. These include Maintenance and Logistics Commands (MLCs), Integrated Support Commands (ISCs), High Endurance Cutters (WHECs), Medium Endurance Cutters (WMECs), Polar Icebreakers, Communications Stations, Sector Commands, Stations, Marine Safety and Security Teams (MSSTs) and Area offices as applicable. Request includes funding to sustain normal operating costs that include energy, parts and supplies for routine maintenance of operational assets and shore facilities and administrative supplies.

Summary Justification and Explanation of Changes

Salaries and Benefits

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change
	\$ 11,658	\$	5,069	\$	5,069	\$	-

The FY 2010 request has no change.

Travel

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change
	\$ 165,665	\$	96,470	\$	98,020	\$	1,550

Travel funds cover the travel costs of Coast Guard employees, while in an authorized travel status, either directly or by reimbursing the traveler. Travel increases in FY 2010 support Seahawk IOC sustainment and the decommissioning of HU-25 aircraft.

Transportation of things

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change
	\$ 29,740	\$	16,589	\$	16,568	\$	(21)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. Funding primarily supports the shipment of military member's household goods in conjunction with Permanent Change of Station (PCS) moves. The FY 2010 request reflects an decrease in funding due to the termination of one-time FY 2009 costs.

GSA rent

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change
	\$ 39	\$	4,137	\$	4,179	\$	42

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request decreases due to the termination of one-time FY 2009 costs.

Other rent

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change
\$	14,070	\$	5,239	\$	5,549	\$	310

Other rent includes all payments to a non-federal source for rental space, land and structures. Funding supports lease renewals for facilities (e.g. office space, waterfront/mooring facilities, equipment storage and maintenance facilities, etc.). The decrease in FY 2010 is due to the termination of one-time FY 2009 costs.

Communication, utilities, and misc charges

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change
\$	101,578	\$	210,642	\$	145,467	\$	(65,175)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Specifically, funding includes data connectivity costs for Coast Guard shore facilities, cutters, and aircraft, utility costs including shore facility utilities and cutter, boat and aircraft fuel requirements, and postal costs. The decrease is primarily the result of the termination of the Loran-C system.

Printing and reproduction

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change
\$	5,648	\$	4,165	\$	4,167	\$	2

The FY 2010 request shows a minor increase for this object class.

Advisory and assistance services

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change
\$	60,381	\$	70,706	\$	84,901	\$	14,195

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. Specifically, funding supports contracted training and services to repair/maintain Coast Guard operational assets and facilities. The FY 2010 increase is due to the financial management oversight increase.

Other services

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change
\$	281,606	\$	211,953	\$	216,434	\$	4,481

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs in support of the President's Management Agenda and Program Assessment Rating Tool and other initiatives focused on improving performance of Coast Guard missions. The FY 2010 request reflects an increase due to marine safety, NAIS, HC-144A operations, and Seahawk IOC sustainment.

Purchases of goods & svcs. from gov't accounts

	2008		2009		2010		2009 to 2010
	Actual		Enacted		Request		Change
\$	62,990	\$	29,224	\$	28,467	\$	(757)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from other government agencies including interagency service requirements. The decrease in FY 2010 is due to the termination of one-time FY 2009 costs.

Operation & maintenance of facilities

	2008		2009		2010		2009 to 2010
	Actual		Enacted		Request		Change
\$	47,529	\$	37,574	\$	34,231	\$	(3,343)

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. Specifically, funds support contracted janitorial, landscaping, security, and environmental services (e.g. hazardous materials disposal) associated with the operation of Coast Guard facilities. The FY 2010 decrease is due the termination of the Loran-C system.

Operation and maintenance of equipment

	2008		2009		2010		2009 to 2010
	Actual		Enacted		Request		Change
\$	45,200	\$	93,682	\$	110,387	\$	16,705

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. Specifically, funding supports contracted specialized maintenance and minor repair of Coast Guard operational assets (e.g. cutters, boats, and aircraft) and supporting systems. The FY 2010 increase is due to follow-on costs for Rescue 21 and annualization of FY 2009 funding.

Subsistence and support of persons

	2008		2009		2010		2009 to 2010
	Actual		Enacted		Request		Change
\$	-	\$	1,305	\$	157	\$	(1,148)

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. Specifically, funding supports berthing and subsistence of Coast Guard personnel in support of temporary assigned duty (TAD). The FY 2010 decrease is due to termination of FY 2009 one-time costs.

Supplies and materials

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 382,845	\$ 329,240	\$ 331,359	\$ 2,119

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters, boats, aircraft, and supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. The FY 2010 increase supports follow-on funding for Shore Infrastructure and HC-144A aircraft.

Equipment

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 35,405	\$ 65,099	\$ 61,571	\$ (3,528)

This object class covers the purchase of capitalized and non-capitalized assets. The decrease is the result of the termination of the Loran-C system.

Land and structures

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 463	\$ 2,346	\$ 1,110	\$ (1,236)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2010 decrease is the result of Rescue 21 decreases.

Insurance claims and indemnity

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 1,368	\$ 1,877	\$ 1,877	\$ -

The FY 2010 request has no change.

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses
PPA V: Central Accounts
Funding Schedule
(Dollars in Thousands)**

PPA V: Central Accounts		2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	601	426	426	-
22.0	Transportation of things	433	797	797	-
23.1	GSA rent	70,291	93,523	102,475	8,952
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	68,585	58,205	112,425	54,220
24.0	Printing and reproduction	-	30	30	-
25.1	Advisory and assistance services	1,070	2,221	571	(1,650)
25.2	Other services	73,523	43,837	68,141	24,304
25.3	Purchases of goods & svcs. from gov't accounts	256	2,723	3,043	320
25.4	Operation & maintenance of facilities	148	8	8	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	4,194	5,040	7,362	2,322
25.8	Subsistence and support of persons	-	1,216	1,216	-
26.0	Supplies and materials	9,188	26,755	26,695	(60)
31.0	Equipment	21,989	28,919	29,880	961
32.0	Land and structures	3	2	2	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total, Central Accounts		\$ 250,281	\$ 263,702	\$ 353,071	\$ 89,369
Full Time Equivalents		-	-	-	-

PPA Mission Statement

This request provides funding for accounts centrally managed at Coast Guard Headquarters such as: Federal Telephone System (FTS) accounts, Standard Workstation recapitalization, ammunition replenishment, recapitalization of buoys, GSA Rent, postal expenses and Mass Transit benefits. Request ensures critical support elements are provided to the workforce, allowing them to execute their roles in supporting Coast Guard operations. Lease of adequate office space, effective communications (computers, phones, etc) and operational gear (ammunition) are all part of those critical support requirements.

Summary Justification and Explanation of Changes

Travel

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 601	\$ 426	\$ 426	\$ -

The FY 2010 request has no change.

Transportation of things

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 433	\$ 797	\$ 797	\$ -

The FY 2010 request has no change.

GSA rent

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 70,291	\$ 93,523	\$ 102,475	\$ 8,952

GSA Rent includes all payments to the General Services Administration (GSA) for rental of space and rent related services. The majority of FY 2010 increases are a result of changes in GSA rental costs and additional space requirements.

Communication, utilities, and misc charges

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 68,585	\$ 58,205	\$ 112,425	\$ 54,220

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Specifically, funding includes data connectivity costs for Coast Guard shore facilities, cutters, and aircraft, utility costs including shore facility utilities and cutter, boat and aircraft fuel requirements, and postal costs. Increases in FY 2010 are due to Government Services increases for communications and postal services as well as technical budget adjustments.

Printing and reproduction

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change
\$	-	\$	30	\$	30	\$	-

The FY 2010 request has no change.

Advisory and assistance services

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change
\$	1,070	\$	2,221	\$	571	\$	(1,650)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. Specifically, funding supports contracted training and services to repair/maintain Coast Guard operational assets and facilities. The FY 2010 request is reduced due to the termination of an FY 2009 earmark.

Other services

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change
\$	73,523	\$	43,837	\$	68,141	\$	24,304

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs in support of the President's Management Agenda and Program Assessment Rating Tool and other initiatives focused on improving performance of Coast Guard missions. The FY 2010 increase includes the DHS data center migration.

Purchases of goods & svcs. from gov't accounts

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change
\$	256	\$	2,723	\$	3,043	\$	320

Purchases from Government Accounts include costs for purchases from other Federal government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from other government agencies including interagency service requirements (e.g. MIPR). The FY 2010 request provides funding for the Coast Guard to reimburse the National Telecommunications and Information Administration (NTIA), Office of Spectrum Management, for increased operating expenses for the management of approximately 17,000 radio frequency assignments.

Operation & maintenance of facilities

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change
\$	148	\$	8	\$	8	\$	-

The FY 2010 request has no change.

Operation and maintenance of equipment

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change	
	\$	4,194	\$	5,040	\$	7,362	\$	2,322

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. Specifically, funding supports contracted specialized maintenance and minor repair of Coast Guard operational assets (e.g. cutters, boats, and aircraft) and supporting systems. The FY 2010 request includes the annualization of FY 2009 funding and equipment costs associated with Long Range Identification and Tracking and child care.

Subsistence and support of persons

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change	
	\$	-	\$	1,216	\$	1,216	\$	-

The FY 2010 request has no change.

Supplies and materials

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change	
	\$	9,188	\$	26,755	\$	26,695	\$	(60)

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters, boats, aircraft, and supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. The FY 2010 decreases due to the termination of one-time FY 2009 costs.

Equipment

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change	
	\$	21,989	\$	28,919	\$	29,880	\$	961

This object class covers the purchase of capitalized and non-capitalized assets. For example, this object class enables the Coast Guard to purchase furniture for cadets at the Coast Guard Academy and survival suits for rescue swimmers deployed to the frigid waters of Alaska. The FY 2010 request decreases due to the termination of one-time FY 2009 costs.

Land and structures

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change	
	\$	3	\$	2	\$	2	\$	-

The FY 2010 request has no change.

H. PPA Budget Justifications

Department of Homeland Security
U. S. Coast Guard
Operating Expenses
PPA VI: Depot Level Maintenance
Funding Schedule
(Dollars in Thousands)

PPA VI: Depot Level Maintenance		2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	17,632	7,402	7,413	11
22.0	Transportation of things	3,682	3,056	3,058	2
23.1	GSA rent	-	-	-	-
23.2	Other rent	296	4,573	5,555	982
23.3	Communication, utilities, and misc charges	4,807	17,233	37,922	20,689
24.0	Printing and reproduction	76	108	108	-
25.1	Advisory and assistance services	58,471	31,209	31,609	400
25.2	Other services	78,587	47,526	49,073	1,547
25.3	Purchases of goods & svcs. from gov't accounts	4,061	-	-	-
25.4	Operation & maintenance of facilities	126,684	219,960	204,349	(15,611)
25.5	Research and development	-	2,550	2,550	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	347,100	369,240	410,136	40,896
25.8	Subsistence and support of persons	109	4	4	-
26.0	Supplies and materials	83,494	22,348	25,059	2,711
31.0	Equipment	60,735	97,943	109,270	11,327
32.0	Land and structures	30,387	2,895	17,073	14,178
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total, Depot Level Maintenance		\$ 816,121	\$ 826,047	\$ 903,179	\$ 77,132
Full Time Equivalents		-	-	-	-

PPA Mission Statement

Request provides service-wide funding to support the major maintenance and repair of Coast Guard aircraft not appropriated in the Coast Guard Acquisition, Construction & Improvements (AC&I) appropriation. This includes materials, services and supplies necessary for depot-level repair of buildings, structures, ground, towers, runways, aids to navigation, aircraft and aircraft equipment.

Summary Justification and Explanation of Changes

Travel

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 17,632	\$ 7,402	\$ 7,413	\$ 11

Travel funds cover the travel costs of Coast Guard employees, while in an authorized travel status, either directly or by reimbursing the traveler. The FY 2010 increase is due to costs associated with NAIS follow-on.

Transportation of things

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 3,682	\$ 3,056	\$ 3,058	\$ 2

The FY 2010 request shows a minor increase for this object class.

Other rent

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 296	\$ 4,573	\$ 5,555	\$ 982

The FY 2010 increase includes rental costs associated with NAIS follow-on.

Communication, utilities, and misc charges

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 4,807	\$ 17,233	\$ 37,922	\$ 20,689

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Specifically, funding includes data connectivity costs for Coast Guard shore facilities, cutters and aircraft, utility costs, postal costs and cutter, boat and aircraft fuel requirements. The FY 2010 increase is due to Sector Air Station Corpus Christi follow-on and a technical budget adjustment.

Printing and reproduction

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$ 76	\$ 108	\$ 108	\$ -

The FY 2010 request has no change.

Advisory and assistance services

	2008		2009		2010		2009 to 2010
	Actual		Enacted		Request		Change
\$	58,471	\$	31,209	\$	31,609	\$	400

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. Specifically, funding supports contracted training and services to repair/maintain Coast Guard operational assets and facilities. FY 2010 increase is due to shore infrastructure follow-on.

Other services

	2008		2009		2010		2009 to 2010
	Actual		Enacted		Request		Change
\$	78,587	\$	47,526	\$	49,073	\$	1,547

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs in support of the President's Management Agenda and Program Assessment Rating Tool and other initiatives focused on improving performance of Coast Guard missions. The FY 2010 increase is due to the annualization of part-year FY 2009 funding.

Purchases of goods & svcs. from gov't accounts

	2008		2009		2010		2009 to 2010
	Actual		Enacted		Request		Change
\$	4,061	\$	-	\$	-	\$	-

The FY 2010 request has no change.

Operation & maintenance of facilities

	2008		2009		2010		2009 to 2010
	Actual		Enacted		Request		Change
\$	126,684	\$	219,960	\$	204,349	\$	(15,611)

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. Specifically, funds support contracted janitorial, landscaping, security, and environmental services (e.g. hazardous materials disposal) associated with the operation of Coast Guard facilities. The FY 2009 decrease is due to the termination of the Loran-C system.

Research and development

	2008		2009		2010		2009 to 2010
	Actual		Enacted		Request		Change
\$	-	\$	2,550	\$	2,550	\$	-

The FY 2010 request has no change.

Operation and maintenance of equipment

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change
	\$ 347,100	\$	369,240	\$	410,136	\$	40,896

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. Specifically, funding supports contracted specialized maintenance and minor repair of Coast Guard operational assets (e.g. cutters, boats and aircraft) and supporting systems. The FY 2010 increase supports funding to restore critical aviation parts shortages.

Subsistence and support of persons

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change
	\$ 109	\$	4	\$	4	\$	-

The FY 2010 request has no change.

Supplies and materials

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change
	\$ 83,494	\$	22,348	\$	25,059	\$	2,711

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters, boats and aircraft, supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. The FY 2010 increase is due to shore infrastructure and HC-144A aircraft follow-on.

Equipment

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change
	\$ 60,735	\$	97,943	\$	109,270	\$	11,327

This object class covers the purchase of capitalized and non-capitalized assets. For example, this object class enables the Coast Guard to purchase furniture for the cadets at the Coast Guard Academy and survival suits for the rescue swimmers deployed to the frigid waters of Alaska. The FY 2010 request includes the procurement of equipment for HC-144A aircraft and equipment to support armed helicopter requirements.

Land and structures

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change
	\$ 30,387	\$	2,895	\$	17,073	\$	14,178

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2010 increase is due to the costs associated with divesting property and terminating the Loran-C system.

I. Changes in Full-Time Equivalents

Department of Homeland Security U. S. Coast Guard Operating Expenses

Changes in Full-Time Equivalents

Operations and Support -- includes both military and civilian FTE *

	FY 2008	FY 2009 **	FY 2010
BASE: Start of Year (SOY) FTE levels	46,484	47,236	47,884
Adjustments-to-Base : Increases			
Increase #1: Annualization of part year funding Description: Annualization of prior year FTE	330	406	621
Increase #2: Response Boat Medium follow-on Description: Maintenance personnel to support RB-M	3	2	3
Increase #3: Rescue 21 follow-on Description: Operation of Rescue 21	2	49	11
Increase #4: SPC-LE Boat follow-on Description: Operation of new small boat assets	31	-	-
Increase #5: Counterintelligence Service follow-on Description: Counterintelligence program	11	-	-
Increase #6: Surface and Air Asset follow-on Description: Crewing/Staffing/Support of Deepwater assets	169	93	183
Increase #7: Inland River Emergency Subsystem Sustainment Description: Maintain legacy inland river fleet	-	2	-
Increase #8: Air Station Cape Cod Operations Follow-on Description: Transfer in to CG from DOJ	-	13	-
Increase #9: Coastal Patrol Boat Follow-on Description: Crewing, Operations & Maint, and shore-side support	-	60	-
Increase #10: Nationwide Automatic Identification System (NAIS) follow-on Description: AIS follow-on	-	5	1
Increase #11: Sector Corpus Christi Facility follow-on Description: Sector Air Station Corpus follow-on	-	-	13
Subtotal, Increases:	546	630	832

Adjustments-to-Base : Decreases

Decrease #1: Annualization of Management and Technology Efficiencies Description: Annualization of management savings and management efficiencies	(22)	(33)	(22)
Decrease #2: HITRON Lease Expiration Description: HITRON Lease Expiration	(58)	-	-
Decrease #3: Decommission USCGC BLACKBERRY Description: Decommission USCGC BLACKBERRY	-	(7)	-
Decrease #4: Decommission HU-25 Aircraft Description: Decommission HU-25 Aircraft	-	(20)	(39)

	FY 2008	FY 2009 **	FY 2010
Decrease #5: Decommission HC-130H Aircraft Description: Decommission HC-130H Aircraft	-	(86)	(14)
Decrease #6: Decommission Two PC-179 Patrol Boats Description: Decommission Two PC-179 Patrol Boats	-	(77)	-
Increase #7: LORAN-C Termination Description: LORAN-C Termination	-	-	(181)
Subtotal, Decreases:	(80)	(223)	(256)

Program Changes

Change #1: LNG and Dangerous Cargo Suitability Assessments Description: Suitability assessments	3	-	-
Change #2: Spot Check of MTSA Regulated Facilities Description: Spot Check of MTSA Regulated Facilities	17	-	-
Change #3: Port Presence and Coastal Security Description: Port Presence and Coastal Security	120	-	-
Change #4: Port Security Exercise and Training Programs Description: Port Security Exercise and Training Programs	12	-	-
Change #5: Salvage Response Plans Description: Salvage Response Plans	15	-	-
Change #6: Additional Watchstander and Intelligence Officers Description: Watchstanders and Intelligence Officers	77	-	-
Change #7: Rulemaking and Regulations Description: Rulemaking development	16	-	-
Change #8: Increase CPB 87' Op Hours Description: CPB Op Hours	26	-	-
Change #9: Situation Unit Watch Standers / Command Duty Officers Description: Watchstanders for Command Centers	-	51	-
Change #10: Marine Inspectors Description: Marine Inspectors	-	139	-
Change #11: MAGNet 2.0 - GMII Fusion Description: Improve ability to collect, correlate and fuse data	-	9	-
Change #12: Counter-intelligence Service Description: Counter -intelligence Service initiative	-	15	-
Change #13: Cryptologic Service Group Description: Enhance cryptology capability	-	23	-
Change #14: Port and Maritime Safety and Security Description: Port inspections, Situational Unit Watchstanders, Boats	-	142	-
Change #15: Increase D7 110' OP Hours Description: Increase to D7 110' OP Hours	-	22	-
Change #16: Aviation Mission Hour Gap Description: MPA Stop Gap measures	-	8	-

	FY 2008	FY 2009 **	FY 2010
Change #17: Financial Management Oversight Description: Financial Management Oversight	-	-	44
Change #18: Marine Safety Program Description: Enhancing Marine Safety	-	-	37
Change #19: Armed Helicopters Enhancement Description: Armed Helicopters Enhancement	-	-	6
Change #20: Biometrics at Sea Description: Biometrics at Sea	-	-	2
Change #21: Seahawk Charleston Interagency Operations Center Sustainment Description: Seahawk Charleston IOC Sustainment	-	-	1
Subtotal, Program Changes:	286	409	90
Year-end Enacted / Estimated FTEs	47,236	47,884	48,550
Net Change from prior year base to budget year estimate:		648	666

* The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

** 168 FTE/FTP Public Health Service (PHS) officers were removed from the FY 2009 enacted presentation to properly document the arrangement per OMB A-11 Section 85.7; Department of Health and Human Services (HHS) is the servicing account in the reimburseable FTE arrangement with the Coast Guard.

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity

**Department of Homeland Security
U. S. Coast Guard
Operating Expenses**

FY 2010 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008	FY 2009	FY 2010	Increase / Decrease for FY 2010
	Actual	Anticipated	Anticipated	
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Consolidated Subscriptions (Library of Congress)	\$ 514	\$ 527	\$ 548	\$ 21
Financial Statement Audit	\$ 2,652	\$ 3,561	\$ 2,970	\$ (591)
Internal Control Audit	\$ 243	\$ 760	\$ 1,035	\$ 275
TIER	\$ 41	\$ 51	\$ 52	\$ 1
Bankcard Program	\$ -	\$ -	\$ 267	\$ 267
NFC Payroll Services & Reporting	\$ 1,438	\$ 1,609	\$ 1,742	\$ 132
(HCBS) Payroll Service Ops	\$ 322	\$ 395	\$ 336	\$ (59)
Flexible Spending Plan	\$ 97	\$ 72	\$ 92	\$ 19
DHS EXEC. LEAD. (SES CDP, Sec Conf)	\$ 18	\$ 20	\$ 25	\$ 5
CIO/DHS Infrastructure Transf Pgm	\$ 6,880	\$ 7,606	\$ 5,554	\$ (2,052)
Software Enterprise Licenses - Microsoft	\$ 5,785	\$ 5,900	\$ 9,467	\$ 3,567
Data Center Consolidation	\$ -	\$ -	\$ 22,400	\$ 22,400
Interagency Council Funding	\$ 29	\$ 169	\$ 144	\$ (25)
Recruitment One-Stop	\$ 47	\$ 50	\$ 51	\$ 1
e-Training	\$ 205	\$ 590	\$ 593	\$ 3
Enterprise HR Integration (EHRI)	\$ 117	\$ 167	\$ 162	\$ (5)
Business Gateway	\$ 105	\$ 25	\$ 27	\$ 1
e-Rulemaking	\$ 177	\$ 174	\$ 184	\$ 10
e-Travel	\$ -	\$ 24	\$ 25	\$ 0
Case Management Line of Business	\$ -	\$ 14	\$ 14	\$ 0
e-Grants.gov	\$ 7	\$ 7	\$ 7	\$ 0
e-Authentication	\$ 3	\$ 3	\$ 3	\$ (0)
Human Resources Line of Business	\$ 11	\$ 12	\$ 11	\$ (0)
e-govBenefits	\$ 6	\$ 17	\$ 17	\$ (0)
Financial Management Line of Business	\$ 34	\$ 33	\$ 69	\$ 36
Geospatial Line of Business	\$ -	\$ 15	\$ 16	\$ 1
IT Infrastructure Line of Business	\$ -	\$ 37	\$ 77	\$ 40
IAE Loans and Grants	\$ 63	\$ -	\$ 8	\$ 8
Budget Formulation and Execution Line of Business	\$ -	\$ 22	\$ 23	\$ 1
e-gov.Integrated Acquisition Environment	\$ 492	\$ 612	\$ 516	\$ (95)
e-gov. Disaster Management (DisasterHelp.gov)	\$ 1,798	\$ 1,798	\$ 1,833	\$ 36
Capital Planning and Investment Control (CPIC)	\$ 651	\$ 576	\$ 1,199	\$ 622
Ready Campaign (Ready.gov)	\$ 149	\$ 146	\$ 155	\$ 9
Strategic Sourcing	\$ 108	\$ 109	\$ 276	\$ 166
CPO Shared Reporting	\$ 250	\$ 199	\$ 1,038	\$ 839
Working Capital Fund Operations	\$ 49	\$ 61	\$ 61	\$ -
Total Working Capital Fund	\$ 22,289	\$ 25,359	\$ 50,996	\$ 25,636

Department of Homeland Security

United States Coast Guard

Environmental Compliance and Restoration



Fiscal Year 2010

Congressional Justification

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U. S. Coast Guard
Environmental Compliance and Restoration

I. Appropriation Overview

A. Mission Statement for Environmental Compliance and Restoration:

The Coast Guard requests \$13.198 million and 24 FTE in FY 2010, an increase of \$198.000 thousand over the FY 2009 enacted. Environmental Compliance and Restoration (EC&R) provides for environmental cleanup and restoration of current and formerly contaminated Coast Guard facilities . It is also engineering remedies on Coast Guard assets for the purpose of complying with environmental laws to prevent contamination and environmental damage. The EC&R funding request supports all of the Coast Guard's 11 statutorily mandated mission-programs. These mission-programs, in turn, directly support the Coast Guard's role as the principal Federal agency charged with ensuring maritime safety, security and stewardship.

EC&R funding ensures the Coast Guard maintains a leadership role in environmental stewardship with partners. Failure to meet restoration or compliance responsibilities could subject the Coast Guard to fines, penalties, or shutdown of operational assets by environmental regulators. Moreover, Coast Guard EC&R funding supports site investigation and remediation activities at older shore facilities slated for property divestiture or transfer. This predominantly involves divestiture of lighthouses under authority of the National Historic Lighthouse Preservation Act.

B. Budget Activities:

Environmental Compliance and Restoration activities support conventional missions including Marine Environmental Protection (MEP).

C. Budget Request Summary:

The Coast Guard requests 25 positions, 24 FTE, and \$13.198 million in FY 2010 to provide for environmental remediation and restoration of Coast Guard facilities, including Kodiak, AK; Elizabeth City, NC; and Baltimore, MD.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
U. S. Coast Guard
Environmental Compliance and Restoration
Summary of FY 2010 Budget Estimates by Program/Project Activity
 (Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010						
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-base		
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	
I. Environmental Compliance and Restoration	23	\$ 12,420	24	\$ 13,000	24	\$ 13,198	-	\$ 198	-	\$ -	-	\$ -	198
Subtotal, Enacted Appropriations and Budget Estimates	23	\$ 12,420	24	\$ 13,000	24	\$ 13,198	-	\$ 198	-	\$ -	-	\$ -	198
Less Adjustments for Other Funding Sources:													
Net, Enacted Appropriations & Budget Estimates	23	\$ 12,420	24	\$ 13,000	24	\$ 13,198	-	\$ 198	-	\$ -	-	\$ -	198

III. Current Services Program Description by PPA

**Department of Homeland Security
U. S. Coast Guard
Environmental Compliance and Restoration
Program Performance Justification
(Dollars in Thousands)**

PPA I: ENVIRONMENTAL COMPLIANCE AND RESTORATION

	Perm Pos	FTE	Amount
2008 Actual	25	23	12,420
2009 Enacted	25	24	13,000
2010 Adjustments-to-Base	198
2010 Current Services	25	24	13,198
2010 Program Change
2010 Request	25	24	13,198
Total Change 2009-2010	198

The Coast Guard requests \$13.198 million for this activity. This is an increase of \$198.000 thousand over the FY 2009 enacted.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Coast Guard Authorization Act of 1989 (P.L. 101-225) created the Coast Guard Environmental Compliance and Restoration (EC&R) Program and Appropriation. The purpose of the EC&R Appropriation is to carry out a program of environmental compliance and restoration at all current and former Coast Guard facilities. It involves completing projects, which include the identification, investigation, and cleanup of contamination from hazardous substances and pollutants, and hard engineering fixes (i.e., physical changes) to Coast Guard buildings and structures, for the purpose of complying with environmental laws to prevent contamination or preclude an environmental liability from developing.

FY 2008 accomplishments included:

- Continued environmental cleanup and restoration of current and formerly contaminated Coast Guard facilities, as well as engineering fixes on Coast Guard assets for the purpose of complying with environmental laws to prevent contamination or preclude environmental damage from developing.
- Commenced 78 projects including site investigation and remediation activities at older shore facilities slated for property divestiture or transfer actions; primarily

divestiture of lighthouses in support of the National Historic Lighthouse Preservation Act.

FY 2009 planned accomplishments include:

- Fund Environmental Compliance and Restoration costs incurred as a result of decommissioning (1) 65' WLI (BLACKBERRY). Costs are calculated for disposal through transfer to Department of Transportation's Maritime Administration reefing (i.e., sinking at sea), or ship-breaking (i.e., scrapping) which require the vessels to be thoroughly cleaned of all materials that could be released into the natural environment.

FY 2010 planned accomplishments include:

- Continue environmental cleanup and restoration of current and formerly contaminated Coast Guard facilities, as well as engineering fixes on Coast Guard assets for the purpose of complying with environmental laws to prevent contamination or preclude environmental damage from developing. Funding these projects will significantly reduce Coast Guard's ninety-nine project backlog for the EC&R program.
- Perform comprehensive environmental investigations and clean-up actions to include former Long Range Navigation Stations (LORAN Stations) and remediation of a leaking underground fuel storage tank at Air Station Borinquen, Puerto Rico.
- Fund Environmental Compliance and Restoration costs incurred as a result of the ongoing decommissioning process for eight (8) 123-foot WPB class cutters. Decommissioning costs are calculated for disposal through transfer to MARAD, reefing (i.e., sinking at sea), or ship-breaking (i.e., scrapping) which require the vessels to be thoroughly cleaned of all hazardous materials that could be released into the natural environment.

IV. Program Justification of Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
U. S. Coast Guard
Justification of Proposed Changes in Environmental Compliance and Restoration
Appropriation Language**

For necessary expenses to carry out the environmental compliance and restoration functions of the Coast Guard under chapter 19 of title 14, United States Code, [\$13,000,000] **\$13,198,000**, to remain available until expended. (*Department of Homeland Security Appropriations Act, 2009*).

Explanation of Changes:

No substantive changes proposed.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
U. S. Coast Guard
Environmental Compliance and Restoration
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actual	25	23	12,420
2009 Enacted	25	24	13,000
Adjustments-to-Base			
Increases			
Annualization of FY 2009 Pay Raise	-	-	29
FY 2010 Pay Raise	-	-	169
Non-Pay Inflation	-	-	-
Total Increases	-	-	198
Total Adjustments-to-Base	-	-	198
2010 Current Services	25	24	13,198
Program Changes			
Total Program Changes	-	-	-
2010 Request	25	24	13,198
2009 to 2010 Total Change	-	-	198

C. Summary of Requirements

Department of Homeland Security
U. S. Coast Guard
Environmental Compliance and Restoration
Summary of Requirements
(Dollars in Thousands)

	2010 Request		
	Pos.	FTE	Amount
2008 Actual	25	23	12,420
2009 Enacted	25	24	13,000
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	-	-	-
Increases	-	-	198
Decreases	-	-	-
Total Adjustments-to-Base	-	-	198
2010 Current Services	25	24	13,198
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	-	-	-
2010 Total Request	25	24	13,198
2009 to 2010 Total Change	-	-	198

Estimates by Program/Project Activity	2009 Enacted		2010 Adjustments-to-Base		2010 Program Change		2010 Request		2009 to 2010 Total Change					
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount		
PPA 1	25	24	13,000	-	-	198	-	-	25	24	13,198	-	-	198
Total Environmental Compliance and Restoration	25	24	13,000	-	-	198	-	-	25	24	13,198	-	-	198

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
U. S. Coast Guard
Environmental Compliance & Restoration
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1 Full-time permanent	2,115	2,161	2,311	150
11.3 Other than full-time permanent	3	4	4	-
11.5 Other personnel compensation	30	36	39	3
11.7 Military personnel	109	112	116	4
11.8 Special service pay	-	-	-	-
12.1 Civilian personnel benefits	561	581	622	41
12.2 Military personnel benefits	7	8	8	-
13.0 Benefits-former	-	-	-	-
Total, Personnel Comp. & Benefits	\$ 2,825	\$ 2,902	\$ 3,100	\$ 198
Other Objects Classes:				
21.0 Travel	89	130	94	(36)
22.0 Transportation of things	-	-	-	-
23.1 GSA rent	-	-	-	-
23.2 Other rent	-	-	-	-
23.3 Communication, utilities, and misc charges	-	-	-	-
24.0 Printing and reproduction	-	-	-	-
25.1 Advisory and assistance services	-	-	-	-
25.2 Other services	9,031	13,191	9,504	(3,687)
25.3 Purchases of goods & svcs. from gov't accounts	58	85	61	(24)
25.4 Operation & maintenance of facilities	299	437	315	(122)
25.5 Research and development	-	-	-	-
25.6 Medical care	-	-	-	-
25.7 Operation and maintenance of equipment	2	3	2	(1)
25.8 Subsistence and support of persons	-	-	-	-
26.0 Supplies and materials	116	169	122	(47)
31.0 Equipment	-	-	-	-
32.0 Land and structures	-	-	-	-
41.0 Grants, subsidies and contributions	-	-	-	-
42.0 Insurance claims and indemnity	-	-	-	-
Total, Other Object Classes	\$ 9,595	\$ 14,015	\$ 10,098	\$ (3,917)
Total Direct Obligations	\$ 12,420	\$ 16,917	\$ 13,198	\$ (3,719)
Unobligated balance, start of year	(3,036)	(3,917)	-	3,917
Unobligated balance, end of year	3,917	-	-	-
Total Requirements	\$ 13,301	\$ 13,000	\$ 13,198	\$ 198

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Environmental Compliance and Restoration - Military
Permanent Positions by Grade**

Grade	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
	Pos.	Pos.	Pos.	Pos.
O-10	-	-	-	-
O-9	-	-	-	-
O-8	-	-	-	-
O-7	-	-	-	-
O-6	-	-	-	-
O-5	-	-	-	-
O-4	1	1	1	-
O-3	-	-	-	-
O-2	-	-	-	-
O-1	-	-	-	-
CWO4	-	-	-	-
Cadet	-	-	-	-
E-10	-	-	-	-
E-9	-	-	-	-
E-8	-	-	-	-
E-7	-	-	-	-
E-6	-	-	-	-
E-5	-	-	-	-
E-4	-	-	-	-
E-3	-	-	-	-
E-2	-	-	-	-
E-1	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
Total Permanent Positions	1	1	1	-
Unfilled Positions EOY	-	-	-	-
Total Perm. Employment EOY	1	1	1	-
FTE*	1	1	1	-
Headquarters	1	1	1	-
U.S. Field	-	-	-	-
Foreign Field	-	-	-	-
Total Permanent Positions	1	1	1	-
Position Data:				
Average Salary, Officer Positions**	\$112,392.00	\$120,435.00	\$125,494.00	5,059
Average Grade, Officer Position	4	4	4	-

*The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

**The military pay and allowances averages include the costs associated with all pay and allowances paid to a particular paygrade, including: Basic Pay, Basic Allowance for Housing, Basic Allowance for Subsistence, Federal Insurance Contributions, Incentive/Special Pays, Clothing Allowances, Cost-of-Living Allowances and Selective Re-enlistment Bonus payments. The term "Officer" includes Chief Warrant Officers, Cadets and Officer Candidates.

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Environmental Compliance and Restoration - Civilian
Permanent Positions by Grade**

Grade	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
	Pos.	Pos.	Pos.	Pos.
Total, SES	-	-	-	-
Total, EX	-	-	-	-
GS-15	1	1	1	-
GS-14	2	2	2	-
GS-13	7	7	7	-
GS-12	14	14	14	-
GS-11	-	-	-	-
GS-10	-	-	-	-
GS-9	-	-	-	-
GS-8	-	-	-	-
GS-7	-	-	-	-
GS-6	-	-	-	-
GS-5	-	-	-	-
GS-4	-	-	-	-
GS-3	-	-	-	-
GS-2	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
Total Permanent Positions	24	24	24	-
Unfilled Positions EOY	2	2	2	-
Total Perm. Employment (Filled Positions) EOY	22	22	22	-
FTE	22	23	23	-
Headquarters	4	4	4	-
U.S. Field	20	20	20	-
Foreign Field	-	-	-	-
Total Permanent Positions	24	24	24	-
Position Data:				
Average Personnel Costs, ES Positions	n/a	n/a	n/a	n/a
Average Personnel Costs, GS Positions	\$113,166.67	\$114,812.50	\$119,245.83	4,433
Average Grade, GS Positions	12.58	12.58	12.58	-

The average personnel costs shown above include basic/locality pay, lump sum payments, awards, overtime, benefits such as retirement, health care and life insurance, and other compensation such as holiday, Sunday, hazardous duty, reemployment annuitant and severance pays, night differential, non foreign Cost-of-Living Allowance, premium compensation for firefighters. Civilian FTP is presented as a count of full time positions, vice full time employees.

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Environmental Compliance & Restoration
PPA I
Funding Schedule
(Dollars in Thousands)**

Environmental Compliance & Restoration		2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Object Classes					
11.1	Full-time permanent	2,115	2,161	2,311	150
11.3	Other than full-time permanent	3	4	4	-
11.5	Other personnel compensation	30	36	39	3
11.7	Military personnel	109	112	116	4
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	561	581	622	41
12.2	Military personnel benefits	7	8	8	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	89	130	94	(36)
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	-	-
25.2	Other services	9,031	13,191	9,504	(3,687)
25.3	Purchases of goods & svcs. from gov't accounts	58	85	61	(24)
25.4	Operation & maintenance of facilities	299	437	315	(122)
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	2	3	2	(1)
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	116	169	122	(47)
31.0	Equipment	-	-	-	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total, Environmental Compliance and Restoration		\$ 12,420	\$ 16,917	\$ 13,198	\$ (3,719)
Full Time Equivalents		23	24	24	-

PPA Mission Statement

Environmental Compliance and Restoration (EC&R) will provide for (1) environmental cleanup and restoration of current and formerly contaminated Coast Guard facilities, and (2) engineering fixes on Coast Guard assets for the purpose of complying with environmental laws to prevent contamination or preclude environmental damage from developing. Failure to meet restoration or compliance responsibilities could subject the Coast Guard to fines, penalties, or shutdown of operational assets by environmental regulators. In addition, Coast Guard EC&R funding supports site investigation and remediation activities at older shore facilities slated for property divestiture or transfer actions; this primarily includes divestiture of lighthouses in support of the National Historic Lighthouse Preservation Act.

Summary Justification and Explanation of Changes

Salaries and Benefits

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	2,825	\$	2,902	\$	3,100	\$	198

Salaries and Benefits include costs for 24 FTE. The FY 2010 request includes an increase to account for inflation and planned internal personnel reprogramming issues.

Travel

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	89	\$	130	\$	94	\$	(36)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2010 decrease is the result of management efficiencies within the program.

Other services

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	9,031	\$	13,191	\$	9,504	\$	(3,687)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Change is due to increase in environmental remediation expenses. The FY 2010 decrease is the result of management efficiencies within the program.

Purchases of goods & svcs. from gov't accounts

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	58	\$	85	\$	61	\$	(24)

Purchases from government accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from other government agencies.

Operation & maintenance of facilities

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	299	\$	437	\$	315	\$	(122)

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. Specifically, funds support contracted janitorial, landscaping, security, and environmental services (e.g. hazardous materials disposal) associated with the operation of Coast Guard facilities.

Operation and maintenance of equipment

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	2	\$	3	\$	2	\$	(1)

Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Supplies and materials

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	116	\$	169	\$	122	\$	(47)

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters and boats, supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

I. Changes in Full-Time Equivalents

Not Applicable

Department of Homeland Security

United States Coast Guard

Reserve Training



Fiscal Year 2010

Congressional Justification

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U. S. Coast Guard
Reserve Training

I. Appropriation Overview

A. Mission Statement for Reserve Training:

The Coast Guard requests \$133.632 million and 536 FTE in FY 2010, an increase of \$3.131 million over FY 2009 enacted. As the principal federal agency charged with maritime safety, security and environmental stewardship, the Coast Guard protects vital economic and security interests of the United States from internal and external risks and threats. Reserve Training is critical to enabling the Coast Guard to fulfill objectives associated with its 11 Coast Guard mission-programs. The Reserve Training appropriation provides trained units and qualified personnel for service in times of war or national emergency. Moreover, the Coast Guard Reserve may be called upon to provide units and personnel to augment active Coast Guard forces during times of crisis domestically or worldwide.

B. Budget Activities:

Reserve forces contribute to all Coast Guard missions, including Search and Rescue (SAR); Marine Safety; Aids to Navigation (AtoN); Ice Operations; Marine Environmental Protection (MEP); Living Marine Resources (LMR); Drug Interdiction; Migrant Interdiction; Other Law Enforcement; Ports, Waterways and Coastal Security (PWCS); and Defense Readiness.

C. Budget Request Summary:

The Coast Guard requests 536 positions, 536 FTE, and \$133.632 million in FY 2010. This request provides necessary resources for the training, operation and administration of the Coast Guard Reserve Program while ensuring Reserve Component response readiness. The total program change and base adjustment is \$3.131 million.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U. S. Coast Guard
Reserve Training
Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)**

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
I. Pay, Benefits and Allowances	552	\$ 96,264	536	\$ 99,020	536	\$ 102,151	-	\$ 3,131	-	\$ -	-	\$ 3,131
II. Operations, Maintenance and Administration	-	\$ 30,030	-	\$ 31,481	-	\$ 31,481	-	\$ -	-	\$ -	-	\$ -
Less Subtotal, Enacted Appropriations and Budget Estimates	552	\$ 126,294	536	\$ 130,501	536	\$ 133,632	-	\$ 3,131	-	\$ -	-	\$ 3,131
Less Adjustments for Other Funding Sources:												
Net, Enacted Appropriations & Budget Estimates	552	\$ 126,294	536	\$ 130,501	536	\$ 133,632	-	\$ 3,131	-	\$ -	-	\$ 3,131

III. Current Services Program Description by PPA

**Department of Homeland Security
U. S. Coast Guard
Reserve Training
Program Performance Justification
(Dollars in Thousands)**

PPA I: PAY, BENEFITS AND ALLOWANCES

	Perm Pos	FTE	Amount
2008 Actual	535	552	96,264
2009 Enacted	536	536	99,020
2010 Adjustments-to-Base	3,131
2010 Current Services	536	536	102,151
2010 Program Change
			102,151
2010 Request	536	536	
Total Change 2009-2010	3,131

The Coast Guard requests \$102.151 million for this activity. This is an increase of \$3.131 million over FY 2009 enacted.

CURRENT SERVICES PROGRAM DESCRIPTION:

This request for Pay, Benefits and Allowances funds costs associated with salaries, benefits and other compensation for both full-time staffs supporting members of the Coast Guard's Selected Reserve, as well as for reservists who participate in training activities. The Coast Guard Reserve is the Coast Guard's surge-capacity military workforce and provides a cost-effective method of augmenting response to major contingencies, such as natural and man-made disasters, maritime homeland security, national security and other events.

The Coast Guard Reserve is a cornerstone of service readiness and pivotal to the success of daily mission execution. The Coast Guard Reserve was an invaluable contributor to the national responses to Hurricanes Katrina and Rita, and continues to support DoD's Overseas Contingency Operations with deployed service to Operation Enduring Freedom and Operation Iraqi Freedom. Our Reservists provide an outstanding return on investment by providing valuable augmentation of the active duty workforce through Inactive Duty Training and Active Duty Training periods.

Our request for funding supports 536 FTE representing both military and civilian members who manage all recruiting, formal training, personnel and resource/program oversight. No additional FTE are requested.

Significant accomplishments in FY 2008 include:

- Played an integral role during supplemental-funded contingency operations for DoD's Overseas Contingency Operations, Operation Iraqi Freedom and Operation Enduring Freedom. These reservists will serve in the United States and overseas.
- Participated as crewmembers at eleven Coast Guard units on the Great Lakes in support of "Operation Summerstock" to augment search and rescue capabilities during the high operational tempo of the summer months.
- Mobilized over 800 reservists, who served on active duty under involuntary and voluntary Active Duty Special Work (ADSW) orders in support of contingency operations. They performed functions such as seaport security, standing watches in command centers, law enforcement operations, anti-terrorism/force protection missions, inspections of commercial vessels, domestic military out-load (MOL) security, and others.
- Served on 18 Disaster Area Response Teams of active duty and reserve members in response to serious flooding in several Midwestern states.
- Deployed more than 4,000 man-days of support under Title 14 authority to respond to Hurricanes Gustav and Ike.
- Activated over 260 reservists under voluntary ADSW in support of non-contingency operations within numerous mission areas throughout the Coast Guard.

FY 2009 projected accomplishments include:

- Continue to serve an integral role during supplemental-funded contingency operations DoD's Overseas Contingency Operations, Operation Iraqi Freedom and Operation Enduring Freedom, with over 680 reservists mobilized on involuntary and voluntary Active Duty Special Work (ADSW) orders in support of contingency operations.
- Continued support to seaport security, standing watches in command centers, law enforcement operations, anti-terrorism/force protection missions, inspections of commercial vessels, and domestic military out-load (MOL) security.
- Continued response to provide search and rescue capability and relief for natural disasters. Reservists continue to serve on active duty in the Midwestern and Gulf states for post-disaster support.
- 2009 participation as crewmembers at eleven Coast Guard units on the Great Lakes in support of "Operation Summerstock" to augment search and rescue capabilities during the high operational tempo of the summer months.
- Increase full-time support to Commanders in the field for the training and personal readiness of reserve personnel.

FY 2010 projected accomplishments include:

- Continue to serve an integral role during supplemental-funded contingency operations for DoD's Overseas Contingency Operations, Operation Iraqi Freedom and Operation Enduring Freedom.
- Train additional reservists for deployable expeditionary support and to provide safety and security teams for deployment within the United States.

- Train for mobilization to support national security and disaster response.
- Support DHS HQ Operations, AFRICOM, and DOG operations.
- Further increase full-time support to Commanders in the field for the training and personal readiness of reserve personnel.

PPA II: OPERATIONS, MAINTENANCE AND ADMINISTRATION

	Perm		
	Pos	FTE	Amount
2008 Actual	30,030
2009 Enacted	31,481
2010 Adjustments to Base
2010 Current Services	31,481
2010 Program Change
2010 Request	31,481
Total Change 2009-2010

The Coast Guard requests \$31.481 million for this activity.

CURRENT SERVICES PROGRAM DESCRIPTION:

This request for Operations, Maintenance and Administration funds the costs of services and facilities to train reservists, administer the Reserve program and portion of organizational costs shared by the Reserve Training appropriation operation and maintenance. For example, reservists attend many of the same classroom-based training sessions as members of the active component, and the Reserve Training appropriation provides funding for the reservists for overhead and course-specific costs. Similar Reserve Training cost sharing applies in other arenas as well.

By providing funding for enterprise-wide services used by reservists, the Reserve Training appropriation ensures equipment and facilities necessary to attract and maintain a high-caliber reserve force without eroding the resource base of the active duty military workforce. Coast Guard reservists serve in multiple mission areas as boarding officers, small boat coxswains, contingency planners and marine inspectors. The Coast Guard Reserve is an extraordinary force multiplier upon which our nation can confidently rely in times of exceptional need, embodying the very essence of the Coast Guard's motto: Semper Paratus (Always Ready).

Significant accomplishments in FY 2008 include:

- Maintained readiness and honed their mobilization skills through classroom training, mobilization exercises and on-the-job training alongside their active duty counterparts during routine and emergency operations. Over 85 percent of our 8,100 member Selected Reserve Force are assigned to operational Coast Guard shore units.
- Mobilized, trained, and maintained skills required to support defense operations throughout the world. The remaining 15 percent of our 8,100 member Selected Reserve Force are assigned to deployable PSUs, Naval Coastal Warfare Squadrons and Naval Coastal Warfare groups.
- Implemented organizational structure and business practices to optimally deliver training, readiness and operational support.
- Enhanced the mobilization/activation process with improved management and tracking tools.

- Improved reservists' access to education with the addition of 120 new distance-learning courses eligible for Reserve Retirement Points.

FY 2009 projected accomplishments include:

- Continue to maintain readiness and hone mobilization skills through training and exercises during routine and emergency operations.
- Continue to mobilize, train and maintain skills required to support defense operations throughout the world.
- Continue to optimize the delivery of training, readiness and operational support.
- Develop a methodology for measuring training capacity.
- Improve reserve readiness in the field by realigning 202 full-time support positions for more direct support to the operational commands where reservists are assigned and trained.
- Increase the number of Reserve Program Administrators to provide full-time support to reserve force training and support.
- Improve mobilization and demobilization processes for reservists by ensuring enhanced reserve-specific functionality in Coast Guard administrative systems.
- Develop and provide training to full-time support personnel who will be supporting reserve readiness training and administration at operational commands.

FY 2010 projected accomplishments include:

- Continue to maintain readiness and hone mobilization skills through training and exercises during routine and emergency operations.
- Continue to mobilize, train and maintain skills required to support defense operations throughout the world.
- Continue to optimize the delivery of training, readiness and operational support.
- Continue to improve reserve readiness in the field by providing additional full-time support positions to increase direct support to the operational commands where reservists are assigned and trained.
- Develop and provide training to full-time support personnel who will be supporting reserve readiness training and administration at operational commands.
- Continue to improve reserve readiness and training with further development of formal and on-line training for the full corps of full-time support personnel supporting reserve readiness throughout the Coast Guard.
- Improve efficiency of reserve specific functions in Coast Guard data and personnel management systems.

IV. Program Justification of Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
U. S. Coast Guard
Justification of Proposed Changes in Reserve Training
Appropriation Language**

For necessary expenses of the Coast Guard Reserve, as authorized by law; operations and maintenance of the reserve program; personnel and training costs; equipment and services; [\$130,501,000] **\$133,632,000.** (*Department of Homeland Security Appropriation Act, 2009.*)

Explanation of Changes:

No substantive changes proposed.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
U. S. Coast Guard
Reserve Training
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actual	535	552	126,294
2009 Enacted	536	536	130,501
Adjustments-to-Base			
Increases			
Annualization of FY 2009 Pay Raise	-	-	940
FY 2010 Pay Raise	-	-	2,191
Non-Pay Inflation	-	-	-
Total Increases	-	-	3,131
Total Adjustments-to-Base	-	-	3,131
2010 Current Services	536	536	133,632
2010 Request	536	536	133,632
2009 to 2010 Total Change	-	-	3,131

C. Summary of Requirements

Department of Homeland Security
U. S. Coast Guard
Reserve Training
Summary of Requirements
(Dollars in Thousands)

	2010 Request		
	Pos.	FTE	Amount
2008 Actual	535	552	126,294
2009 Enacted	536	536	130,501
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	-	-	-
Increases	-	-	3,131
Decreases	-	-	-
Total Adjustments-to-Base	-	-	3,131
2010 Current Services	536	536	133,632
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)			
2010 Total Request	536	536	133,632
2009 to 2010 Total Change	-	-	3,131

Estimates by Program/Project Activity	2009 Enacted		2010 Adjustments-to-Base		2010 Program Change		2010 Request		2009 to 2010 Total Change			
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
PPA 1: Pay, Benefits and Allowances	536	536	99,020	-	-	-	536	536	102,151	-	-	3,131
PPA 2: Operations, Maintenance and Administration	-	-	31,481	-	-	-	-	-	31,481	-	-	-
Total Reserve Training	536	536	130,501	-	-	3,131	536	536	133,632	-	-	3,131

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
U. S. Coast Guard
Reserve Training
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1 Full-time permanent	5,193	5,524	5,691	167
11.3 Other than full-time permanent	12	13	13	-
11.5 Other personnel compensation	129	137	141	4
11.7 Military personnel	77,924	79,895	82,413	2,518
11.8 Special service pay	-	-	-	-
12.1 Civilian personnel benefits	1,396	1,485	1,530	45
12.2 Military personnel benefits	11,610	11,966	12,363	397
13.0 Benefits-former	-	-	-	-
Total, Personnel Comp. & Benefits	\$ 96,264	\$ 99,020	\$ 102,151	\$ 3,131
Other Objects Classes:				
21.0 Travel	6,671	6,994	6,994	-
22.0 Transportation of things	6	6	6	-
23.1 GSA rent	-	-	-	-
23.2 Other rent	-	-	-	-
23.3 Communication, utilities, and misc charges	-	-	-	-
24.0 Printing and reproduction	-	-	-	-
25.1 Advisory and assistance services	-	-	-	-
25.2 Other services	22,947	24,056	24,056	-
25.3 Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4 Operation & maintenance of facilities	-	-	-	-
25.5 Research and development	-	-	-	-
25.6 Medical care	-	-	-	-
25.7 Operation and maintenance of equipment	-	-	-	-
25.8 Subsistence and support of persons	-	-	-	-
26.0 Supplies and materials	397	416	416	-
31.0 Equipment	9	9	9	-
32.0 Land and structures	-	-	-	-
41.0 Grants, subsidies and contributions	-	-	-	-
42.0 Insurance claims and indemnity	-	-	-	-
Total, Other Object Classes	\$ 30,030	\$ 31,481	\$ 31,481	\$ -
Total Direct Obligations	\$ 126,294	\$ 130,501	\$ 133,632	\$ 3,131
Unobligated balance, start of year	-	-	-	-
Unobligated balance, end of year	589	-	-	-
Total Requirements	\$ 126,883	\$ 130,501	\$ 133,632	3,131

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Reserve Training - Military
Permanent Positions by Grade**

Grade	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
	Pos.	Pos.	Pos.	Pos.
O-10	-	-	-	-
O-9	-	-	-	-
O-8	1	1	1	-
O-7	-	-	-	-
O-6	7	7	7	-
O-5	12	12	12	-
O-4	23	21	21	-
O-3	48	49	49	-
O-2	9	12	12	-
O-1	-	-	-	-
CWO	18	19	19	-
Cadet	-	-	-	-
E-10	-	-	-	-
E-9	6	6	6	-
E-8	9	9	9	-
E-7	37	39	39	-
E-6	127	121	121	-
E-5	81	84	84	-
E-4	46	47	47	-
E-3	8	8	8	-
E-2	3	3	3	-
E-1	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
Total Permanent Positions	435	438	438	-
Unfilled Positions EOY	-	-	-	-
Total Perm. Employment EOY	435	438	438	-
FTE*	460	441	441	-
Headquarters	41	40	40	-
U.S. Field	394	398	398	-
Foreign Field	-	-	-	-
Total Permanent Positions	435	438	438	-
<u>Position Data:</u>				
Average Salary, Officer Positions**	\$101,153.78	\$109,016.42	\$114,128.25	\$5,111.83
Average Grade, Officer Positions	3.43	3.37	3.37	0.00
Average Salary, Enlisted Positions**	\$58,063.72	\$63,534.94	\$67,960.26	\$4,425.32
Average Grade, Enlisted Positions	5.57	5.56	5.56	0.00

*The Coast Guard manages the military workforce by end strength, not Full Time Equivalent (FTE). The military FTE represented in these numbers are monthly end strengths averaged over the year.

**The military pay and allowances averages include the costs associated with all pay and allowances paid to a particular pay grade, including: Basic Pay, Basic Allowance for Housing, Basic Allowance for Subsistence, Federal Insurance Contributions, Incentive/Special Pays, Clothing Allowances, Cost-of-Living Allowances and Selective Re-enlistment Bonus payments. The term "Officer" includes Chief Warrant Officers, Cadets and Officer Candidates.

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Reserve Training - Civilian
Permanent Positions by Grade**

Grade	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
	Pos.	Pos.	Pos.	Pos.
Total, SES	-	-	-	-
Total, EX	-	-	-	-
GS-15	1	1	1	-
GS-14	4	4	4	-
GS-13	4	4	4	-
GS-12	12	10	10	-
GS-11	9	8	8	-
GS-10	-	-	-	-
GS-9	11	11	11	-
GS-8	5	5	5	-
GS-7	30	30	30	-
GS-6	13	14	14	-
GS-5	9	9	9	-
GS-4	1	1	1	-
GS-3	-	-	-	-
GS-2	-	-	-	-
Other Graded Positions	1	1	1	-
Ungraded Positions	-	-	-	-
Total Permanent Positions	100	98	98	-
Unfilled Positions EOY	5	3	3	-
Total Perm. Employment (Filled Positions) EOY	95	95	95	-
FTE	92	95	95	-
Headquarters	13	11	11	-
U.S. Field	87	87	87	-
Foreign Field	-	-	-	-
Total Permanent Positions	100	98	98	-
<u>Position Data:</u>				
Average Personnel Costs, ES Positions	n/a	n/a	n/a	n/a
Average Personnel Costs, GS Positions	\$71,568.04	\$74,875.26	\$76,512.37	1,637.11
Average Grade, GS Positions	8.51	8.38	8.38	0.00

The average personnel costs shown above include basic/locality pay, lump sum payments, awards, overtime, benefits such as retirement, health care and life insurance, and other compensation such as holidays hazardous duty, reemployment annuitant and severance pays, night differential, non-foreign Cost-of-Living Allowance and premium compensation for firefighters.

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Reserve Training
PPA I: Pay, Benefits and Allowances
Funding Schedule**

PPA I: Pay, Benefits and Allowances		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes					
11.1	Full-time permanent	5,193	5,524	5,691	167
11.3	Other than full-time permanent	12	13	13	-
11.5	Other personnel compensation	129	137	141	4
11.7	Military personnel	77,924	79,895	82,413	2,518
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	1,396	1,485	1,530	45
12.2	Military personnel benefits	11,610	11,966	12,363	397
13.0	Benefits-former	-	-	-	-
21.0	Travel	-	-	-	-
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	-	-
25.2	Other services	-	-	-	-
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	-	-	-	-
31.0	Equipment	-	-	-	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total, Pay, Benefits and Allowances		\$ 96,264	\$ 99,020	\$ 102,151	\$ 3,131
Full Time Equivalents		552	536	536	-

PPA Mission Statement

This PPA request funds expenses for compensation of active duty military service members and civilian personnel who support the Reserve Training program. This category also includes pay, allowances, employer's share of FICA, Social Security credits and other expenses. Requested funding will compensate our 536 full-time personnel.

Summary Justification and Explanation of Changes

Salaries and Benefits

	2008 Actual		2009 Enacted		2010 Request		2009 to 2010 Change
	\$ 96,264	\$	99,020	\$	102,151	\$	3,131

Salaries and Benefits provides compensation directly related to Coast Guard active duty military and civilian personnel duties. This includes costs for 536 FTE. The increase in the FY 2010 request is due to the proposed pay raise (2.0% civ and 2.9% mil).

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Reserve Training
PPA II: Operations, Maintenance and Administration
Funding Schedule**

PPA II: Operations, Maintenance and Administration		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	6,671	6,994	6,994	-
22.0	Transportation of things	6	6	6	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	-	-
25.2	Other services	22,947	24,056	24,056	-
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	397	416	416	-
31.0	Equipment	9	9	9	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total, Operations, Maintenance and Administration		\$ 30,030	\$ 31,481	\$ 31,481	\$ -
Full Time Equivalents		-	-	-	-

Summary Justification and Explanation of Changes

Travel

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 6,671	\$ 6,994	\$ 6,994	\$ -

The FY 2010 request has no change.

Transportation of things

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 6	\$ 6	\$ 6	\$ -

The FY 2010 request has no change.

Other services

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 22,947	\$ 24,056	\$ 24,056	\$ -

The FY 2010 request has no change.

Supplies and materials

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 397	\$ 416	\$ 416	\$ -

The FY 2010 request has no change.

Equipment

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 9	\$ 9	\$ 9	\$ -

The FY 2010 request has no change.

I. Changes in Full-Time Equivalents

Not Applicable

Department of Homeland Security

United States Coast Guard

Acquisition, Construction and Improvements



Fiscal Year 2010

Congressional Justification

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U. S. Coast Guard

Acquisition, Construction and Improvements

I. Appropriation Overview

A. Mission Statement for Acquisition, Construction and Improvements:

The Administration requests \$1.384 billion in FY 2010, a decrease of \$91.000 million from the FY 2009 enacted level of \$1.475 billion. The Acquisition, Construction and Improvements (AC&I) appropriation funds the acquisition of new capital assets, construction of required facilities and physical improvements to existing facilities and assets. The appropriation covers Coast Guard-owned and operated vessels, shore facilities and other equipment, such as computer and other systems.

The AC&I funding request supports all statutorily-mandated Coast Guard mission-programs. These mission-programs in turn directly support the Coast Guard's role as the nation's principal Federal agency responsible for maritime **safety, security, and stewardship**.

B. Budget Activities:

This funding supports all Coast Guard missions, including Search and Rescue (SAR); Marine Safety; Aids to Navigation (AtoN); Ice Operations; Marine Environmental Protection (MEP); Living Marine Resources (LMR); Drug Interdiction; Migrant Interdiction; Other Law Enforcement; Ports, Waterways and Coastal Security (PWCS); and Defense Readiness.

C. Budget Request Summary:

The Coast Guard requests \$1.384 billion in FY 2010 to support the following projects:

- Response Boat-Medium - \$103.000 million
- Integrated Deepwater Systems - \$1.051 billion
- Rescue 21 - \$117.000 million
- High Frequency recapitalization - \$2.500 million
- Shore facilities and aids to navigation - \$10.000 million
- AC&I personnel related support - \$100.000 million

III. Current Services Program Description by PPA

Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction and Improvements
Program Performance Justification
(Dollars in thousands)

PPA I: VESSELS AND CRITICAL INFRASTRUCTURE PROJECTS

	Perm Pos	FTE	Amount
2008 Actual	\$52,314
2009 Enacted	113,000
2010 Adjustments-to-Base
2010 Current Services	113,000
2010 Program Change	-10,000
2010 Request	103,000
Total Change 2009-2010	-10,000

The table above excludes ARRA funding of \$10.000 million provided in P.L. 111-5. The Coast Guard requests \$103.000 million. This is a decrease of \$10.000 million below the FY 2009 enacted.

PROGRAM DESCRIPTION:

Primary operational resource supported: Surface assets, Command and Control

Funding supports the initial acquisition, development or construction of any cutter or boat class. It also supports the improvement, renovation, upgrade, replacement or alteration of these cutter and boat classes. Our primary project for this funding in FY 2010 is the Response Boat-Medium (RB-M) project.

Response Boat-Medium (RB-M)

Significant accomplishments in FY 2008 include:

- Ordered 18 RB-Ms (hulls #13-30)
- Delivered the first three RB-Ms that were ordered Q4 FY 2006 with prior funding
- Commenced Operational Test and Evaluation (OT&E) on the first three RB-Ms
- Second production facility opened by contractor in Green Bay, Wisconsin, establishing of production capacity to meet a production rate of 30 boats per year by the end of FY2010

FY 2009 planned accomplishments include:

- Ordering 36 RB-Ms (hulls #31-66)
- Delivery of an additional 11 RB-Ms ordered with prior funding and support for a total of 14 delivered RB-Ms
- Delivery of the first RB-M from the second production facility in Green Bay in Q4 FY 2009
- Continuation of Operational Test and Evaluation (OT&E) focused on the first six RB-Ms purchased with prior funding
- Logistics element development and fielding (had been deferred in prior years in order to place sufficient boat orders to initiate the contractor opening the second production facility)

FY2010 planned accomplishments include:

- Ordering 30 RB-Ms (hulls #67-96)
- Delivery of an additional 15 RB-Ms ordered with prior year funding and support of a total of 28 delivered RB-Ms
- Completion of OT&E, enter full production, and attain Initial Operating Capability with delivery of the first RB-M following a full production decision

PPA II: AIRCRAFT

	Perm Pos	FTE	Amount
2008 Actual	6,680
2009 Enacted
2010 Adjustments-to-Base
2010 Current Services
2010 Program Change
2010 Request
Total Change 2009-2010

The Coast Guard does not request any funding for this activity in FY 2010.

PPA III: INTEGRATED DEEPWATER SYSTEMS

	Perm Pos	FTE	Amount
2008 Actual	724,018
2009 Enacted	1,033,994
2010 Adjustments-to-Base
2010 Current Services	1,033,994
2010 Program Change	17,486
2010 Request	1,051,480
Total Change 2009-2010	17,486

The table above excludes supplemental funding in 2008 of \$9.430 million (P.L.110-161). The Coast Guard requests \$1.051 billion for this activity. This is an increase of \$17.486 million above the FY 2009 enacted.

PROGRAM DESCRIPTION:

Primary operational resource supported: All

To continue to address America's 21st century maritime threats and challenges, the Coast Guard initiated the Integrated Deepwater System (IDS) program, the largest and most innovative acquisition in Coast Guard history. IDS comprises new cutters and their associated small boats, upgraded legacy cutters, a new fixed-wing manned aircraft fleet, an upgraded helicopters, and both cutter-based and land-based unmanned air vehicles. All of these highly capable assets will be linked with state-of-the-art Command, Control, Communications and Computers, Intelligence, Surveillance and Reconnaissance (C4ISR) systems, and will be supported by an integrated logistics regime. IDS is comprised of three separate sub-categories:

- Aircraft
- Surface
- Other

FY 2008 Significant accomplishments include:

- Maritime Patrol Aircraft (MPA) – formally accepted the platform’s Mission System Pallet (MSP); funded (a) production of MPA #9 through #11, (b) five (5) MSPs, including their missionization and initial sparing.
- HC-130H – completed SELEX surface search radar installation on three (3) aircraft, began Avionics Phase I effort through NAVAIR and installed nineteen (19) out of twenty-six DF430s (direction finders) .
- HC-130J – formally accepted first missionized aircraft, completed Developmental Test & Evaluation (DT&E); accepted delivery of missionized aircraft #2 & #3. Placed aircraft #4 on contract.
- HH-60 – completed prototype to accomplish a service-life extension that refurbishes the airframe, wiring, and components; add new radar and C4ISR suite; and installs an integrated cockpit.
- HH-65 – continued efforts to provide a service-life extension which refurbishes the airframe, tail drive shaft and fenestron anti-torque device; strengthens landing gear; adds new radar and new C4ISR suite; and installs an integrated cockpit.

SURFACE

- Awarded contract for the Sentinel Class (FRC-B) Patrol Boat
- Began construction of NSC #3
- Purchased Long Lead Time Material (LLTM) for NSC #4
- Completed Mission Effectiveness Project (MEP) for seven Medium Endurance Cutters (WMEC) and five Patrol Boats (WPB)

OTHER

- Logistics Shore
 - Installed LIMS at facilities where LIMS use is required, including Naval Engineering Support Unit (NESU) Boston, NESU Honolulu, Engineering Support Unit (ESU) Honolulu, ATC Mobile, Coast Guard Air Station (CGAS) Savannah, CGAS New Orleans, CGAS Miami, CGAS Cape Cod, CGAS, Borinquen, CGAS Barbers Point and CGAS Elizabeth City
- Facilities
 - Constructed the OCCS building to support the new NSCs in Alameda, CA and the FRC office/storage building in Miami, FL

FY 2009 planned accomplishments include:

AIRCRAFT

- MPA – Fund production of (a) MPA #12 and three (3) MSPs; and (b) their missionization and initial sparing; accept MPAs #6, #7, and #8. Initial Operational Capability (IOC) for this asset will be achieved.

- HH-65 – continue a service-life extension to refurbish the airframe, wiring and components; adds new radar and new C4ISR suite; and install an integrated cockpit
- HH-60 – continue a service-life extension to refurbish the airframe, wiring, and components; add new radar and new C4ISR suite; and install an integrated cockpit
- HC-130H – continue avionics modernization and center wing box replacement to extend fleet service life
- HC-130J – complete missionization of aircraft #4 and negotiate missionization of aircraft #5 and #6; fly first avionics upgrade prototype aircraft
- UAS – perform pre-acquisition analysis to determine best strategy to meet critical mission requirements

SURFACE

- Award three (FRC #2- #4) follow-on FRC-B Low Rate Initial Production hulls
- Complete MEP for five WMECs and three WPBs

OTHER

- Continue installation of LIMS systems at facilities where LIMS as required, including NESU Boston, NESU Honolulu, ESU Honolulu, Aviation Technical Training Center (ATTC) Mobile, CG Air Station (CGAS) Savannah, CGAS New Orleans, CGAS Miami, CGAS Cape Cod, CGAS, Borinquen, CGAS Barbers Point and CGAS Elizabeth City
- Phase II construction of the Off-Cycle Crew Support (OCCS) building to support NSCs in Alameda, CA; facility upgrades at the first three FRC-B homeports; facility upgrades at the second NSC homeport; environmental assessments of Deepwater homeports and aviation sites; and detailed engineering evaluations.

FY 2010 planned accomplishments include:

AIRCRAFT

- MPA – funds production of MPA #13 and #14, three (3) MSPs, initial spares, and a flight training simulator
- HH-65 – continue a service-life extension to refurbish the airframe, wiring and components; adds new radar and C4ISR suite; and install an integrated cockpit
- HH-60 – continue a service-life extension to refurbish the airframe, wiring, and components; add new radar and C4ISR suite; and install an integrated cockpit
- HC-130H – continue avionics modernization and center wing box replacement to extend fleet service life
- HC-130J – complete missionization of aircraft #5 and purchase crashworthy observer seats.
-

SURFACE

- Award contract for Production of NSC #4
- Award contract for FRC-B Full Rate Production hulls #5-8
- OPC – Develop Concepts of Operations (CONOPS) and Operational Requirements Document (ORD)
- Complete MEP for five WMECs and three WPBs

OTHER

- Continue installation of LIMS systems at facilities where LIMS as required
- Begin work on MPA Hanger for CGAS Cape Cod.
- Continue to support NSCs with facility upgrades in Alameda, CA and at the second NSC homeport; facility upgrades at the first three FRC-B homeports; construction of an FRC trainer at Yorktown, VA; environmental assessments of Deepwater homeports and aviation sites; and detailed engineering evaluations.

PPA IV: OTHER EQUIPMENT

	Perm Pos	FTE	Amount
2008 Actual	\$116,512
2009 Enacted	89,174
2010 Adjustments-to-Base
2010 Current Services	89,174
2010 Program Change	30,326
2010 Request	119,500
Total Change 2009-2010	30,326

The table above excludes supplemental funding in 2008 of \$210.000 thousand (P.L.110-161). The Coast Guard requests \$119.500 million for this activity. This is a \$30.326 million increase above the FY 2009 enacted.

PROGRAM DESCRIPTION:

Primary operational resource supported: Command, Control, Communications, Computers and Information Technology

Funding procures hardware and software, including the initial acquisition, development or construction of any system, software or equipment costing over \$1 million per usable segment or item, or \$10 million total project cost. It also includes the improvement, renovation, upgrade, replacement or alteration of equipment or hardware that exceeds \$1 million per usable segment or item, or \$10 million total project cost, regardless of the cost per site.

Rescue 21

FY 2008 accomplishments include:

- Delivered 11 Full Rate Production Sectors: Rescue 21 is operational in 16 of 39 Sectors and is standing watch and saving lives along 22,292 miles of U.S. coastline
- Received approval of APB (Rev 5) adjusting system cost and schedule baselines to more accurately reflect actual system deployment results; no changes to Key Performance Parameters
- Deployed Disaster Recovery capability in Gulf Coast for Hurricanes Gustav and Ike allowing Sector New Orleans to stand the watch from OSC Martinsburg, WV, and restoring damaged critical communications links to keep the system operational
- Continued work in Alaska: development of project plan, surveys of proposed new sites, and initial development of testing lab

FY 2009 planned accomplishments include:

- Deployment of four additional Sectors for a total of 28,016 miles in 20 of 39 Sectors
- Continue work on 12 remaining Full Rate Production Sectors
- Begin work on Western Rivers: proof of concept and development of prototype
- Begin deployment of Vessels Subsystem: deploy UHF radios to 125 vessels
- Continue work in Alaska: including completion of Acquisition Plan, research and testing to develop components and configurations for the standard Remote Fixed Facility (tower) and Sector Command Center console

FY 2010 planned accomplishments include:

- Deployment of seven additional Sectors for a total of 36,429 miles in 27 of 39 Sectors
- Continue work on seven remaining Full Rate Production Sectors
- Begin deployment of Western Rivers Subsystem
- Continue deployment of Vessels Subsystem: deploy UHF radios to 300 vessels
- Continue work in Alaska: deployment of limited interim capabilities with deployment of full capabilities to follow in FY 2011

High Frequency (HF) Recapitalization

FY 2008 accomplishments include:

- Purchased and install 12 HF transmitters (\$200K per transmitter).

FY 2009 planned accomplishments include:

- Purchase and install 12 additional HF transmitters (\$200K per transmitter).

FY 2010 planned accomplishments include:

- Purchase and install 12 additional HF transmitters (\$200K per transmitter)).

PPA V: SHORE FACILITIES AND AIDS TO NAVIGATION

	Perm Pos	FTE	Amount
2008 Actual	\$129,686
2009 Enacted	68,000
2010 Adjustments-to-Base
2010 Current Services	68,000
2010 Program Change	-58,000
2010 Request	10,000
Total Change 2009-2010	-58,000

The table above excludes supplemental funding in 2008 of \$276.760 million (P.L.110-161) and excludes ARRA funding in 2009 of \$88.000 million (P.L. 111-5). The Coast Guard requests \$10.000 million for this activity. This is a decrease of \$58.000 million below the FY 2009 enacted.

PROGRAM DESCRIPTION:

Primary operational resource supported: Shore units and Aids-to-Navigation (ATON)

The AC&I shore facilities and ATON capital investment program provides funding for the acquisition, construction, rebuilding, and improvement of the Coast Guard's shore facilities, ATON, and related equipment.

FY 2008 accomplishments include:

- Constructed duty berthing and boat maintenance bay at Station Washington
- Rebuilt multi-purpose facility and waterfront at Base Galveston Phase II.
- Began a Rescue Swimmer Training Facility at Aviation Technical Training Center (ATTC) Elizabeth City, NC.
- Constructed a consolidated Station Marquette, MI facility.
- Constructed eight additional housing units at Cordova, AK
- Began facility renovations at Sector Buffalo
- Aids to Navigation work at the following sites: Delaware Bay and River, DE; Sharps Island Light, MD; Edgewater, PA; Lake St. Clair, MI.

FY 2009 planned accomplishments include:

- Complete initial survey and design for nine facilities/purposes.
- Commence Phase III of the Cordova, Alaska housing project which will complete 6 duplex units (12 housing units).
- Commence the recapitalization of Chase Hall's North Annex A.
- Commence the renovation of the run way lighting at Air Station Cape Cod (Massachusetts Military Reservation).
- Commence construction of the addition to the TISCOM Telecommunications Systems Directorate (TSD) building.
- Purchase housing for Station Montauk, NY.
- Commence construction of a 23,000 GSF consolidated Station, Aids to Navigation Team (ANT) and Coastal Patrol Boat (CPB) facilities for Station Cape May.
- Complete Phase II of the Rescue Swimmer Training Facility at Aviation Technical Training Center (ATTC), Elizabeth City, NC project by providing the Modular Egress Training Simulator (dunker); dunker tank; enclosure with deck space, mechanical support space; classrooms and labs.
- Aids To Navigation work at the following sites: Pleasant River, ME, Port Canaveral and Port Manatee, FL, Mobile, AL, Gulfport, MS, Port Charles, LA, Anaheim Bay and Mission Bay, CA, Puget Sound, WA, and Sumner Strait, AK.

FY 2010 planned accomplishments include:

- Complete initial survey and design for seven facilities/purposes
- Aids To Navigation work at the following sites: Port Canaveral, FL – Outbound Ranges; Belle Pass/Port Fuchon, LA – Inbound Ranges ; Anaheim Bay Ranges, CA; Anaheim Bay, CA – Buoys to Beacons; Napa River, CA; Sacramento/San Joaquin Rivers, CA; Houston Ship Channel Ranges, TX; St. Mary's River, MI – Buoys to Beacons; Mobile Channel Ranges, AL.

PPA VI: DHS HEADQUARTERS

	Perm Pos	FTE	Amount
2008 Actual
2009 Enacted	97,578
2010 Adjustments-to-Base
2010 Current Services	97,578
2010 Program Change	-97,578
2010 Request
Total Change 2009-2010	-97,578

The Coast Guard does not request funding for this activity.

PPA VII: PERSONNEL AND RELATED SUPPORT

	Perm Pos	FTE	Amount
2008 Actual	746	636	\$82,000
2009 Enacted	793	685	92,830
2010 Adjustments-to-Base
2010 Current Services	793	685	92,830
2010 Program Change	100	50	7,170
2010 Request	893	735	100,000
Total Change 2009-2010	100	50	7,170

The Coast Guard requests \$100.000 million for this activity. This is an increase of \$7.170 million above the FY 2009 enacted.

PROGRAM DESCRIPTION:

Primary operational resource supported: All

Acquisition, Construction and Improvements (AC&I) has a specific annual appropriation to fund “personnel compensation and benefits and related costs. Annual AC&I personnel compensation appropriation, rather than the multi-year project funds, must be used to fund all AC&I related personnel costs. The primary initiatives include contract support for financial management services, contracting support services, training and workforce certification. The funding allows the Coast Guard to maintain an effective acquisition process by providing AC&I resources that are not project-specific. Resources are needed to maintain core competencies and capabilities necessary to execute assigned workload while meeting various requirements established in the Chief Financial Officer Act, Clinger-Cohen Act, DHS certification level requirements and OMB Circular A-76.

IV. Program Justification of Changes

**Department of Homeland Security
U. S. Coast Guard
Acquisition Construction and Improvements
Justification of Program Changes
(Dollars in Thousands)**

Program Increase: Acquisition, Construction and Improvements

Strategic Goal(s) & Objective(s): 1.1, 1.3, 2.1, 2.2, 3.1, 3.2, 4.1, 4.2, 5.0,

PPA: Applies to all PPAs

Program Decrease/Increase: Positions 100 FTE 50 Dollars -\$90,596

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	746	636	1,111,210	793	685	1,474,576	793	685	1,474,576
Program Increase/decrease	-	-	-	-	-	-	100	50	-90,596
Total Request	746	636	\$1,111,210	793	685	\$1,474,576	893	735	1,383,980

Description of Item

Please see the following budget displays for detailed information: Summary of Requirements and Capital Investments and Construction Initiative Listing.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
U. S. Coast Guard
Justification of Proposed Changes in Acquisition, Construction, and Improvements
Appropriation Language**

For necessary expenses of acquisition, construction, renovation, and improvement of aids to navigation, shore facilities, vessels, and aircraft, including equipment related thereto; and maintenance, rehabilitation, lease and operation of facilities and equipment, as authorized by law; [~~\$1,494,576,000~~]**\$1,383,980,000** of which \$20,000,000 shall be derived from the Oil Spill Liability Trust Fund to carry out the purposes of section 1012(a)(5) of the Oil Pollution Act of 1990 (33 U.S.C. 2712(a)(5)); of which [~~\$113,000,000~~]**\$103,000,000** shall be available until September 30, [~~2013~~]**2014**, to acquire, repair, renovate, or improve vessels, small boats, and related equipment; of which [~~\$89,174,000~~]**\$119,500,000** shall be available until September 30, [~~2011~~]**2012**, for other equipment; of which [~~\$68,000,000~~]**\$10,000,000** shall be available until September 30, [~~2011~~]**2012**, for shore facilities and aids to navigation facilities,[including \$3,000,000 for Sector Buffalo and \$15,000,000 for the Rescue Swimmer Training Facility;] of which [~~\$92,830,000~~]**\$100,000,000** shall be available for personnel compensation and benefits and related costs;[of which \$97,578,000 shall be available until expended for a new Coast Guard and Department of Homeland Security headquarters;]and of which [~~\$1,033,994,000~~]**\$1,051,480,000** shall be available until September 30, [~~2013~~]**2014**, for the Integrated Deepwater Systems program:[*Provided*, That of the funds made available for the Integrated Deepwater Systems program, \$244,550,000 is for aircraft and \$571,003,000 is for surface ships: *Provided further*, That \$350,000,000 of the funds provided for the Integrated Deepwater Systems program may not be obligated until the Committees on Appropriations of the Senate and the House of Representatives receive directly from the Coast Guard and approve a plan for expenditure that—

- (1) defines activities, milestones, yearly costs, and life cycle costs for each new procurement of a major asset, including an independent cost estimate for each;
- (2) identifies life cycle staffing and training needs of Coast Guard project managers and procurement and contract staff;
- (3) identifies competition to be conducted in, and summarizes the approved acquisition strategy for, each procurement;
- (4) includes a certification by the Chief Human Capital Officer of the Department of Homeland Security that current human capital capabilities are sufficient to execute the expenditure plan;
- (5) includes an explanation of each procurement that involves an indefinite delivery/indefinite quantity contract and explains the need for such contract;
- (6) identifies individual project balances by fiscal year, including planned carryover into fiscal year 2010 by project;
- (7) identifies operational gaps by asset and explains how funds provided in this Act address the shortfalls between current operational capabilities and requirements;

(8) includes a listing of all open Government Accountability Office and Office of Inspector General recommendations related to the program and the status of Coast Guard actions to address the recommendations, including milestones for fully addressing them;

(9) includes a certification by the Chief Procurement Officer of the Department that the program has been reviewed and approved in accordance with the investment management process of the Department, and that the process fulfills all capital planning and investment control requirements and reviews established by the Office of Management and Budget, including Circular A-11, part 7;

(10) identifies use of the Defense Contract Audit Agency;

(11) includes a certification by the head of contracting activity for the Coast Guard and the Chief Procurement Officer of the Department that the plans for the program comply with the Federal acquisition rules, requirements, guidelines, and practices, and a description of the actions being taken to address areas of non-compliance, the risks associated with them along with plans for addressing these risks, and the status of their implementation;

(12) identifies the use of independent validation and verification; and

(13) is reviewed by the Government Accountability Office:

Provided further, That no funding may be obligated for low rate initial production or initial production of any Integrated Deepwater Systems program asset until Coast Guard revises its Major Systems Acquisition Manual procedures to require a formal design review prior to the authorization of low rate initial production or initial production: *Provided further*, That the Secretary of Homeland Security shall submit to the Committees on Appropriations of the Senate and the House of Representatives, in conjunction with the President's fiscal year 2010 budget, a review of the Revised Deepwater Implementation Plan that identifies any changes to the plan for the fiscal year; an annual performance comparison of Integrated Deepwater Systems program assets to pre-Deepwater legacy assets; a status report of legacy assets; a detailed explanation of how the costs of legacy assets are being accounted for within the Integrated Deepwater Systems program; and the earned value management system gold card data for each Integrated Deepwater Systems program asset: *Provided further*, That the Secretary shall submit to the Committees on Appropriations of the Senate and the House of Representatives a comprehensive review of the Revised Deepwater Implementation Plan every 5 years, beginning in fiscal year 2011, that includes a complete projection of the acquisition costs and schedule for the duration of the plan through fiscal year 2027: *Provided further*, That the Secretary shall annually submit to the Committees on Appropriations of the Senate and the House of Representatives, at the time that the President's budget is submitted under section 1105(a) of title 31, United States Code, a future-years capital investment plan for the Coast Guard that identifies for each capital budget line item—

(1) the proposed appropriation included in that budget;

(2) the total estimated cost of completion;

(3) projected funding levels for each fiscal year for the next 5 fiscal years or until project completion, whichever is earlier;

(4) an estimated completion date at the projected funding levels; and

(5) changes, if any, in the total estimated cost of completion or estimated completion date from previous future-years capital investment plans submitted to the Committees on Appropriations of the Senate and the House of Representatives:

Provided further, That the Secretary shall ensure that amounts specified in the future-years capital investment plan are consistent to the maximum extent practicable with proposed

appropriations necessary to support the programs, projects, and activities of the Coast Guard in the President's budget as submitted under section 1105(a) of title 31, United States Code, for that fiscal year: *Provided further*, That any inconsistencies between the capital investment plan and proposed appropriations shall be identified and justified: *Provided further*, That subsections (a), and (b) of section 6402 of the U.S. Troop Readiness, Veterans' Care, Katrina Recovery, and Iraq Accountability Appropriations Act, 2007 (Public Law 110– 28) shall apply to fiscal year 2009: *Provided further*, That notwithstanding section 503 of this Act, amounts transferred from the "Operating Expenses" appropriation for personnel compensation and benefits and related costs to adjust personnel assignment to accelerate management and oversight of new or existing projects may be transferred to the "Operating Expenses" appropriation to be merged with that appropriation, to be available under the same terms and conditions for which that appropriation is available, when no longer required for project acceleration or oversight, or to otherwise adjust personnel assignment: *Provided further*, That the Committees on Appropriations of the Senate and the House of Representatives shall be notified of each transfer within 30 days after it is executed.] (*Department of Homeland Security Appropriations Act, 2009.*)

[(INCLUDING TRANSFER OF FUNDS)]

[For an additional amount for "Acquisition, Construction, and Improvements" for necessary expenses related to the consequences of 2008 natural disasters and flooding, \$300,000,000, to remain available until expended: *Provided*, That notwithstanding the transfer limitation contained in section 503 of division E of Public Law 110–161, such funding may be transferred to other Coast Guard appropriations after notification as required in accordance with such section: *Provided further*, That a plan listing all facilities to be reconstructed and restored, with associated costs, shall be submitted to the Committees on Appropriations of the Senate and the House of Representatives.]

[From unobligated balances of prior year appropriations made available for Coast Guard "Acquisition, Construction, and Improvements", \$20,000,000 are rescinded: *Provided*, That no funds shall be rescinded from prior year appropriations provided for the National Security Cutter or the Maritime Patrol Aircraft: *Provided further*, That the Coast Guard shall submit notification in accordance with section 503 of this Act listing projects for which funding will be rescinded.]

Explanation of Changes:

B. FY 2010 to FY 2009 Budget

**Department of Homeland Security
U. S. Coast Guard
Acquisition Construction and Improvements
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actual¹	746	636	1,111,210
2009 Enacted	793	685	1,474,576
Adjustments-to-Base			
Total Adjustments-to-Base	-	-	-
2010 Current Services	793	685	1,474,576
Program Changes			
Program Increases/(Decreases)			
Vessels and Critical Infrastructure	-	-	(10,000)
Integrated Deepwater Systems	-	-	37,486
Other Equipment	-	-	30,326
Shore Facilities and Aids to Navigation	-	-	(58,000)
DHS Headquarters	-	-	(97,578)
Personnel Related Support	100	50	7,170
Total Program Changes	100	50	(90,596)
2010 Request	893	735	1,383,980
2009 to 2010 Total Change	100	50	(90,596)

¹ FY 2008 actual amount does not include \$300.000 million supplemental funding.

C. Summary of Requirements
FY 2010-2014 Five Year Capital Investment Plan (CIP)
Acquisition, Construction & Improvement

(Thousands of dollars, budget year dollars)	FY09 Enacted	FY 2010	FY 2011	FY 2012	FY 2013	FY2014
Vessels and Critical Infrastructure Projects	\$113,000	\$103,000				
Survey and Design - Vessel and Boats	\$0	\$0				
Inland Rivertender - Survey and Design	\$5,000	\$0				
Response Boat - Medium (RB-M)	\$108,000	\$103,000				
Heartland Waterway Vessel	\$0	\$0				
Integrated Deepwater Systems	\$1,033,994	\$1,051,480				
<i>Aircraft</i>	\$244,550	\$305,500				
Maritime Patrol Aircraft (MPA)	\$86,600	\$175,000				
HH-60 Conversion Projects	\$52,700	\$45,900				
HH-65 Conversion/Sustainment Projects	\$64,500	\$38,000				
HC-130H Conversion/Sustainment Projects	\$24,500	\$45,300				
HC-130J Fleet Introduction	\$13,250	\$1,300				
Unmanned Aircraft System (UAS)	\$3,000	\$0				
<i>Surface</i>	\$571,003	\$591,380				
National Security Cutter (NSC)	\$353,700	\$281,480				
Offshore Patrol Cutter (OPC)	\$3,003	\$9,800				
Fast Response Cutter (FRC)	\$115,300	\$243,000				
IDS Small Boats	\$2,400	\$3,000				
Medium Endurance Cutter Sustainment	\$35,500	\$31,100				
Patrol Boats Sustainment	\$30,800	\$23,000				
Polar Icebreaker Sustainment *	\$30,300	\$0				
<i>Other</i>	\$218,441	\$154,600				
Government Program Management	\$58,000	\$45,000				
Systems Engineering and Integration	\$33,141	\$35,000				
C4ISR	\$88,100	\$35,000				
Deepwater Logistics	\$37,700	\$37,700				
Technology Obsolescence Prevention	\$1,500	\$1,900				
Other Equipment	\$89,174	\$119,500				
Nationwide Automatic Identification System (NAIS)	\$8,600	\$0				
Rescue 21	\$73,000	\$117,000				
High Frequency (HF) Modernization and Recapitalization	\$2,500	\$2,500				
Interagency Operations Centers (Command 21)	\$1,000	\$0				
Defense Messaging System Implementation on Ships	\$4,074	\$0				
Shore Facilities and Aids to Navigation	\$68,000	\$10,000				
Survey and Design - Shore Operational & Support Projects		\$6,000				
Waterways ATON Infrastructure		\$4,000				
DHS Headquarters	\$97,578					
Coast Guard / DHS Headquarters	\$97,578					
Personnel and Related Support	\$92,830	\$100,000				
AC&I Core	\$500	\$500				
Direct Personnel Costs	\$92,330	\$99,500				
TOTAL	\$1,494,576	\$1,383,980				
Rescission of Prior Year Funding	\$20,000					
Adjusted Total after Rescissions	\$1,474,576					

Outyear funding levels will be provided once the Department has finalized its Future Year Homeland Security Program (FYHSP).

* Polar Icebreaker Sustainment is not a Deepwater program but is displayed to align with the FY 2009 Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, P.L. 110-329

D. Summary of Reimbursable Resources

Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction and Improvements
 Summary of Reimbursable Resources
 (Dollars in Thousands)

Collections by Source	FY 2008 Actual		2009 Revised Estimate		2010 Estimate		Increase/Decrease	
	Pos.	FTE Amount	Pos.	FTE Amount	Pos.	FTE Amount	Pos.	FTE Amount
Department of Homeland Security	-	23,265	-	2,572	-	-	-	(2,572)
Department of Justice	-	-	-	-	-	-	-	-
Cal Transportation (CALTRANS) YBI Project	-	265	-	200	-	-	-	(200)
National Park Service (Boston Light)	-	1,649	-	-	-	-	-	-
Department of Navy	-	2,494	-	770	-	-	-	(770)
Federal Aviation Administration	-	1,154	-	-	-	-	-	-
Total Budgetary Resources	-	28,827	-	3,542	-	-	-	(3,542)

Obligations by Program/Project Activity	FY 2008 Actual		2009 Revised Estimate		2010 Estimate		Increase/Decrease	
	Pos.	FTE Amount	Pos.	FTE Amount	Pos.	FTE Amount	Pos.	FTE Amount
DON-SSBN-87 CPB	-	1,361	-	770	-	-	-	(770)
FAA - LORAN-C	-	1,154	-	-	-	-	-	-
DHS - Plum Island	-	1,351	-	650	-	-	-	(650)
DOJ - Seahawk	-	-	-	-	-	-	-	-
National Park Service (Boston Light)	-	1,431	-	-	-	-	-	-
DHS - Nebraska Avenue Complex (NAC)	-	23,265	-	1,922	-	-	-	(1,922)
Cal Transportation (CALTRANS) YBI Project	-	265	-	200	-	-	-	(200)
Total Obligations	-	28,827	-	3,542	-	-	-	(3,542)

E. Summary of Requirements by Object Class

**Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction & Improvements
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2008 Actual	FY 2009 Enacted	FY 2010 Estimate	2009-2010 Change
11.1 Full-time permanent	30,170	33,817	40,658	6,841
11.3 Other than full-time permanent	42	47	323	276
11.5 Other personnel compensation	638	715	787	72
11.7 Military personnel	29,449	33,412	34,436	1,024
11.8 Special service pay	-	-	-	-
12.1 Civilian personnel benefits	7,614	8,534	10,263	1,729
12.2 Military personnel benefits	1,950	2,212	2,280	68
13.0 Benefits-former	-	-	-	-
Total, Personnel Comp. & Benefits	\$ 69,863	\$ 78,737	\$ 88,747	\$ 10,010
Other Objects Classes:				
21.0 Travel	11,261	19,063	14,006	(5,057)
22.0 Transportation of things	1,825	3,089	2,270	(819)
23.1 GSA rent	-	-	-	-
23.2 Other rent	2,840	4,808	3,532	(1,275)
23.3 Communication, utilities, and misc charges	2,644	4,476	3,289	(1,187)
24.0 Printing and reproduction	-	-	-	-
25.1 Advisory and assistance services	278,340	471,183	346,201	(124,982)
25.2 Other services	234,480	396,936	291,647	(105,288)
25.3 Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4 Operation & maintenance of facilities	-	-	-	-
25.5 Research and development	412	697	512	(185)
25.6 Medical care	-	-	-	-
25.7 Operation and maintenance of equipment	-	-	-	-
25.8 Subsistence and support of persons	4	7	0	(6)
26.0 Supplies and materials	132,356	224,057	164,625	(59,432)
31.0 Equipment	244,104	413,227	303,623	(109,605)
32.0 Land and structures	133,081	225,284	165,527	(59,757)
41.0 Grants, subsidies and contributions	-	-	-	-
42.0 Insurance claims and indemnity	-	-	-	-
Total, Other Object Classes	\$ 1,041,347	\$ 1,762,827	\$ 1,295,233	\$ (467,594)
Total Direct Obligations	\$ 1,111,210	\$ 1,841,564	\$ 1,383,980	\$ (457,583)
Unobligated balance, start of year	(823,979)	(1,007,741)	(738,754)	268,987
Unobligated balance, end of year	1,007,741	738,754	738,754	-
Total Requirements	\$ 1,294,972	\$ 1,572,576	\$ 1,383,980	\$ (188,596)

Note 1: Total direct obligations does not include advances and reimbursements.

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction and Improvements - Military
Permanent Positions by Grade**

Grade	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
	Pos.	Pos.	Pos.	Pos.
O-10	-	-	-	-
O-9	-	-	-	-
O-8	2	2	2	-
O-7	-	-	-	-
O-6	17	18	20	2
O-5	38	41	48	7
O-4	77	78	85	7
O-3	88	92	101	9
O-2	3	5	5	-
O-1	-	-	-	-
CWO	47	56	64	8
Cadet/OC	-	-	-	-
E-10	-	-	-	-
E-9	4	3	3	-
E-8	6	9	13	4
E-7	31	37	42	5
E-6	25	23	28	5
E-5	5	8	9	1
E-4	4	5	5	-
E-3	-	-	-	-
E-2	-	-	-	-
E-1	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
Total Permanent Positions	347	377	425	48
Unfilled Positions EOY	38	28	28	-
Total Perm. Employment EOY	309	349	397	48
FTE*	324	343	367	24
Headquarters	211	180	228	48
U.S. Field	136	197	197	-
Foreign Field	-	-	-	-
Total Permanent Positions	347	377	425	48
<u>Position Data:</u>				
Average Salary, Officer Positions**	\$106,443.94	\$114,080.36	\$119,592.09	\$5,511.73
Average Grade, Officer Positions	3.65	3.61	3.61	0.00
Average Salary, Enlisted Positions**	\$68,371.43	\$74,767.31	\$79,686.46	\$4,919.15
Average Grade, Enlisted Positions	6.56	6.54	6.58	0.04

*The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year. 168 FTE/FTP Public Health Service (PHS) officers were removed from this presentation to properly document the arrangement per OMB A-11 Section 85.7; Department of Health and Human Services (HHS) is the servicing account in the reimburseable FTE arrangement with the Coast Guard.

**The military pay and allowances averages include the costs associated with all pay and allowances paid to a particular paygrade, including: Basic Pay, Basic Allowance for Housing, Basic Allowance for Subsistence, Federal Insurance Contributions, Incentive/Special Pays, Clothing Allowances, Cost-of-Living Allowances and Selective Re-enlistment Bonus payments. The term "Officer" includes Chief Warrant Officers, Cadets and Officer Candidates.

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction and Improvements - Civilian
Permanent Positions by Grade**

Grade	2008	2009	2010	2009 - 2010
	Actual Pos.	Enacted Pos.	Request Pos.	Change Pos.
Total, SES	1	-	-	-
Total, EX	-	-	-	-
GS-15	34	29	32	3
GS-14	119	109	121	12
GS-13	161	189	214	25
GS-12	47	51	61	10
GS-11	13	13	14	1
GS-10	1	2	2	-
GS-9	4	4	4	-
GS-8	9	9	9	-
GS-7	4	4	4	-
GS-6	4	4	4	-
GS-5	2	2	3	1
GS-4	-	-	-	-
GS-3	-	-	-	-
GS-2	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
Total Permanent Positions	399	416	468	52
Unfilled Positions EOY	57	38	38	-
Total Perm. Employment (Filled Positions) EOY	342	378	430	52
FTE	312	342	368	26
Headquarters	267	278	330	52
U.S. Field	132	138	138	-
Foreign Field	-	-	-	-
Total Permanent Positions	399	416	468	52
<u>Position Data:</u>				
Average Personnel Costs, ES Positions	\$201,400.00	\$0.00	\$0.00	\$ -
Average Personnel Costs, GS Positions	\$122,947.24	\$123,795.43	\$128,583.12	\$ 4,788
Average Grade, GS Positions	12.95	12.89	12.90	0.01

The average personnel costs shown above include basic/locality pay, lump sum payments, awards, overtime, benefits such as retirement, health care and life insurance, and other compensation such as holiday, Sunday, hazardous duty, reemployment annuitant and severance pays, night differential, non foreign Cost-of-Living Allowance, premium compensation for firefighters. Civilian FTP is presented as a count of full time positions, vice full time employees.

G. Capital Investment and Construction Initiative Listing

FY 2010 Capital Investment Budget Sheets U. S. Coast Guard Line Item Summary (Dollars in thousands)

Capital Investment Project	C-Stage Request	Page Numbers
I. Vessels & Critical Infrastructure		
1. Response Boat - Medium (RB-M)	103,000	24-28
Subtotal - Vessels.....	103,000	
 III. Deepwater New Asset Acquisition Project		
A. Aircraft		
1. HC-144 Maritime Patrol Aircraft (MPA)	175,000	29-34
2. HH-60 Conversion and Sustainment Projects	45,900	35-40
3. HH-65 Conversion and Sustainment Projects	38,000	41-45
4. HC-130H Conversion and Sustainment Projects	45,300	46-50
5. HC-130J Missionization	1,300	51-55
B. Surface		
1. National Security Cutter (NSC)	281,480	56-62
2. Offshore Patrol Cutter (OPC)	9,800	63-68
3. Fast Response Cutter (FRC)	243,000	69-73
4. IDS Small Boats	3,000	74-77
5. Medium Endurance Cutter Sustainment	31,100	78-81
6. Patrol Boat Sustainment	23,000	82-85
C. Other		
1. Government Program Management	45,000	86-90
2. Systems Engineering and Integration	35,000	91-94
3. C4ISR	35,000	95-100
4. Deepwater Logistics	37,700	101-109
5. Technology Obsolescence Prevention (TOP)	1,900	110-112
Subtotal - Deepwater Project.....	1,051,480	
 IV. Other Equipment		
1. Rescue 21	117,000	113-117
2. High Frequency (HF) Modernization and Recapitalization	2,500	118-120
Subtotal - Other Equipment.....	119,500	

FY 2010 Capital Investment Budget Sheets
U. S. Coast Guard Line Item Summary
(Dollars in thousands)

Capital Investment Project	C-Stage Request	Page Numbers
V. Shore Facilities & Aids to Navigation		
1. Survey and Design - Shore Operational and Support Projects	6,000	121-122
2. Waterways ATON Infrastructure	4,000	123-125
Subtotal - Shore Facilities & Aids to Navigation Facilities.....	10,000	
VI. Personnel Related Support		
1. AC&I Core	500	126-127
2. Direct Personnel Costs	99,500	128-129
Subtotal - Personnel & Related Support.....	100,000	
Summary Capital Investments		
Total Non-IT Initiatives (all projects over \$5 million).....	1,383,980	
Total IT Initiatives.....		
Total FY 2010 C-Stage Request:	1,383,980	

**U. S. Coast Guard Justification
Acquisition, Construction & Improvements
FY 2010 Congressional Budget Submission
(Dollars in Thousands)**

Response Boat - Medium (RB-M)

\$103,000

Project Description, Justification and Scope

This funding supports logistics development and places 30 production boats on order.

In total, the Response Boat - Medium (RB-M) project will procure 180 new small boats to replace the aging 41-foot Utility Boats (UTB) (and other large non-standard boats) with assets more capable of meeting the Coast Guard's multi-mission operational requirements, including Search and Rescue; Marine Safety; Marine Environmental Protection; Living Marine Resources; Ports, Waterways, and Coastal Security; and Defense Readiness.



The legacy 41' UTB, built by the Coast Guard from 1973 to 1980, is a key asset for multi-mission, station-based Coast Guard operations within coastal zones. The 41' UTB entered service in 1973, replacing the 40' UTB that began service in 1951. Although designed specifically for Search and Rescue (SAR) missions, the 41' UTBs have been employed as multi-mission assets. Now at the end of their service lives, the 41' UTBs are experiencing rising maintenance costs and declining readiness levels resulting in loss of mission performance and effectiveness.

Coast Guard missions have changed markedly since the 41' UTB was built, especially since the tragic events of September 11, 2001. The RB-M offers a number of opportunities for improvements over the existing fleet of 41' UTBs and other non-standard boats in performance, crew efficiency and operational availability. Program requirements and extensive field commander input indicate a need for an RB-M that is substantially faster than the 41' UTB to support new homeland security operations (i.e. 40+ knots vs. 26 knots). Such capability will also improve multi-mission effectiveness for Search and Rescue, Undocumented Migrant Interdiction, Illegal Drug Interdiction, Other Law Enforcement, Ports, Waterways, and Coastal Security (PWCS) and Defense Readiness missions.

Integrated navigation and sensors, compliant with modern international radio-telephone standards provide the RB-M better search capability that further improves mission effectiveness. Interoperability of the RB-M with Rescue 21 equipment enhances overall command and control as well as crew safety in coastal zones. Moreover, crew efficiency will be improved in a number of areas relating to human factors and engineering. For example,

- Self righting capability provides improved survivability in heavy weather
- Self-fendering allows more efficient boarding and towing operations
- Improved survivor recovery arrangement improves crew effectiveness
- Secure seating for each crewmember in an environmentally controlled cabin enables greater mission endurance with less crew fatigue

Methods to achieve the above include emphasizing the ability to maintain and replace RB-M components quickly and providing improved depot level maintenance support. Further efficiencies are gained by providing maintenance relief vessels to substitute for station boats during major maintenance

Response Boat - Medium (RB-M)

\$103,000

and casualty repairs. The RB-M is also being built to dimensions that will allow for commercial overland transportation to support deployed surge operations, and technical data will be formatted to support the ongoing organizational logistics transformation.

The RB-M Acquisition Strategy is two-phased: Phase I - full and open competitive Request For Proposal (RFP), selected three contractors to build test boats, followed by developmental testing and evaluation to validate RB-M requirements. Phase II - competitive RFP limited to the three Phase I contractors for production and logistics support for approximately 180 boats that meet the Coast Guard's multi-mission requirements.

The RFP for the test boats was released August 9, 2002 and contracts for three test boats were awarded on May 2, 2003. The test boats were delivered October 29, 2003. The Coast Guard conducted extensive in-water developmental testing and evaluation after accepting the Phase I test boats. Personnel from Coast Guard multi-mission stations who operate and maintain small boats on a daily basis participated in the in-water testing. The Naval Surface Warfare Center Carderock Division – Combatant Craft Department – conducted the technical analysis of the data gathered from the acceptance, performance, mission effectiveness and supportability testing. The evaluation results were used to validate government requirements and verify industry's ability to meet those requirements using non-developmental state of the market technology at a reasonable price. Select portions of the Phase I test results were also furnished to the Phase I contractors for additional research and development, and for use in developing their Phase II proposals.

CONTRACTOR

On June 21, 2006, the Response Boat – Medium (RB-M) contract for the second procurement phase for design, construction, outfit and delivery of the RB-M system, was awarded to Marinette Marine Corporation (MMC) of Marinette, Wisconsin. Marinette Marine's primary subcontractor for design and construction of the initial RB-Ms is Kvichak Marine Industries (KMI) in Kent, Washington. When in full production RB-Ms will be delivered from both the MMC Green Bay, Wisconsin facility and the Kvichak Marine Kent, Washington facility.

KEY EVENTS

Significant accomplishments in FY 2008 include:

- Ordered 18 RB-Ms (hulls #13-30)
- Received first three RB-Ms that were ordered Q4 FY 2006 with prior funding
- Commenced Operational Test and Evaluation (OT&E) on the first three RB-Ms
- Opened second production facility in Green Bay, Wisconsin supporting establishment of production capacity to meet a production rate of 30 boats per year by the end of FY2010

FY 2009 planned accomplishments include:

- Order 36 RB-Ms (hulls #31-66)
- Receive additional 10 RB-Ms ordered with prior funding and support for a total of 13 delivered RB-Ms
- Receive the first RB-M from the second production facility in Green Bay in Q4 FY 2009

Response Boat - Medium (RB-M)

\$103,000

- Continue Operational Test and Evaluation (OT&E) focused on the first six RB-Ms purchased with prior funding
- Develop and field logistics system elements deferred in prior years to support placing sufficient boat orders to initiate the contractor opening the second production facility

FY 2010 planned accomplishments include:

- Order 30 RB-Ms (hulls #67- 96)
- Receive additional 15 RB-Ms ordered with prior year funding and support of a total of 28 delivered RB-Ms
- Complete OT&E, enter full production, and attain Initial Operating Capability with delivery of the first RB-M following a full production decision
- Reach a full production rate of 30 boats per year by the end of the fiscal year

Significant Changes

The FY 2008 appropriation supported ordering 18 RB-Ms bringing the total number of boats on order to 30. This order provided the incentive for the contractor to expand production capacity by opening a second production facility in Green Bay, Wisconsin to complement the production capacity established at the sub-contractor’s facility in Kent, Washington. Opening the Green Bay facility in FY 2008 supports reaching a full production capacity of 30 boats per year by the end of FY 2010 and allows the planned 180 RB-Ms to be placed on order prior to the contract expiration in FY 2014.

With delivery of the first six RB-Ms in FYs 2008 and 2009 the boats needed to complete OT&E have been acquired. OT&E will continue throughout FY 2009 with targeted completion in Q1 FY 2010. Units identified to receive the first six RB-Ms were selected to provide the most diverse operational and environmental conditions possible to ensure OT&E was representative of all conditions the RB-M would encounter once fully deployed. Subsequent delivery locations will be established based on demonstrated performance of the RB-M during OT&E. The first twelve RB-Ms have or will be delivered to the following stations:

Delivery Date	Hull#	Location	Status
Apr 2008	45601	Station Little Creek, Virginia	Delivered
Aug 2008	45602	Station Cape Disappointment, Washington	Delivered
Sep 2008	45603	Station Key West, Florida	Delivered
Oct 2008	45604	Station Milwaukee, Wisconsin	Delivered
Dec 2008	45605	Station New York, New York	Delivered
Jan 2009	45606	Station Port Aransas, Texas	Delivered
Feb 2009	45607	Boat Forces Center, Yorktown, Virginia	Delivered
Mar 2009	45608	Station Boston, Massachusetts	Delivered
May 2009	45609	Station San Juan, Puerto Rico	
Jul 2009	45610	Station New York, New York	
Jul 2009	45611	Station Port Aransas, Texas	
Aug 2009	45612	Station New York, New York	
Sep 2009	45613	TBD	

U. S. Coast Guard - FY 2010 Congressional Budget Submission

Response Boat - Medium (RB-M)

\$103,000

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				<u>Total Estimate Cost</u>
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2009					
Continue LRIP			FY06:Q4	FY09:Q4	107,000
Continue OT&E			FY08:Q3	FY09:Q4	1,000
FY 2010					
Continue OT&E			FY08:Q2	FY10:Q1	500
Commence Full Production			FY10:Q1	FY15:Q4	102,500

Schedule of Project Funding

	Project Funds				<u>Total</u>
	<u>FY 2007 & Prior</u>	<u>FY 2008</u>	<u>FY 2009</u>	<u>FY 2010</u>	
Appropriation	82,413	45,000	108,000	103,000	338,413
Obligation	74,003	48,184	105,672	102,431	330,290
Expenditure	28,686	22,666	54,023	79,749	185,124
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	19,690	18,166	43,055	67,078	147,989
Project Management	5,840	4,429	10,832	12,500	33,601
Test & Evaluation	3,156	71	136	171	3,534

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2010 Cost Estimate</u>
<u>Construction / Acquisition</u>	
RBMs (30)	57,430
OT&E identified full production modifications	11,436
Logistics element development and fielding	8,448
Curriculum/training aide development	6,000
<u>Project Management</u>	
Project Management (Government)	13,250
Project Management (Contractor)	6,265
<u>Other Costs</u>	
Test and Evaluation	171
FY 2010 Cost Estimate Project Total:	103,000

Method of Performance

The RB-M Project Management Team is committed to using an Earned Value Management System (EVMS) that meets ANSI/EIA Standard 748. During the Capability Development and Demonstration Phase of the acquisition process an earned value management framework was implemented for effective project management and controls. The RB-M Project is applying the lessons learned from other agency acquisition programs and using those insights in managing the cost, schedule, and technical performance

U. S. Coast Guard - FY 2010 Congressional Budget Submission

Response Boat - Medium (RB-M)

\$103,000

during the project life cycle. The RB-M Project has hired Booz Allen Hamilton to provide earned value consulting expertise. Working with Booz Allen Hamilton, the RB-M Project has implemented ANSI 748-A compliant earned value requirements incorporating earned value management.

The Project also requires Integrated Baseline Reviews (IBR). The first IBR was held jointly with the contractor in November 2006 to provide a mutual understanding of risks inherent in contractors' performance plans and underlying management control systems. Subsequent IBR's are held after each delivery order is placed. The IBR provides a forum for mutual understanding of risks inherent in contracts' performance plans and underlying management control systems. The IBR and EVMS are essential elements of the RB-M Project's risk management approach. The IBRs address the integrated master schedule (IMS), integrated master plan (IMP), and include discussions with contractor control account managers (CAM) to ensure alignment between the contractor and the Government. The most recent IBR was held in January 2009 to review and establish the production and delivery schedule for RB-Ms #13-30.

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2009</u>	<u>FY 2010</u>
Search and Rescue	23,144	22,073
Marine Safety	4,850	4,625
Aids to Navigation	1,512	1,442
Ice Operations	-	-
Marine Environmental Protection	616	587
Living Marine Resources	4,546	4,336
Drug Interdiction	1,512	1,442
Migrant Interdiction	1,512	1,442
Other Law Enforcement	-	-
Ports, Waterways & Coastal Security	69,692	66,466
Defense Readiness	616	587
Mission-Program Allocation Total:	108,000	103,000

Compliance with Public Laws, Regulations, Standards & Executive Orders

Programmatic Environmental Assessment (PEA) conducted with Finding of No Significant Impact (FONSI) dated March 18, 2003.

**U. S. Coast Guard Justification
Acquisition, Construction & Improvements
FY 2010 Congressional Budget Submission
(Dollars in Thousands)**

HC-144 Maritime Patrol Aircraft (MPA)

\$175,000

Project Description, Justification and Scope

This request funds two (2) Maritime Patrol Aircraft (MPA) HC-144As, #13 & #14, three (3) Mission System Pallets (MSP), one (1) Aircraft Flight Simulator for training, and initial sparring, repair parts and associated infrastructure. These funds will address the Coast Guard's MPA flight hour gap by providing 2,400 additional MPA hours every year.

CAPABILITY ACQUIRED/MAINTAINED:

The HC-144A will be equipped with communication, navigation and surveillance systems allowing the aircraft to operate worldwide within the range of its performance parameters, in civilian and military airspace, in support of its Congressionally-mandated missions.



Purchased in compliance with the Buy American Act, the HC-144A is the perfect complement for the Coast Guard fleet of long-range, heavy-lift HC-130 aircraft. Its high-efficiency turbo prop design allows extended surveillance and quick response capability. The sophisticated surface search radar can detect targets of interest from over 100 miles away. Once closer to the target of interest, the Infrared/Electro-Optical (IR/EO) sensor can further classify and identify it in virtually all weather conditions, allowing the Coast Guard to quickly locate high interest vessels and mariners in distress.

The state-of-the-art cockpit design provides pilots with superior situational awareness, reduced workload and increased safety, allowing them to better concentrate on the mission. Human factors engineering is also evident in the mission system pallet that controls the tactical workstation. Systems operators can collect, compile, and transfer vital information in real time to operational commanders on ship or on shore hundreds of miles from the aircraft. Satellite radios provide for clear and uninterrupted voice and data exchange, and advanced electronic support measures that can automatically detect friendly/unknown vessels and their 'fingerprints' add another layer of defense to the homeland security mission.

The HC-144A also provides great mission flexibility. The hydraulically-operated rear ramp allows for easy roll-on/roll-off provisions. This quick-change feature allows ground crews to re-configure the aircraft from maritime patrol to medical evacuation to passenger/freight transport. Its medium size and high-lift wing design allow take-off and landing on short, unpaved landing areas, further enhancing the Coast Guard's abilities to aid first responders in all types of national, state and local emergencies.

HC-144 Maritime Patrol Aircraft (MPA)

\$175,000

PERFORMANCE:

The HC-144A is a transport and surveillance, fixed-wing aircraft that will be used to perform Search and Rescue (SAR) missions, enforce laws and treaties, including illegal drug interdiction, marine environmental protection, military readiness, homeland security and International Ice Patrol missions, as well as cargo and personnel transport. It can perform aerial delivery of SAR equipment, such as rafts, pumps, and flares, and can be used as an On-Scene Commander platform. As the medium-range maritime patrol aircraft, the Ocean Sentry delivers maritime domain awareness essential to achieving mission success in the following Congressionally-mandated missions:

MARITIME SAFETY:

- Search and Rescue (SAR) – The Ocean Sentry will be outfitted with a capable C4ISR suite that includes a multi-mode surface and air search radar (MMR), Electro Optical (EO) device, and an Infrared (IR) sensor to find and observe a wide range of targets. The aircraft will have a line-of-bearing indicator and distress call monitoring on various distress frequencies. It will also be equipped with search windows and the crew will be outfitted with night vision devices to further enhance their ability to detect, classify, and identify targets. With a rear cargo loading ramp that can be opened in-flight, the Ocean Sentry is capable of aerial delivery of equipment (i.e. life rafts, communications kits, and de-watering pumps) and personnel. With an endurance of 10.7 hours, the Ocean Sentry can also serve as an On-Scene Commander platform, guiding and assisting rotary wing assets.
- Marine Safety – International Ice Patrol (IIP) – Although the Ocean Sentry does not have the extended range of the C-130 aircraft, it can remain airborne for over 10 hours, and, utilizing the same sensors described above, will be able to detect and relay the location of icebergs in support of the IIP mission.

MARITIME SECURITY:

- Undocumented Migrant Interdiction Operations (MIO) – The C4ISR suite, including the same sensors described in the SAR mission, will be employed to provide surveillance, detection, classification and identification in the undocumented MIO mission. With multiple communications, including UHF/VHF, HF, and INMARSAT, the Ocean Sentry will be able to share important information with other operational units and command centers. This information will contribute to a Common Tactical Picture (CTP) and Common Operating Picture (COP) through a networked Command and Control (C2) system that provides for data sharing via INMARSAT.
- Illegal Drug Interdiction (DRUG) – The same sensors and communications equipment that will support undocumented MIO will also be utilized to support the DRUG mission. Through effective use of the CTP/COP, the Ocean Sentry will be able to direct Coast Guard surface assets to intercept and prosecute suspect vessels.
- Other Law Enforcement (OLE) – The use of all sensors and communications equipment will be utilized for the OLE mission. Sharing information and data through the use of the C2 system and the CTP/COP will result in increased maritime domain awareness.

PROTECTION OF NATURAL RESOURCES:

- Marine Environmental Protection (MEP) – Maritime Pollution Enforcement and Response – In conjunction with visual surveillance, the Ocean Sentry C4ISR suite will be employed to monitor and map oil-covered water surfaces. The MMR can detect differences in backscatter between water and oil-

U. S. Coast Guard - FY 2010 Congressional Budget Submission

HC-144 Maritime Patrol Aircraft (MPA)

\$175,000

covered water due to the dampening effects of oil on small wind-generated waves, while the EO/IR sensor can detect the small temperature variation between clear and oil-covered water. The COP provides the capability to navigate to previously-marked pollution areas and update them based on current C4ISR and visual indications.

- MEP – Lightering Zone Enforcement (LZE) – Similarly, LZE is not a primary mission for the Ocean Sentry, but it is capable of monitoring Lightering Zones for oil and other hazardous chemical discharges.

- Living Marine Resources Enforcement (LMR) – The Ocean Sentry will employ all sensors (MMR, EO, and IR) to provide surveillance of protected and/or closed offshore areas and ensure the protection of LMR. In addition to the sensors and communications capabilities already described, the Ocean Sentry will also be equipped with an Automatic Identification System (AIS) to monitor surface vessels. The AIS information collected will include the ship’s name, position, course, and speed. The use of AIS will make the job of vessel identification more efficient, permitting the Ocean Sentry to remain at altitude instead of having to make a low pass to visually identify a vessel.

NATIONAL DEFENSE:

- Defense Readiness - The Ocean Sentry plays a minimal role in national defense missions but can provide support through surveillance and transport roles to the following areas:

- Port Operations, Security, and Defense (POSD)
- General Defense Operations (GDO)
- Peacetime Military Engagement (PME)
- Maritime Intercept Operations (MIO)
- Environmental Defense Operations (EDO)

OTHER:

- Non-IDS Aviation Demand (NDAD) – The Ocean Sentry supports NDAD primarily in a logistics transport role.

COST ESTIMATE OF WORK TO BE FUNDED THIS FISCAL YEAR 2010:

ITEM	QUANTITY	TOTAL (\$K)
MPA Aircraft #13 and #14 – Production	2	\$77,300
Mission System Pallets (MSP)	3	\$22,100
Flight Simulator	1	\$36,500
Logistics / Initial Spares - Repair Parts	Lot	\$34,600
Program Management & System Engineering	Lot	\$4,500
	Total	\$175,000

FUNDING HISTORY

	FY	TOTAL (\$K)
Conceptual Development/Design	2002	\$12,538
Procured MPA #1 and #2; three MSP	2003	\$141,443
Procured MPA #3	2004	\$24,853
Procured Initial Spares MPA #1 – #3	2005	\$5,250
Procured MPA # 4 and #5, Initial Spares	2006	\$67,320

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HC-144 Maritime Patrol Aircraft (MPA) \$175,000

Procured MPA # 6 - #8; Initial Spares	2007	\$148,616
Procure MPA #9 – 11; nine MSP	2008	\$170,016
Procure MPA #12: Initial Spares	2009	\$86,600
	Total	\$656,636

Funding history is the available funding for this item based on past appropriations, rescissions, and other changes.

CONTRACTOR:

Integrated Coast Guard System (ICGS), Washington, DC

Type of Contract: Indefinite Delivery, Indefinite Quantity with award terms

Contract options: 5-year base completed June 2007 with 43-month subsequent award term period through January 2011

SUBCONTRACTORS:

Airframe: EADS CASA (Madrid, Spain)
 Avionics: Rockwell Collins (Cedar Rapids, IA)
 Power Plant: General Electric CT7-9C3 engine (Lynn, MA)
 Propulsion: Hamilton Sundstrand 14RF-37 (Windsor Locks, CT)
 Sensors: Telephonics APS-143V3 Multi-Mode RADAR (Farmingdale, NY)
 FLIR Systems Star Sapphire III (Portland, OR)
 EDO ALR-95 (Morgan Hill, CA)
 Mission System: Lockheed Martin (Egan, MN)
 Communications: Wulfsberg RT50000 (Prescott, AZ)
 Miscellaneous: CG Maritime Patrol Aircraft Conversion, ARSC (Elizabeth City, NC)
 Mission System Integration: ARINC (Annapolis, MD)
 Mission System Operator
 Training and Maintenance: ProSoft (Phoenix, AZ)

KEY EVENT:	FY
MPA 1-3 Delivery	2007
MPA 4-5 Delivery	2008
MPA Initial Operating Capability (IOC)	2009
MPA 6-8 Delivery	2009
MPA 9-11 Delivery	2010/11
MPA 12 Delivery	2011
MPA 13 & 14 Delivery	2012
Flight Simulator Delivery	2012
MPA 15-18 Delivery	2013

Significant Changes

The procurement of one (1) MPA flight simulator has been added to the project requirements for FY 2010, resulting in a decrease of one aircraft in the initial Program quantity of MPA. This change to the MPA spend plan accelerates the establishment of the flight simulator, minimizing the Coast Guard's

U. S. Coast Guard - FY 2010 Congressional Budget Submission

HC-144 Maritime Patrol Aircraft (MPA)

\$175,000

dependence on operational aircraft for training, which will yield increased MPA operational hours and improved pilot training.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2009					
Maritime Patrol Aircraft			FY09:Q2	FY11:Q3	86,600
<hr/>					
FY 2010					
Maritime Patrol Aircraft			FY10:Q2	FY13:Q1	175,000

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2007 & Prior</u>	<u>FY 2008</u>	<u>FY 2009</u>	<u>FY 2010</u>	
Appropriation	400,020	170,016	86,600	175,000	831,636
Obligation	400,020	170,016	86,600	175,000	831,636
Expenditure	345,094	19,287	21,650	43,750	429,781
<hr/>					
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	345,094	19,287	21,650	43,750	429,781

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2010 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Maritime Patrol Aircraft (MPA) (2)	77,300
Mission System Pallet (MSP) (3)	22,100
Flight Simulator (1)	36,500
Aircraft and MSP Logistics and Spare Parts	34,600
Program Management and System Engineering	4,500
FY 2010 Cost Estimate Project Total:	175,000

Method of Performance

Per Section 1.H.1 of Deepwater Exhibit 300, "Description of Performance Based Management System", an Earned Value Management System (EVMS) is used for the system integrator contract work under each of the Delivery Task Orders (DTOs). The Dekker Trakker software program, which meets ANSI/EIA Standard 748, is employed by Deepwater to resource load schedules, track progress and record expenses. Moreover, Dekker iPursuit is also used to view monthly Cost Performance Reports. The iPursuit program also allows for extensive insight into the data used to generate Cost Performance reports. For example, it can provide a breakdown of cost and schedule variances by Work Breakdown Structure (WBS).

U. S. Coast Guard - FY 2010 Congressional Budget Submission

HC-144 Maritime Patrol Aircraft (MPA)

\$175,000

Budget Allocation to Mission-Program

U. S. Coast Guard Mission-Program	Budget Allocation	
	FY 2009	FY 2010
Search and Rescue	23,434	47,355
Marine Safety	-	-
Aids to Navigation	58	117
Ice Operations	-	-
Marine Environmental Protection	782	1,580
Living Marine Resources	19,113	38,623
Drug Interdiction	22,131	44,722
Migrant Interdiction	13,598	27,479
Other Law Enforcement	145	293
Ports, Waterways & Coastal Security	5,504	11,122
Defense Readiness	1,835	3,709
Mission-Program Allocation Total:	86,600	175,000

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard Justification
Acquisition, Construction & Improvements
FY 2010 Congressional Budget Submission
(Dollars in Thousands)**

HH-60 Conversion and Sustainment Projects

\$45,900

Project Description, Justification and Scope

This request continues to fund multiple conversion and sustainment projects for the Coast Guard's fleet of 42 HH-60J Jayhawk, Medium Range Recovery (MRR) helicopters. Project descriptions are as follows:



1. HH-60T Avionics Upgrade – Funds replacement/modernization of obsolete HH-60J avionics suite, aircraft electrical wiring, and connectors to resolve and prevent discrepancies. Upgrades are to include five new Multi Functional Display (MFD) screens that increase pilots' situational awareness, digital radar, Traffic Collision Avoidance System (TCAS), traditional display of primary flight instruments on the Pilot's Flight Display (PFD), radar altimeter and verbal low altitude to enhance safety during night hovering, and improved Search and Rescue (SAR) software (hoist camera images).
2. HH-60J Service Life Extension Project (SLEP) (Re-Wire) – Required when each aircraft is inducted into the Programmed Depot Maintenance (PDM) cycle. It will replace legacy electrical wiring/connectors not addressed by the avionics upgrade in order to maintain structural and electrical integrity (remove Navy weapons systems wiring).
3. HH-60J Radar/ Electro Optical/Infra-Red (EO/IR) sensor – Funds replacement of the HH-60J RDR-1300 monochrome weather-search radar with a Multimode Radar (MMR) and an enhanced EO/IR sensor common to Deepwater helicopter platforms. These systems will allow for common operational picture/maritime domain awareness data exchange capabilities.
4. HH-60J Engine Sustainment – Funds a targeted standardized configuration of Auxiliary Power Units (APU) and Hydro-Mechanical Units and will address obsolescence/support issues associated with the Digital Electronic Control Unit in order to achieve an increase to the projected mean time between engine failures. Project phase also initiates a performance-based logistics support system and recapitalization of high-time engines that are beyond their economic overhaul limit.

CAPABILITY ACQUIRED/MAINTAINED:

The Sikorsky HH-60J Jayhawk is the Coast Guard's medium-range recovery helicopter. Two T700-GE-401C engines, each rated at around 1600 shaft horsepower, provide adequate power for a gross takeoff weight of 22,000 pounds. The HH-60J is very well-suited for operations in challenging weather conditions. A flight management and navigation system provides the aircrews with Global Positioning System (GPS) navigation and some auto-pilot capabilities. All-weather operation is rounded out with a weather radar and an effective anti-ice system that allows cold weather operation in the Northeast U.S. and Alaska. The aircraft is also equipped with night-vision compatible displays that allow aircrews to complete missions in almost zero-light conditions.

The HH-60J is larger and more powerful than the Coast Guard's HH-65 helicopter. Because of the extended-capacity fuel tanks, the HH-60J is often called upon for SAR missions far offshore. It is capable of flying up to 300 miles offshore, staying on scene for approximately 45 minutes, picking up

HH-60 Conversion and Sustainment Projects

\$45,900

six or more survivors, and then returning to shore with adequate fuel to divert to another landing area if required. All weather flight capabilities are provided by a basic flight-management system.

A complete replacement of the HH-60J avionics system is currently underway at the Coast Guard Aviation Logistics Center (ALC), Elizabeth City, NC. Taking advantage of the U.S. Army and U.S. Navy Common Avionics Architecture System (CAAS) cockpit, the HH-60J will receive the same capabilities as U.S. Special Forces and presidential HH-60 aircraft. The CAAS cockpit will integrate state-of-the-market technology, upgrading flight-management, navigation, and automatic-pilot features. It will also increase operational availability and reduce maintenance and supply costs. Another project involves installation of an upgraded multi-mode radar and EO/IR sensors that will provide the HH-60J with a common command, control and surveillance system to integrate with the Coast Guard's Common Operating Picture (COP).

The HH-60J has provided support for national special security events. The Coast Guard has begun a project to install Airborne Use of Force (AUF) on its HH-60 helicopters. The Deepwater program will provide the funding and management to configure the entire HH-60 fleet to support armed use of force missions. Because of its power and size, the HH-60J is the ideal aircraft to provide law enforcement personnel with a platform from which they can rapidly deploy to potentially hostile vessels by rappelling down ropes from the helicopter.

PERFORMANCE:

Once converted, there will be 42 HH-60Js located within the continental United States and Alaska providing support to the following Congressionally-mandated missions:

MARITIME SAFETY:

- Search and Rescue (SAR) – The HH-60J will be outfitted with a capable C4ISR suite that includes a multi-mode surface and air search radar (MMR), and EO/IR sensor to find and observe a wide range of targets. The aircraft will have a line-of-bearing indicator and distress call monitoring on various distress frequencies. It will also be equipped with Global Positioning System (GPS) and the crew will be outfitted with night vision devices to further enhance the crew's ability to detect, classify, and identify targets.
- Marine Safety – International Ice Patrol (IIP) – Although the HH-60J does not have the extended range of a fixed-wing aircraft, utilizing the same sensors described above, it will be able to detect and relay the location of icebergs while based on a cutter in support of the important International Ice Patrol mission.

MARITIME SECURITY:

- Undocumented Migrant Interdiction Operations (MIO) – The C4ISR suite, including the same sensors described in the SAR mission, will be employed to provide surveillance, detection, classification, and identification in the undocumented MIO mission. With multiple communications, including UHF/VHF, HF, the HH-60J will be able to share important information with other operational units and command centers. This information will contribute to a Common Tactical Picture (CTP) and COP through a networked Command and Control (C2) system that provides data sharing capability.
- Illegal Drug Interdiction (DRUG) – The same sensors and communications equipment that will support undocumented MIO will also be used to support the DRUG mission. Through effective use of

HH-60 Conversion and Sustainment Projects \$45,900

the CTP/COP, the HH-60J will be able to direct Coast Guard surface assets to intercept and prosecute suspect vessels.

- Other Law Enforcement (OLE) – All sensors and communications equipment will be used for the OLE mission. Sharing information and data through the use of the C2 system and the CTP/COP will result in increased maritime domain awareness.

PROTECTION OF NATURAL RESOURCES:

- Marine Environmental Protection (MEP) – Maritime Pollution Enforcement and Response – Visual surveillance and the C4ISR suite on the HH-60J will be employed to monitor and map oil-covered water surfaces. The MMR can detect differences in backscatter between water and oil-covered water due to the dampening effects of oil on small wind-generated waves, while the EO/IR sensor can detect the small temperature variation between clear and oil-covered water. The COP provides the capability to navigate to previously-marked pollution areas and update them based on current C4ISR and visual indications.

- MEP – Lightering Zone Enforcement (LZE) – The HH-60J is capable of monitoring lightering zones for oil and other hazardous chemical discharges.

- Living Marine Resources Enforcement (LMR) – The HH-60J will employ all sensors (MMR, EO, and IR) to provide surveillance of protected and/or closed offshore areas and ensure the protection of LMR.

NATIONAL DEFENSE:

- Defense Readiness – The HH-60J plays a minimal role in national defense missions but can provide support through surveillance and transport roles to the following areas:
 - Port Operations, Security, and Defense (POSD)
 - General Defense Operations (GDO)
 - Peacetime Military Engagement (PME)
 - Maritime Intercept Operations (MIO)
 - Environmental Defense Operations (EDO)

COST ESTIMATE OF WORK TO BE FUNDED THIS FISCAL YEAR 2010:

ITEM	QUANTITY	TOTAL (\$K)
HH-60 Avionics Upgrade	8	\$29,178
HH-60 SLEP	8	\$1,300
HH-60 Radar/Electro Optical/Infra-Red sensor	8	\$13,200
HH-60 Engine Sustainment	8	\$2,222
	Total	\$45,900

FUNDING HISTORY	FY	TOTAL (\$K)
HH-60T Avionics Upgrade	2002	\$35
HH-60T Avionics Upgrade	2003	\$5,800
HH-60J SLEP (Re-Wire)	2003	\$2,000
HH-60J Radar/FLIR	2003	\$600

U. S. Coast Guard - FY 2010 Congressional Budget Submission

HH-60 Conversion and Sustainment Projects		\$45,900
HH-60T Avionics Upgrade	2004	\$10,000
HH-60T Avionics Upgrade	2005	\$15,000
HH-60T Avionics Upgrade	2006	\$24,750
HH-60J SLEP (Re-Wire)	2006	\$6,040
HH-60J Radar/ Electro Optical/Infrared sensor	2006	\$5,840
HH-60T Avionics Upgrade	2007	\$34,304
HH-60T SLEP (Re-Wire)	2007	\$3,366
HH-60T Radar/ Electro Optical/Infrared sensor	2007	\$8,316
HH-60T Engine Sustainment	2007	\$3,316
HH-60T Avionics Upgrade	2008	\$24,336
HH-60T SLEP (Re-Wire)	2008	\$6,100
HH-60T Radar/ Electro Optical/Infrared sensor	2008	\$19,100
HH-60T Engine Sustainment	2008	\$7,764
HH-60T Avionics Upgrade	2009	\$27,119
HH-60T SLEP (Re-Wire)	2009	\$2,900
HH-60T Radar/ Electro Optical/Infrared sensor	2009	\$18,900
HH-60T Engine Sustainment	2009	\$3,781
	Total	\$229,367

Funding history is the available funding for this item based on past appropriations, rescissions, and other changes.

CONTRACTOR(S):

Product Line: ALC/ Lear Siegler Services, Inc.
 Aircraft: Sikorsky, Stratford, CT
 Avionics: Rockwell Collins, Cedar Rapids, IA
 Power Plant: General Electric, Lynn, MA

KEY EVENT	FY
HH-60T Avionics Upgrade Preliminary Design	2004
HH-60T Avionics Upgrade Detail Design	2005
HH-60T Avionics Upgrade Installations Begin	2006
HH60T SLEP / Legacy Re-Wire Begin	2006
HH60T Radar / Electro-Optical Infrared Sensor Selection Begin	2007
HH60T Engine Sustainment Begin	2007
HH60T Engine Sustainment Full Production	2008
HH60T Engine Sustainment, Avionics Upgrades	2009

Significant Changes

There are no significant changes to this project.

U. S. Coast Guard - FY 2010 Congressional Budget Submission

HH-60 Conversion and Sustainment Projects

\$45,900

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2009					
HH-60T Avionics			FY09:Q1	FY10:Q2	27,119
HH-60J SLEP			FY09:Q1	FY10:Q2	2,900
HH-60 Radar/FLIR Replacement			FY09:Q1	FY10:Q2	18,900
HH-60J Engine Sustainment			FY09:Q1	FY10:Q2	3,781
<hr/>					
FY 2010					
HH-60T Avionics			FY09:Q1	FY10:Q2	29,178
HH-60J SLEP			FY09:Q1	FY10:Q2	1,300
HH-60 Radar/FLIR Replacement			FY09:Q1	FY10:Q2	13,200
HH-60J Engine Sustainment			FY09:Q1	FY10:Q2	2,222

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2007 & Prior</u>	<u>FY 2008</u>	<u>FY 2009</u>	<u>FY 2010</u>	
Appropriation	119,367	57,300	52,700	45,900	275,267
Obligation	119,367	57,300	52,700	44,000	273,367
Expenditure	101,591	12,699	13,175	11,000	138,465
<hr/>					
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	101,591	12,699	13,175	11,000	138,465

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2010 Cost Estimate</u>
<u>Construction / Acquisition</u>	
HH-60 Avionics	29,178
HH-60 SLEP	1,300
HH-60 Radar/FLIR Replacement	13,200
HH-60 Engine Sustainment	2,222
FY 2010 Cost Estimate Project Total:	45,900

Method of Performance

The method of performance metrics have changed significantly due to the shift of the Lead System Integrator (LSI) responsibility from the IDS Prime Contractor to the U.S. Coast Guard. The USCG will now manage all H60 MRR system integration issues internally. An Earned Value Management System (EVMS) is currently being developed for use at ALC. As outlined in the MRR and Avionics Program Management Plans, and until such time an EVMS is established at ALC, the Project Manager will use a mixture of monthly financial and project status reports, as well as weekly conference calls and project management staff meetings to measure project performance.

U. S. Coast Guard - FY 2010 Congressional Budget Submission

HH-60 Conversion and Sustainment Projects

\$45,900

Budget Allocation to Mission-Program

U. S. Coast Guard Mission-Program	Budget Allocation	
	FY 2009	FY 2010
Search and Rescue	16,848	14,748
Marine Safety	472	407
Aids to Navigation	3,505	3,068
Ice Operations	-	-
Marine Environmental Protection	1,482	1,296
Living Marine Resources	6,200	5,369
Drug Interdiction	11,591	10,064
Migrant Interdiction	3,369	2,911
Other Law Enforcement	270	232
Ports, Waterways & Coastal Security	8,693	7,581
Defense Readiness	270	224
Mission-Program Allocation Total:	52,700	45,900

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard Justification
Acquisition, Construction & Improvements
FY 2010 Congressional Budget Submission
(Dollars in Thousands)**

HH-65 Conversion and Sustainment Projects

\$38,000

Project Description, Justification and Scope

This request continues to fund the Phase II (Obsolete Component Modernization) and Phase III (Automatic Flight Control System and cockpit modernization, Integrated Deepwater System Capability Enhancements) conversions to the Coast Guard's current fleet of 102 HH-65



helicopters to the Multi-Mission Cutter Helicopter (MCH). The modernization effort includes a service life extension, where obsolete components are replaced with modernized and more capable sub-systems, including a new integrated cockpit and C4ISR suite.

CAPABILITY ACQUIRED/MAINTAINED:

The Eurocopter HH-65 Dolphin is the Coast Guard's short-range recovery helicopter. Under Phase I of the HH-65 conversion, 95 HH-65 "B" models were re-engined and designated HH-65C. Under the Airborne Use of Force (AUF) project, the HH-65C received upgrades to the communications sub-systems to provide interoperability with other Homeland Security Components and local response agencies. Additionally, the aircraft were configured and pre-wired to allow for the installation and removal of special AUF mission equipment (e.g., weapons, armor, EO/IR, HUD). The AUF modified aircraft are designated as MH-65C.

Phase II of the conversion builds upon the MH-65C configuration to modernize many of the aging and obsolete sub-systems and components, including the Omni-Directional Air Data System (OADS) and aircraft gyros that began with non-recurring engineering (NRE) efforts in FY 2007. Phase III of the conversion consists of a modernized all-glass Common Avionics Architecture System (CAAS) cockpit that capitalizes on commonality with the HH-60T cockpit upgrade, modernizes the aging Automatic Flight Control System (AFCS), and adds enhanced Integrated Deepwater System (IDS) capabilities, such as Common Operating Picture (COP) interface and sensor integration.

The HH-65 is primarily constructed of composite structures that provide reduced weight, increased strength and better resistance to corrosion. One of the most recognizable features of the HH-65 is its unique shrouded tail rotor, called a Fenestron. The HH-65 incorporates a sophisticated flight-management system that allows all-weather operation, precise navigation, and automatic-pilot features. If desired, the pilot can select a function that will mark a position in open water, calculate the best flight profile, and automatically fly the helicopter to a 50-foot hover over the desired position. This is an essential and critical safety feature at night and in inclement weather. Phase III of the conversion efforts modernizes the aging AFCS with a new digital system that enhances this capability, and adds to crew safety.

During FY 2008, the Coast Guard's IDS will have replaced the engines on all the HH-65s executed under Phase I of the conversion project. The new Turbomeca 2C2 engine system provides aircrews with

HH-65 Conversion and Sustainment Projects

\$38,000

a 40% increase in engine power, while eliminating safety and reliability issues associated with the existing engines. Concurrently, the Airborne Use of Force (AUF) package is being deployed that converts the HH-65C into the MH-65C. This package includes an automatic weapon, and aircrew protection and communications systems that are compatible with local, state, and federal law enforcement and other first responders. Phase II and Phase III of the conversion are also concurrent projects and build upon the MH-65C upgrades to modernize aging obsolete sub-systems and components and provide enhanced operational capabilities, including COP interface and sensor integration.

When these projects are completed, the upgraded HH-65 will be referred to as the Multi-Mission Cutter Helicopter or MCH. It will be a much more capable asset with increased aircraft performance, state-of-the-market avionics and surveillance equipment, and provisions for weapons.

PERFORMANCE:

The MCH will be primarily based at shore units located on each coastline, including the Great Lakes region, Alaska, Hawaii, and Puerto Rico. Due to its size and weight, the HH-65 will easily integrate with the National Security Cutter (NSC) and Offshore Patrol Cutters (OPC), enhancing the operational capabilities of these assets in support of the following Congressionally-mandated missions:

MARITIME SAFETY:

- Search and Rescue – The MCH will be outfitted with a capable C4ISR suite that includes a multi-mode radar (MMR) and Electro Optical Infrared (EO/IR) sensor to find and observe a wide range of targets. The aircraft will have a DF-430 UHF/VHF/FM Radio Direction Finder, Distress Call Monitoring on various distress frequencies, and a Global Positioning System (GPS). The crew will be outfitted with night vision devices to further enhance the crew's ability to detect, classify, and identify targets.

- Marine Safety – International Ice Patrol (IIP): Although the MCH does not have the extended range of a fixed-wing aircraft, it can use the same sensors described above to detect and relay the location of icebergs while deployed aboard a NSC or OPC in support of the important International Ice Patrol mission.

MARITIME SECURITY:

- Undocumented Migrant Interdiction Operations (MIO) – The C4ISR suite, including the same sensors described in the Search and Rescue mission above, will be employed to provide surveillance, detection, classification and identification in the Undocumented MIO mission. With multiple communications, including UHF, VHF, HF, and MILSATCOM, the MCH will be able to share important information with other operational units and command centers. This information will contribute to a Common Tactical Picture (CTP) and Common Operating Picture (COP) through a networked Command and Control (C2) system that provides for data sharing.

- Illegal Drug Interdiction (DRUG) – The same sensors and communications equipment that will support Undocumented MIO will also be used to support the DRUG mission. Through effective use of the CTP/COP, the MCH will be able to intercept as well as direct Coast Guard surface assets to intercept and prosecute suspect vessels. Additionally, armed MCH aircraft will be capable of employing airborne use of force tactics to interdict and prosecute non-compliant suspect trafficking vessels.

HH-65 Conversion and Sustainment Projects

\$38,000

• Other Law Enforcement (OLE) – All sensors and communications equipment will be used for the OLE mission. Sharing information and data through the use of the C2 system and the CTP/COP will result in increased Maritime Domain Awareness.

PROTECTION OF NATURAL RESOURCES:

• Marine Environmental Protection (MEP) – Visual surveillance and the C4ISR suite on the MCH will be employed to monitor and map oil-covered water surfaces. The MMR can detect differences in backscatter between water and oil-covered water due to the dampening effects of oil on small wind-generated waves, while the EO/IR sensor can detect the small temperature variation between clear and oil-covered water. The COP provides the capability to navigate to previously marked pollution areas and update them based on current C4ISR and visual indications.

• Living Marine Resources Enforcement (LMR) – The MCH will employ all sensors (MMR, EO/IR) to provide surveillance of protected and/or closed offshore areas and ensure the protection of LMR.

• MEP - Lightering Zone Enforcement (LZE) – The MCH is capable of monitoring Lightering Zones for oil and other hazardous chemical discharges.

NATIONAL DEFENSE:

The MCH plays a role in National Defense Missions by providing armed escort and surveillance as well as support for transport roles in the following areas:

- Port Operations, Security, and Defense (POSD)
- General Defense Operations (GDO)
- Peacetime Military Engagement (PME)
- Maritime Intercept Operations (MIO)
- Environmental Defense Operations (EDO)

COST ESTIMATE OF WORK TO BE FUNDED THIS FISCAL YEAR 2010:

ITEM	QUANTITY	TOTAL (\$K)
H-65 MCH Phase II Production	22	\$18,980
H-65 MCH Phase III Non-Recurring Engineering	1	\$10,200
H-65 MCH Phase III Initial Production Material	1	\$8,820
	Total	\$38,000

FUNDING HISTORY	FY	TOTAL (\$K)
HH-65 Re-Engine	2002	\$5,679
HH-65 Re-Engine	2003	\$7,471
HH-65 Re-Engine	2004	\$57,301
HH-65 Re-Engine	2005	\$139,000
HH-65 Re-Engine	2006	\$131,769
HH-65 Re-Engine Completion & HH-65 MCH Phase II Start	2007	\$39,873
MCH Phase II and MCH Phase III Start	2008	\$50,800
MCH Phase II and MCH Phase III Continuation	2009	\$64,500
	Total	\$496,393

HH-65 Conversion and Sustainment Projects

\$38,000

Funding History is the funding available for this item based on past appropriations, rescissions, and other changes.

CONTRACTOR:

Aircraft Conversion: USCG Aviation Logistics Center (ALC), Elizabeth City, NC

SUBCONTRACTORS:

Aircraft Components: American Eurocopter, Grand Prairie, TX

Avionics: Rockwell Collins, Cedar Rapids, IA

Power Plant: Turbomeca, Grand Prairie, TX

KEY EVENT	FY
MCH Re-engining complete (Phase I)	2008
MCH Initiation of Phase II of Conversion	2007
MCH Completion of Phase II of Conversion	2015
MCH Initiation of Phase III of Conversion	2009
MCH Completion of Phase III of Conversion	2017

Significant Changes

There have been no significant changes to this project.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2009					
MCH Phase II Production			FY09:Q2	FY10:Q4	18,839
MCH Phase III NRE (Continuation from FY08)			FY09:Q1	FY10:Q2	16,100
MCH Phase III / Production			FY09:Q2	FY14:Q4	29,561
FY 2010					
MCH Phase II Production			FY09:Q2	FY14:Q1	18,980
MCH Phase III NRE (Continuation from FY09)			FY09:Q1	FY10:Q2	10,200
MCH Phase III / Production			FY09:Q2	FY14:Q1	8,820

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2007 & Prior</u>	<u>FY 2008</u>	<u>FY 2009</u>	<u>FY 2010</u>	
Appropriation	381,093	50,800	64,500	38,000	534,393
Obligation	379,836	40,640	54,800	58,240	533,516
Expenditure	360,413	12,700	13,700	14,560	401,373
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	360,413	12,700	13,700	14,560	401,373

HH-65 Conversion and Sustainment Projects

\$38,000

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2010 Cost Estimate</u>
<u>Construction / Acquisition</u>	
HH-65 MCH Phase II	18,980
HH-65 MCH Phase III	19,020
FY 2010 Cost Estimate Project Total:	38,000

Method of Performance

Per Section 1.H.1 of Deepwater Exhibit 300, "Description of Performance Based Management System", an Earned Value Management System (EVMS) is used for the system integrator contract work under each of the Delivery Task Orders (DTO). The Dekker Trakker software program, which meets ANSI/EIA Standard 748, is employed by Deepwater to resource load schedules, track progress and record expenses. Moreover, Dekker iPursuit is also used to view monthly Cost Performance Reports. The iPursuit program also allows for extensive insight into the data used to generate Cost Performance reports. For example, it can provide a breakdown of cost and schedule variances by Work Breakdown Structure (WBS).

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2009</u>	<u>FY 2010</u>
Search and Rescue	20,619	12,148
Marine Safety	578	341
Aids to Navigation	4,290	2,527
Ice Operations	-	-
Marine Environmental Protection	1,815	1,070
Living Marine Resources	7,589	4,471
Drug Interdiction	14,186	8,358
Migrant Interdiction	4,124	2,430
Other Law Enforcement	331	195
Ports, Waterways & Coastal Security	10,640	6,269
Defense Readiness	327	191
Mission-Program Allocation Total:	64,500	38,000

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard Justification
Acquisition, Construction & Improvements
FY 2010 Congressional Budget Submission
(Dollars in Thousands)**

HC-130H Conversion and Sustainment Projects

\$45,300

Project Description, Justification and Scope

This request funds the following replacement/sustainment projects for the Coast Guard HC-130H “Hercules” aircraft:

- 1) Avionics Modernization
- 2) Center Wing Box (CWB) Replacement
- 3) SELEX Surface Search Radar

The HC-130H is the Coast Guard’s long-range surveillance (LRS) aircraft. This four-engine, turbo-prop aircraft is used extensively throughout the United States, the Pacific, and the Caribbean in support of search and rescue, homeland security, law enforcement, pollution prevention, logistics, personnel transport and ice patrol missions.



FY 2010 funding will continue the development of the new digital cockpit, with multi-function displays that would provide aircrews with increased situational awareness and reduced cockpit workload. Additionally, funding will provide four replacement center wing boxes, which is critical for extending service life, as well as additional HC-130H replacement activities.

CAPABILITY ACQUIRED/MAINTAINED:

The HC-130H is powered by four Allison T56-A15 engines driving Hamilton Standard four-bladed propellers. When all fuel tanks are filled, the aircraft is capable of extended range (>2600 miles in low-altitude flight). With reduced fuel loads, the aircraft can carry a 40,000 pound payload. A large cargo compartment area, easily accessed through a large rear ramp, can accommodate a wide range of cargo. The aircraft’s high-lift capability allows takeoff and landings from short, unimproved runways.

To keep the HC-130H fleet in service, upgrades to the avionics, sensors and fuselage are required. The avionics suite on the HC-130H has been in service since the aircraft were delivered in the early 1980s. A digital cockpit with multi-function displays and reliable engine and propeller indicators will provide aircrews with increased situational awareness and reduced cockpit workload, benefits critical for long range operations.

PERFORMANCE:

With its flight-management and sensor systems, the HC-130H is a very capable maritime patrol aircraft, equipped with a powerful surface search radar that can detect surface targets from over 50 miles away. Once closer to a target, the sensor operator uses the Forward-Looking Infrared Radar (FLIR) and Electro Optical (EO) sensor to classify and identify the target, even in night or low-light conditions. A flight-management system that includes an automatic-pilot and precise Global Positioning System (GPS) navigation equipment allows the pilot to concentrate on the details of the mission while being ensured of pinpoint accuracy of position and the position of the target vessels. Large scanner windows on either

HC-130H Conversion and Sustainment Projects

\$45,300

side of the cargo compartment provide aerial observers with a bird's eye view of the search areas during visual conditions. The HC-130H supports the following Congressionally-mandated missions:

MARITIME SAFETY:

- Search and Rescue (SAR) – The HC-130H has a C4ISR suite that includes a multi-mode surface and air search radar (MMR), EO device, and Infrared (IR) sensor to find and observe a wide range of targets. The aircraft has a line-of-bearing indicator and distress call monitoring on various distress frequencies. It is also equipped with search windows and the crew has night vision devices to further enhance their ability to detect, classify, and identify targets.

- Marine Safety – International Ice Patrol (IIP) – A side-looking radar installed on the aircraft maps the location and movement of ice flows and icebergs. This information is calculated and transmitted to commercial vessels to increase maritime safety during the winter and spring months in the North Atlantic regions.

MARITIME SECURITY:

- Undocumented Migrant Interdiction Operations (MIO) – The C4ISR suite, including the same sensors described in the SAR mission, is employed to provide surveillance, detection, classification, and identification in the undocumented MIO mission. With multiple communications, including UHF/VHF, HF, the HC-130H can share important information with other operational units and command centers.

- Illegal Drug Interdiction (DRUG) – The same sensors and communications equipment that support undocumented MIO are also utilized to support the DRUG mission. With its interoperable communications suite, the HC-130H can direct Coast Guard surface assets to intercept and prosecute suspect vessels.

- Other Law Enforcement (OLE) – All sensors and communications equipment are used for the OLE mission.

PROTECTION OF NATURAL RESOURCES:

- Marine Environmental Protection (MEP) – Maritime Pollution Enforcement and Response – Visual surveillance and the side-looking radar on the HC-130H are employed to monitor and map oil-covered water surfaces. The MMR can detect differences in backscatter between water and oil-covered water due to the dampening effects of oil on small wind-generated waves, while the EO/IR sensor can detect the small temperature variation between clear and oil-covered water.

- MEP – Lightering Zone Enforcement (LZE) – The HC-130H is capable of monitoring lightering zones for oil and other hazardous chemical discharges.

- Living Marine Resources Enforcement (LMR) – The HC-130H employs all sensors (MMR, EO, and IR) to provide surveillance of protected and/or closed offshore areas and ensure the protection of LMR.

NATIONAL DEFENSE:

- Defense Readiness – The HC-130H provides support in National Defense missions through surveillance and transport capability in the following areas:

- Port Operations, Security, and Defense (POSD)

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HC-130H Conversion and Sustainment Projects \$45,300

- General Defense Operations (GDO)
- Peacetime Military Engagement (PME)
- Maritime Intercept Operations (MIO)
- Environmental Defense Operations (EDO)

COST ESTIMATE OF WORK TO BE FUNDED THIS FISCAL YEAR 2010:

ITEM	QUANTITY	TOTAL (\$K)
HC-130H Avionics I Integration & Hardware	N/A	\$19,000
HC-130H Center Wing Box (CWB)	4 Installations (Including kit)	\$24,000
SELEX Pre-Planned Product Improvement		\$2,300
	Total	\$45,300

FUNDING HISTORY

	FY	TOTAL
HC-130H Design Development	2003	\$3,500
HC-130H Surface Search Radar	2005	\$9,000
HC-130H Surface Search Radar	2006	\$4,950
HC-130H Avionics	2006	\$5,940
HC-130H Avionics Modernization Program (AMP)	2007	\$15,700
HC-130H Surface Search Radar	2007	\$24,255
HC-130H AMP and Surface Search Radar	2008	\$18,900
HC-130H AMP and Surface Search Radar	2009	\$24,500
	Total	\$106,745

Funding history is the available funding for this item based on past appropriations, rescissions and other changes.

CONTRACTOR:

To Be Determined (currently engaged in full and open competition)

Contract Type:

Anticipate Commercial Firm-Fixed Price

SUBCONTRACTORS:

Aircraft	Lockheed Martin Aero, Marietta, GA
Engines	Rolls Royce (Allison), Indianapolis, IN
Avionics	Rockwell Collins, Cedar Rapid, IA
FLIR/EO	L3 Wescam, Burlington, Canada

KEY EVENT:

HC-130H Radar Replacement Project Contract Award	2005
Radar Preliminary Design Review	2006
Radar Critical Design Review	2006
Prototype Delivery	2006

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HC-130H Conversion and Sustainment Projects \$45,300

APS-137 Radar Replacement Developmental Test & Evaluation Complete	2007
APS-137 Radar Installs Complete on 10 Aircraft	2008
APS-137 Installs complete	2009
Avionics Upgrade 1st flight prototype	2009
Production initiation for Avionics Upgrade	2010

Significant Changes

The aircraft manufacturer made changes to the calculations utilized to determine the number of hours that can be flown prior to replacement of center wing boxes. As a result, reprioritization of planned radar purchases has been made to accommodate potential center wing box replacements.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2009					
C-130H Surface Search Radar			FY09:Q1	FY09:Q4	5,500
Avionics Modernization Program (AMP)			FY09:Q1	FY09:Q4	9,000
HC-130H Center Wing Box (CWB)			FY09:Q1	FY09:Q4	10,000
FY 2010					
Avionics Modernization Program (AMP)			FY10:Q1	FY10:Q4	19,000
HC-130H Center Wing Box (CWB)			FY10:Q1	FY10:Q4	24,000
SELEX Pre-Planned Product Improvement			FY10:Q1	FY10:Q4	2,300

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2007 & Prior</u>	<u>FY 2008</u>	<u>FY 2009</u>	<u>FY 2010</u>	
Appropriation	63,345	18,900	24,500	45,300	152,045
Obligation	2,034	65,222	19,600	45,300	132,156
Expenditure	14,989	29,643	33,891	28,222	106,745
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	14,989	29,643	33,891	28,222	106,745

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2010 Cost Estimate</u>
<u>Construction / Acquisition</u>	
SELEX Pre-planned Product Improvement	2,300
Avionics Kits / Production Installs	19,000
HC-130H Center Wing Box (CWB)	24,000
FY 2010 Cost Estimate Project Total:	45,300

HC-130H Conversion and Sustainment Projects

\$45,300

Method of Performance

Per Section 1.H.1 of Deepwater Exhibit 300, "Description of Performance Based Management System", an Earned Value Management System (EVMS) is used for the system integrator contract work under each of the Delivery Task Orders (DTOs). The Dekker Trakker software program, which meets ANSI/EIA Standard 748, is employed by Deepwater to resource load schedules, track progress and record expenses. Moreover, Dekker iPursuit is also used to view monthly Cost Performance Reports. The iPursuit program also allows for extensive insight into the data used to generate Cost Performance reports. For example, it can provide a breakdown of cost and schedule variances by Work Breakdown Structure (WBS).

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2009</u>	<u>FY 2010</u>
Search and Rescue	8,764	15,000
Marine Safety	950	1,200
Aids to Navigation	1,228	2,200
Ice Operations	-	-
Marine Environmental Protection	350	800
Living Marine Resources	3,565	7,000
Drug Interdiction	1,187	2,500
Migrant Interdiction	2,921	5,200
Other Law Enforcement	2,046	4,000
Ports, Waterways & Coastal Security	3,256	6,800
Defense Readiness	233	600
Mission-Program Allocation Total:	24,500	45,300

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard Justification
Acquisition, Construction & Improvements
FY 2010 Congressional Budget Submission
(Dollars in Thousands)**

HC-130J Missionization

\$1,300

Project Description, Justification and Scope

The Coast Guard has six HC-130J aircraft in its inventory. All aircraft are conducting operational missions, with the exception of aircraft undergoing the missionization process. This request funds crashworthy observer seats for the fleet of six aircraft to improve the safety and capability of the observer station onboard each aircraft.

The HC-130J is the Coast Guard's long-range surveillance (LRS) aircraft. Various versions of this four-engine, turbo-prop aircraft are used extensively throughout the United States, the Pacific Ocean and the Caribbean Sea in support of search and rescue, homeland security, law enforcement, pollution prevention, logistics and personnel transport.

CAPABILITY ACQUIRED/MAINTAINED:

The C-130J Missionization project will configure the aircraft with equipment to enhance the performance of Coast Guard operational missions. The C-130J Missionization project leverages the technology developed by Integrated Coast Guard Systems for the CASA CN235 Maritime Patrol Aircraft (MPA). The missionization suite includes surface search radar, a Forward-Looking Infrared (FLIR)/Electro Optical (EO) sensor, and satellite and emergency response radios, all controlled through a flight-deck mounted operator station.

The Coast Guard's C-130J is based on the robust C-130 series aircraft design, but new engines, propellers, avionics and cargo handling equipment quickly set this new aircraft apart from its predecessor. The C-130J will assume the duties of the C-130H, which include search and rescue, homeland security, pollution prevention, logistics and personnel transport.

With its Allison AE2100 engines and Dowty six-bladed propellers, the C-130J boasts advanced performance over the H model by a 20 percent increase in speed, a 40 percent increase in range and a 40 percent higher cruising altitude. It can climb higher and faster than the H model, yet takeoff and land on shorter runways.

A completely redesigned cockpit with an integrated digital flight management system allows the C-130J to be operated by a two-person flight deck crew as compared to the four to five person crew of the H model. Dual heads up displays provide pilots with essential flight information and increase safety during low-level maneuvers, including takeoffs and landings in reduced visibility. A high-resolution ground mapping radar, integrated with on-board Global Positioning System (GPS) and inertial navigation system, provides aircrews with precise navigation and situational awareness. An enhanced cargo handling system provides loadmasters with the ability to automatically calculate weight and balance data and quickly change cargo compartment configuration to accommodate different payloads.

PERFORMANCE:

With its flight management and sensor systems, the C-130J will be a very capable maritime patrol aircraft. It will be equipped with a powerful surface search radar, capable of detecting surface targets over 50 miles away. Once closer to the target, the sensor operator will use the FLIR/EO sensor to classify and identify the target, even in night or very low-light conditions. A flight management system

HC-130J Missionization

\$1,300

that includes an automatic-pilot and precise GPS navigation equipment allows the pilot to concentrate on the details of the mission, while being ensured of pinpoint accuracy of his position and the position of the target vessels. The C-130J supports the following strategic goals and mission programs:

MARITIME SAFETY:

- Search and Rescue – The C-130J will be outfitted with a very capable Command, Control, Communications, Computers, Intelligence, Surveillance and Reconnaissance (C4ISR) suite that includes a multi-mode surface and air search radar (MMR), Electro-Optical (EO) device, and Infrared (IR) sensor to find and observe a wide range of targets. The aircraft will have a Line of Bearing indicator and Distress Call Monitoring on various distress frequencies.

MARITIME LAW ENFORCEMENT:

- Illegal Migrant Interdiction Operations – The C4ISR suite, including the same sensors described in the Search and Rescue mission, will be employed to provide surveillance, detection, classification, and identification in this mission-program. With multiple communications, including UHF/VHF, HF, the C-130J will be able to share important information with other operational units and command centers. This information will contribute to a Common Tactical Picture (CTP) and Common Operational Picture (COP) through a networked Command and Control (C2) system that provides for data sharing.

- Illegal Drug Interdiction – The same sensors and communications equipment that will support undocumented migrant interdictions will also be utilized to support the counter drug mission. Through effective use of the CTP/COP, the C-130J will be able to direct Coast Guard surface assets to intercept and prosecute suspect vessels.

- Living Marine Resources (LMR) Enforcement – The C-130J will employ all sensors (MMR, EO, and IR) to provide surveillance of protected and/or closed offshore areas and ensure the protection of LMRE.

- General Law Enforcement (GLE) – All sensors and communications equipment will be used for the GLE mission. Sharing information and data through the use of the C2 system and the CTP/COP will result in increased Maritime Domain Awareness.

MARITIME SAFETY AND ENVIRONMENTAL PROTECTION:

- Marine Environmental Protection (MEP) – Visual surveillance and the C4ISR suite on the C-130J will be employed to monitor and map oil-covered water surfaces. The MMR can detect differences in backscatter between water and oil-covered water due to the dampening effects of oil on small wind-generated waves, while the EO/IR sensor can detect the small temperature variation between clear and oil-covered water. The Common Operational Picture (COP) provides the capability to navigate to previously marked pollution areas and update them based on current C4ISR and visual indications.

- Ports, Waterways, and Coastal Security (PWCS) – The C-130J will be able to conduct thorough and sustained surveillance of an assigned area of operations, and dispatch appropriate assets to investigate any threat to security. The C-130J will participate in maritime interdiction operations, provide outer-harbor security, conduct search and rescue, and other operations in support of PWCS. The primary objective is to ensure that port and harbor areas are maintained free of threats and to support re-supply of

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HC-130J Missionization **\$1,300**

other deployed forces. The protection of logistics in support of contingency operations is of the highest priority.

NATIONAL DEFENSE – The HC-130J provides support in National Defense missions through surveillance and transport capability in the following areas:

- Port Operations, Security, and Defense (POSD)
- General Defense Operations (GDO)
- Peacetime Military Engagement (PME)
- Maritime Intercept Operations (MIO)
- Environmental Defense Operations (EDO)

COST ESTIMATE OF WORK TO BE FUNDED FOR FISCAL YEAR 2010:

ITEM	QUANTITY	TOTAL (\$K)
Crashworthy Observer Seats	6	\$1,300

<u>FUNDING HISTORY</u>	<u>FY</u>	<u>TOTAL (\$K)</u>
C-130J Missionization	2004	\$ 60,000
C-130J Missionization (No Year)	2005	\$ 25,050
C-130J Missionization	2005	\$ 34,000
C-130J Fleet Introduction	2007	\$ 13,950
C-130J Fleet Introduction	2008	\$ 5,800
C-130J Missionization	2009	\$ 13,250
	Total:	\$152,050

Funding history is the available funding for this item based on past appropriations, rescissions, and other changes.

CONTRACTOR: Integrated Coast Guard Systems

Type of Contract: Firm-Fixed-Price

SUBCONTRACTORS

Aircraft	Lockheed Martin Aero, Marietta, GA
Engines	Rolls Royce (Allison), Indianapolis, IN
Avionics/Systems	Lockheed Martin, Eagan, MN
Radar	Elta/EDO, Israeli Aircraft Industries
FLIR/EO	FLIR Systems, Portland, OR

KEY EVENT	FY
Definitized Contract signed for C-130J Missionization	2005
Preliminary Design Review	2006
Critical Design Review	2006
First Aircraft Enters Modification	2007
Aircraft 1 through 3 Delivered	2008
Aircraft 1 through 3 Operational Deployments	2008

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HC-130J Missionization **\$1,300**

Aircraft 4 inducted for Missionization 2009

Significant Changes

Technical corrections to add past appropriations to the prior budget submission.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total
	Design Work		Project Work		Estimate
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	<u>Cost</u>
FY 2009					
Missionize aircraft #5			FY09:Q2	FY10:Q1	13,250
<hr/>					
FY 2010					
HC-130J Cashworthy Observer Seats			FY05:Q1	FY12:Q2	1,300

Schedule of Project Funding

	Project Funds				<u>Total</u>
	<u>FY 2007 & Prior</u>	<u>FY 2008</u>	<u>FY 2009</u>	<u>FY 2010</u>	
Appropriation	133,000	5,800	13,250	1,300	153,350
Obligation		5,800	2,340	1,300	9,440
Expenditure	133,000		10,910	1,300	145,210
<hr/>					
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	133,000		10,910	1,300	145,210

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2010 Cost Estimate</u>
<u>Construction / Acquisition</u>	
HC-130J Cashworthy Observer Seats	1,300
FY 2010 Cost Estimate Project Total:	1,300

Method of Performance

Per Section 1.H.1 of Deepwater Exhibit 300, "Description of Performance Based Management System", an Earned Value Management System (EVMS) is used for the system integrator contract work under each of the various Delivery Task Orders (DTOs). The Dekker Trakker software program that meets ANSI/EIA Standard 748 is being used by the Deepwater Program. Dekker Trakker is the tool that is used by the Systems Integrator to resource load schedules, track progress and record expenses. An additional Earned Value viewing tool also being used is Dekker iPursuit which is the viewing tool that allows Deepwater personnel to view monthly Cost Performance Reports. The iPursuit program also allows for extensive insight into the data that was used to generate the Cost Performance Reports. For example, it can provide a breakdown of cost and schedule variances by Work Breakdown Structure (WBS).

U. S. Coast Guard - FY 2010 Congressional Budget Submission

HC-130J Missionization

\$1,300

Budget Allocation to Mission-Program

U. S. Coast Guard Mission-Program	Budget Allocation	
	FY 2009	FY 2010
Search and Rescue	2,030	200
Marine Safety	1,530	150
Aids to Navigation	1,530	150
Ice Operations	-	-
Marine Environmental Protection	1,530	150
Living Marine Resources	1,020	100
Drug Interdiction	1,020	100
Migrant Interdiction	1,020	100
Other Law Enforcement	1,020	100
Ports, Waterways & Coastal Security	1,530	150
Defense Readiness	1,020	100
Mission-Program Allocation Total:	13,250	1,300

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard Justification
Acquisition, Construction & Improvements
FY 2010 Congressional Budget Submission
(Dollars in Thousands)**

National Security Cutter (NSC)

\$281,480

Project Description, Justification and Scope

This request completes funding for the production of National Security Cutters (NSC) #4. Full funding of the NSC #4 production contract could not be accomplished in FY09 due to detrimental global and regional economic conditions affecting the cost of NSC #4 and other NSC Class costs. Impacts included the declining value of the U. S. dollar relative to foreign currency, commodity escalation and persistent Gulf Coast labor market impacts.

CAPABILITY ACQUIRED/MAINTAINED:

The NSC is a surface component of the Integrated Deepwater System (IDS) that will be capable of an extended on-scene presence, long transits and forward deployment. It will be equipped with communication, navigation and surveillance systems that allow the cutter and its deployed air and boat assets to operate worldwide within the range of its performance parameters, and conduct a daily search of potentially 56,000 square miles of ocean in support of all Congressionally-mandated missions.

The NSC is the largest of the new IDS surface assets (418') with vastly improved capabilities over the legacy 378' High Endurance Cutter, and will be the most sophisticated and capable cutter the Coast Guard has ever operated. It will have a range of approximately 12,000 nautical miles (NM) and an underway endurance of 60 days. The NSC manning concept is innovative in decoupling the ship's operational tempo from the personnel tempo, enabling the vessel to deploy 230 days away from homeport annually while maintaining the current personnel tempo of 185 days underway (i.e., a 24% increase in ship annual operating days compared to the 378' High Endurance Cutter). The cutter will be capable of patrolling alone or with multiple U.S. Coast Guard vessels, U.S. Navy vessels, or vessels from other nations' navies or coast guards.

The NSC will conduct scheduled and unscheduled patrols employing a robust command and control capability for the task unit commander or on-scene commander. The cutter will be capable of performing all maritime DHS missions, defense operations with the U.S. Navy, such as Ports, Waterways and Coastal Security, as well as maritime intercept operations, port operations, security and defense operations, and peacetime military engagements. When engaged in these missions, the NSC will be capable of detecting, classifying, and tracking surface Targets of Interest (TOI) in sizes ranging from makeshift rafts to large commercial vessels, and air TOIs as small as single-engine civil aircraft.

The NSC's capabilities include the ability to:

- Provide anti-terrorism/force protection;
- Carry and deploy multiple airframes;
- Carry and deploy multiple Short Range Prosecutor (SRP) and Long Range Interceptor (LRI) cutter boats;
- Conduct boat and flight operations in higher sea states due to improved sea-keeping capability;
- Support the full range of Coast Guard missions and intelligence element operations through greatly improved intelligence gathering and C4ISR capabilities, including use of a Sensitive Compartmented Information Facility (SCIF), all of which enhance the NSC's self-defense capabilities and facilitate operations with networked DHS, DoD, and national assets;

National Security Cutter (NSC)

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- Maintain presence and perform limited command and control operations in contaminated environments for up to 36 hours;
- Operate with U.S. Navy battle groups with a maximum sustained speed of 28 knots.

PERFORMANCE:

The NSC is a major contributor to overall Deepwater system performance, particularly when operating at the hub of a cutter/small boat/aircraft force package. NSC intelligence collection, analysis and dissemination, and C4ISR capabilities improve system responsiveness and help to prevent security incidents from developing. NSCs will serve as the hub of multi-unit, multi-mission operations and will be essential to achieving success in the missions:

MARITIME SAFETY:

• Search and Rescue (SAR) – The NSC will permit the search for and location of mariners in distress, enabling their recovery from positions of peril; provision of medical advice, assistance, or evacuation; and when necessary, provide them safe transport to shore-side locations. The NSC will also be able to support recovery or control of damage to distressed vessels and other property by controlling or terminating flooding, fighting fires, dewatering, providing mechanical assistance, and towing stricken vessels. The NSC will have stern ramps and a side davit to rapidly launch and retrieve small boats. The NSC will have a Rescue Access Station to embark and load a non-stern ramp capable boat, to deploy a rescue swimmer, and to pick survivors from the water. With a sustained presence, the NSC can also serve as a platform for an on-scene commander guiding and assisting rotary wing assets.

MARITIME LAW ENFORCEMENT:

• Undocumented Migrant Interdiction Operations – The NSC C4ISR suite will be employed to provide surveillance, detection, classification, and identification in the undocumented migrant interdiction mission. Through sustained on-scene presence, the NSC will also have the capability of prosecuting Targets of Interest (TOI), including interdiction, embarkation, and disembarkation, as well as allowing for rescue of a large number of people when an unseaworthy or overloaded craft sinks or capsizes. These rescue situations require the ability to retain persons onboard (sheltering, feeding, and providing basic sanitation and medical services; as well as administrative processing and ensuring security for all concerned).

• Illegal Drug Interdiction (DRUG) – The same sensors and communications equipment that will support undocumented migrant interdiction operations will also be used for the DRUG mission. Through effective use of the Common Operating Picture (COP), Multi-mission Cutter Helicopter (MCH) aircraft, and the Long Range Interceptor (LRI)/small boats, the NSC will be able to intercept and prosecute suspect vessels.

• Other Law Enforcement (OLE) – The NSC will conduct proactive patrols as well as reactive response to intelligence information, using all sensors and communications equipment to fulfill this mission. Sharing information and data through the use of the Command and Control (C2) system and the COP will result in increased maritime domain awareness. The NSC will have both active and passive sensors to detect and track vessels or aircraft engaged in, or suspected of, illegal activities. It will identify, classify and sort TOIs. After interdicting suspicious vessels, it will enable at-sea boardings and performance of custodial functions associated with seizing vessels or making at-sea arrests.

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- Foreign Vessel Inspection – The NSC will conduct surveillance of all operating areas. The installed Automatic Identification System (AIS) will permit rapid identification of foreign vessels, allowing the NSC to inspect foreign vessels at sea for compliance with applicable marine safety requirements and regulators.

PROTECTION OF NATURAL RESOURCES:

- Marine Environmental Protection (MEP) – Maritime Pollution Enforcement and Response – The NSC will be able to detect maritime pollution in the U.S. Exclusive Economic Zone (EEZ), based on verification of the type of material in the water, evidence gathering, and documentation. It will allow response to 29 CFR 1910.120 Hazardous Material accidents. Additionally, the NSC will conduct surveillance operations to detect significant discharges of oil or hazardous substances for subsequent monitoring, mitigation, and removal actions. The COP will provide the capability to navigate to previously marked pollution areas and update them based on current C4ISR and visual indications.

- Lightering Zone Enforcement (LZE) – The NSC will survey maritime petroleum cargo lightering zones and lightering operations, enabling the conduct of boardings to enforce applicable lightering regulations.

- Living Marine Resources Enforcement (LMR) – The NSC will aid enforcement of laws and treaties pertaining to LMR, including fisheries and marine mammal protection. The cutter will be able to provide sustained presence throughout the U.S. EEZ and along its boundary, as well as in international maritime areas of interest to the U.S. It will allow for at-sea boardings and inspections to deter illegal or unauthorized LMR activity to document violations and, if directed, arrest and seize vessels engaged in LMR violations. The NSC will also be equipped with AIS to monitor surface vessels that will provide a ship's name, position, course, and speed, and facilitate the job of vessel identification.

NATIONAL DEFENSE:

- Defense Readiness – The NSC's defense and security-related capabilities and extreme range and endurance makes it particularly well-suited for deployments overseas and in regions where it can disrupt security incidents well before they threaten U.S. coastlines.

- Port Operations, Security, and Defense (POSD) – The NSC will enable the conduct of thorough and sustained surveillance of an assigned area of operations, allowing dispatch of appropriate assets to investigate any threat to security. The NSC will engage in maritime interdiction operations, provide outer-harbor security, escort high-value assets, and conduct SAR and other operations in support of the POSD mission. The primary objective is to ensure that port and harbor areas are maintained free of threats and to support re-supply of other deployed forces. The protection of logistics in support of contingency operations is one of the NSC's highest priorities.

- General Defense Operations (GDO) – The NSC will integrate with the DOD over the full range of maritime operations including surveillance, visit, board, search, seize and unit defense. It will be capable of operating worldwide with sustained presence resulting from its capability for underway replenishment, including Aircraft Vertical Replenishment. The cutter will provide hard-kill of subsonic anti-ship cruise missiles with Close-in-Weapon-Systems, and soft-kill capability, reduced radar cross-section, reduced infrared signature, and electronic sensor capability. The NSC will

National Security Cutter (NSC)

\$281,480

employ the 57 mm gun weapons system with optical and infrared fire control to achieve mission kill on high-speed patrol craft beyond intermediate caliber effective range. The NSC will be able to provide berthing and logistics support for additional personnel deployed for defense operations. The NSC will also have the ability to maintain station for an aircraft carrier conducting flight operations and to take station on, maneuver around, and escort commercial shipping steaming at operational speed. The cutter will have the ability to launch, recover and fuel U.S. Navy and NATO Vertical Take-Off and Landing (VTOL) aircraft, including armed helicopters.

- Peacetime Military Engagement (PME) – The NSC will engage in military activities involving other nations to promote and maintain the security environment in peacetime, including nation-building activities. It will be able to maintain forward presence, render humanitarian assistance, conduct professional exchanges, and participate in combined operations, training, exercises and other military or diplomatic activities. The PME mission may involve long transits and extended operations with deployments of two to four months, for which the NSC will be well-suited.

- Maritime Intercept Operations (MIO) – The NSC will conduct thorough and sustained surveillance of an assigned area of responsibility and detect and intercept all shipping, operating either independently or integrated with DOD and other agency assets. Additionally, the cutter will be able to dispatch trained boarding or inspection teams, providing for their logistics, support, transportation and protection.

- Environmental Defense Operations (EDO) – The NSC will be able to detect potential threats to the physical environment and investigate those threats. The cutter will conduct operations to mitigate known environmental harm and intercept persons suspected of causing such harm, including mitigation of environmental exploitation designed to disrupt defense operations.

COST ESTIMATE OF WORK TO BE FUNDED FOR FISCAL YEAR 2010:

ITEM	QUANTITY	TOTAL (\$K)
NSC #4 Production	1	\$281,480
	Total	\$281,480

FUNDING HISTORY:

	FY	TOTAL
Conceptual Development/Design	2002	\$7,869
Detailed Design and NSC #1 LLTM	2003	\$136,937
NSC #1 Production	2004	\$204,093
NSC #2 Production and LLTM	2005	\$264,100
NSC #3 Production and LLTM	2006	\$489,054
Consolidated Contracting Action NSC 1-3 ¹	2007	\$386,299
NSC #4 LLTM ²	2007	\$24,100
NSC #4 LLTM ³	2008	\$72,500

¹ Funding History for FY 2007 reflects changes from the Consolidated Contracting Action.

² Funding History for FY 2008 reflects changes from the Consolidated Contracting Action.

³ Funding History for FY 2008 reflects changes from the Consolidated Contracting Action.

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National Security Cutter (NSC) \$281,480

NSC #2-4 GFE, Certifications, and Logistics ^{4,5}	2008	\$102,870
NSC #1-3 Completion	2009	\$149,700
NSC #4 Production	2009	\$196,900
NSC #1-2 Structural Retrofit Planning/Analysis	2009	\$7,100
	Total	\$2,041,522

Funding history is the available funding for this item based on past appropriations, rescissions, and other changes.

CONTRACTOR:

NSC #1-#3 and LLTM #4: Integrated Coast Guard System (ICGS), Washington, DC

Type of Contract: Indefinite Delivery, Indefinite Quantity with an award term

Contract options: 5-year base completed June 2007 with 43-month subsequent award term period through January 2011.

NSC #4: Contractor and contract type TBD as the USCG is seeking a direct contractual relationship with the shipbuilder

SUBCONTRACTORS:

Northrop Grumman Ship Systems (NGSS), Pascagoula, MS (ship) and Lockheed Martin Company (LMCO), Moorestown, NJ (Command, Control, Communications, Computers, Intelligence, Surveillance, and Reconnaissance systems) Production Subcontractor: NGSS, Pascagoula, MS and LMCO, Moorestown, NJ

Assembly subcontractor: NGSS, Pascagoula, MS

KEY EVENT	FY
Preliminary/Contract Design	2003
Detail Design	2003
Start Construction, Lead Cutter	2004
Start Construction, NSC #2	2006
Start Construction, NSC #3 ⁶	2008
Start Construction, NSC #4	2010
Initial Operating Capability (IOC) for Lead Cutter	2011

Significant Changes

NSC #4 production was deferred to FY10 due to detrimental global and regional economic conditions affecting the cost of NSC #4. These impacts include the declining value of the U. S. dollar relative to foreign currency, commodity escalation and persistent Gulf Coast labor market impacts. Initial

⁴ Funding History for FY 2008 reflects changes from the Consolidated Contracting Action.

⁵ Funding History for FY 2008 reflects \$9.4M included for, "necessary expenses related to the consequences of 2008 natural disasters," per P.L. 110-329.

⁶ NSC #3 was awarded in 4th quarter FY 2007; however, design work to incorporate structural changes to address fatigue life concerns was accomplished prior to the actual start of production in FY2008.

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Operating Capability (IOC) for NSC #1 will be adjusted for post delivery operational evaluation to assess levels of suitability and effectiveness.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2009					
NSC #1-3 Completion	FY02:Q4	FY04:Q1	FY04:Q3	FY11:Q4	149,700
NSC #4 Production	FY02:Q4	FY04:Q1	FY10:Q1	FY13:Q4	196,900
NSC #1-2 Structural Enhancement Planning	FY08:Q1	FY10:Q3	FY11:Q2	FY13:Q4	7,100
FY 2010					
NSC #4 Production	FY02:Q4	FY04:Q1	FY10:Q1	FY13:Q4	281,480
NSC #5 LLTM	FY02:Q4	FY04:Q1	FY10:Q1	FY11:Q1	0

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2007 & Prior</u>	<u>FY 2008</u>	<u>FY 2009</u>	<u>FY 2010</u>	
Appropriation	1,513,252	175,400	353,700	281,480	2,323,832
Obligation	1,430,415	207,449	247,000	435,000	2,319,864
Expenditure	1,430,415	196,499	226,368	127,354	1,980,636
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	1,285,609	196,499	226,368	127,354	1,835,830
Survey, Design & Engineering	144,806				144,806

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2010 Cost Estimate</u>
<u>Construction / Acquisition</u>	
NSC #4 Production	281,480
FY 2010 Cost Estimate Project Total:	281,480

Method of Performance

Per Section 1.H.1 of Deepwater Exhibit 300, "Description of Performance Based Management System", an Earned Value Management System (EVMS) is used for the system integrator contract work under each of the Delivery Task Orders (DTOs). The Dekker Trakker software program, which meets ANSI/EIA Standard 748, is employed by Deepwater to resource load schedules, track progress and record expenses. Moreover, Dekker iPursuit is also used to view monthly cost performance reports. The iPursuit program also allows for extensive insight into the data used to generate cost performance reports. For example, it can provide a breakdown of cost and schedule variances by work breakdown structure (WBS).

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National Security Cutter (NSC)

\$281,480

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2009</u>	<u>FY 2010</u>
Search and Rescue	11,786	9,913
Marine Safety	-	-
Aids to Navigation	-	-
Ice Operations	-	-
Marine Environmental Protection	-	-
Living Marine Resources	64,758	51,326
Drug Interdiction	136,241	107,908
Migrant Interdiction	36,675	29,206
Other Law Enforcement	33,000	26,350
Ports, Waterways & Coastal Security	38,518	30,635
Defense Readiness	32,722	26,142
Mission-Program Allocation Total:	353,700	281,480

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard Justification
Acquisition, Construction & Improvements
FY 2010 Congressional Budget Submission
(Dollars in Thousands)**

Offshore Patrol Cutter (OPC)

\$9,800

Project Description, Justification and Scope

This request supports continued initial acquisition work for the Offshore Patrol Cutter (OPC) to replace the Coast Guard's deteriorating Medium Endurance Cutter (WMEC) fleet, including the following: completion of the Alternatives Analysis; preparation of the Performance Specification (P-Spec), Configuration Management Plan, Independent Total Ownership Cost Estimate, Environmental Management Plan and Life Cycle Cost Reduction Plan; as well as conducting Risk Reduction Technical Studies. This request will also allow preparation of the first phase of the Concept/Preliminary Design efforts needed to support solicitation for a Request for Proposal (RFP). This is a critical phase for the project, because it will provide valid acquisition and total ownership costs and aid in reducing the technical risks associated with achieving requirements. Specific performance requirements will be finalized, with plans in place to manage any configuration changes, in order to permit the Coast Guard to properly oversee all aspects of the design as the project progresses. The concept/preliminary design studies will be solicited from industry, allowing the Coast Guard to reach DHS Milestone 2 (Alternative Selection) during FY 2011 in support of a first ship delivery in FY 2018.

The OPC will be procured using guidance from the Coast Guard's *Blueprint for Acquisition Reform* and the project is following the DHS major systems acquisition process. Under this process, the OPC reached DHS Milestone 1 (Project Authorization) in January, 2008 and has entered the Concept & Technology Development phase. Available funding, including the FY 2009 appropriation, will allow for the following activities: preparation of the Concept of Operations (CONOPS), Operational Requirements Document (ORD), Project Management Plan (PMP), Acquisition Plan (AP), Integrated Logistics System (ILS) Plan, and Technology Plan, requirements validation, and initiation of an Alternatives Analysis. This work will define and validate required OPC capabilities, ascertain if they are achievable, and begin to examine alternative solutions for the OPC design. A recommended method of acquisition will also be developed, followed by a clear and rigorous plan to manage the project.

CAPABILITY ACQUIRED/MAINTAINED:

The OPC is the second largest cutter among the new Integrated Deepwater System (IDS) assets and will conduct critical patrols within assigned operating areas. A fleet of 25 vessels, the OPC will eventually replace and greatly enhance the current capability of the Coast Guard Medium Endurance Cutter (WMEC) fleet. The OPC will provide a robust command and control capability for duties as Commander Task Unit (CTU) and On-Scene Commander (OSC), through a sophisticated Command, Control, Communications, Computers, Intelligence, Surveillance and Reconnaissance (C4ISR) suite. Inherent capabilities that are a vast improvement over legacy major cutters include multiple airframe capability, Over-the-Horizon (OTH) cutter boat deployment, and improved sea keeping that will permit flight and small boat operations in higher sea states than currently possible.

The Deepwater Implementation Plan includes additional capabilities that reflect the increased post-9/11 security requirements, many of which will be present in the OPC. Intelligence collection/information sharing systems being considered in the OPC design include a sophisticated Shipboard Sensitive Compartmentalized Information Facility (S/SCIF), Specific Emitter Information (SEI) sensors and increased data exchange bandwidth. The OPC's Deepwater and DoD interoperability capabilities can be enhanced with DHS and local responder-interoperable radio communications. Under the prevailing

Offshore Patrol Cutter (OPC)

\$9,800

design, the OPC flight deck extension would accommodate all variants of DHS and DoD HH-60 helicopters to provide enhanced interoperability with interagency and inter-service counterterrorism teams. The OPC would be fully integrated with the National Distress Response System modernization program, known as RESCUE 21, to provide port commanders with both real-time tracking of the OPC and seamless Common Operational Picture (COP)-Maritime Domain Awareness (MDA) data-sharing, including the Automatic Identification System (AIS). The maritime security capabilities allow the cutter's weapons and command and control suite to be upgraded and hardened to better survive potential terrorist incidents and process increased data flow. This will include a medium caliber deck gun (57mm) that will provide the ability to engage/stop rogue merchant vessels far from shore. Increased OPC speed can improve response and reaction capability. Increased transit speed would allow for more time on station protecting port approaches.

PERFORMANCE:

The OPC will be a major contributor to overall Integrated Deepwater System (IDS) performance, particularly when operating as the nucleus of a cutter/small boat/aircraft force package. Intelligence collection, analysis and dissemination, and C4ISR capabilities will improve system responsiveness and help to prevent and mitigate security threats. As a multi-mission platform, the OPC will be able to perform all required missions, capable of steaming long transit distances and maintaining an extended on-scene presence, due to an integrated logistics system. These characteristics are well-suited for maritime homeland security roles as well as for performing the full spectrum of law enforcement missions (living marine resources, drug interdiction, and migrant interdiction) and search and rescue operations.

MARITIME SAFETY:

- Search and Rescue (SAR) – The OPC will be able to search for and locate distressed mariners and recover them from positions of peril, provide medical advice, assistance, or evacuation, and when necessary, provide subjects safe transport to shore side locations. The OPC will also be able to support recovery or control of damage to distressed vessels and other property by controlling or terminating flooding, fighting fires, dewatering, providing mechanical assistance, and towing stricken vessels. The OPC will have a stern ramp to rapidly launch and retrieve small boats. With a sustained presence, the OPC can also serve as an OSC platform, guiding and assisting rotary wing assets.

MARITIME SECURITY:

- Undocumented Migrant Interdiction (MIO) – The OPC C4ISR suite will be employed to provide surveillance, detection, classification, and identification in the undocumented MIO mission. Through a sustained on-scene presence, the OPC will also have the capability of prosecuting Targets of Interest (TOI), including interdiction, embarkation, and disembarkation, and rescuing a large number of people when an unseaworthy or overloaded craft sinks or capsizes. These rescue situations require administrative processing and the ability to retain persons onboard (sheltering, feeding, and to provide basic sanitation and medical services, as well as security for all concerned).

- Illegal Drug Interdiction (DRUG) – The same sensors and communications equipment that will support undocumented MIO will also be used for the DRUG mission. Through effective use of the COP, MCH aircraft, and the LRI/small boats, the OPC will be able to intercept and prosecute suspect vessels.

Offshore Patrol Cutter (OPC)

\$9,800

• Other Law Enforcement (OLE) – The OPC will conduct proactive patrols as well as reactive response to intelligence information, using all sensors and communications equipment to fulfill this mission. Sharing information and data through the use of the C2 system and the COP will result in increased MDA. The OPC will have both active and passive sensors to detect and track vessels or aircraft engaged in, or suspected of, illegal activities. It will identify, classify and sort TOIs. After interdicting suspicious vessels, it will permit at-sea boardings and ease performance of custodial functions associated with seizing vessels or making at-sea arrests.

PROTECTION OF NATURAL RESOURCES:

• Marine Environmental Protection (MEP) – Maritime Pollution Enforcement and Response – The OPC will be able to detect maritime pollution in the U.S. Exclusive Economic Zone (EEZ), based on verification of the type of material in the water, evidence gathering, and documentation. It will enable response to 29 CFR 1910.120 Hazardous Material accidents. Additionally, the OPC will conduct surveillance operations to detect significant discharges of oil or hazardous substances for subsequent monitoring, mitigation, and removal actions. The COP will provide the capability to navigate to previously-marked pollution areas and update them based on current C4ISR and visual indications.

• MEP – Lightering Zone Enforcement (LZE) – The OPC sensors will survey maritime petroleum cargo lightering zones and lightering operations, enabling boardings to enforce applicable lightering regulations.

• Living Marine Resources Enforcement (LMR) – The OPC will enable enforcement of laws and treaties pertaining to LMR, including fisheries and marine mammal protection in domestic and international waters. The cutter will be able to provide sustained presence throughout the U.S. EEZ and along its boundary, as well as in international areas of interest to the U.S. It will allow the conduct of at-sea boardings and inspections to deter illegal or unauthorized LMR activity, permit documentation of violations, and enable arrest and seizure of vessels engaged in LMR violations if directed. The OPC will also be equipped with AIS to monitor surface vessels. The information will provide a ship's name, position, course and speed, and will make the job of vessel identification easier.

NATIONAL DEFENSE:

• Defense Readiness – The OPC's planned defense and security-related capabilities and extended range and endurance make it well-suited for deployments offshore from U.S. coastlines.

– General Defense Operations (GDO) – The OPC will be able to integrate with the DOD in coordinated maritime operations, including surveillance, visit, board, search, seize and unit defense. The OPC will employ the 57 mm gun weapons system with optical and infrared fire control to achieve mission kill on high-speed patrol craft at intermediate-caliber effective range.

– Peacetime Military Engagement (PME) – The OPC will be able to participate in military activities involving other nations to promote and maintain the security environment in peacetime, including nation-building activities. It will be able to maintain a forward presence; permit rendering of humanitarian assistance; conduct professional exchanges; and participate in combined operations, training, exercises, and other military activities. The PME mission may involve long transits and extended operations with deployments of two to four months, for which the OPC will be well-suited.

Offshore Patrol Cutter (OPC)

\$9,800

- Environmental Defense Operations (EDO) – The OPC sensors will be able to detect potential threats to the physical environment to assist DoD with mitigation of environmental exploitation designed to disrupt defense operations.

COST ESTIMATE OF WORK TO BE FUNDED FOR FISCAL YEAR 2010:

ITEM	QUANTITY	TOTAL (\$K)
Alternative Analysis	1	\$2,800
Performance Specifications	1	\$500
Configuration Management Plan	1	\$1,000
Risk Reduction Technical Studies	Job	\$900
Independent Total Ownership Cost Estimates	1	\$900
Life Cycle Cost Reduction Plan	1	\$900
Environment Management Plan	1	\$800
Phase 1 – Concept/Preliminary Design	1	\$2,000
	Total	\$9,800

FUNDING HISTORY:

	FY	TOTAL (\$K)
Preliminary alternative and requirement development	2004	\$15,558
Requirement and concept refinement	2005	\$1,788
Continuing design development (stop-work issued)	2006	\$10,039
Requirements Analysis, initial Concept/Preliminary Design	2009	\$3,003
	Total	\$30,388

Funding history shows available funding for this item based on past appropriations, rescissions, and other changes.

CONTRACTOR:

TBD

SUBCONTRACTORS: TBD

KEY EVENTS:

Release of Concept/Preliminary Design Request for Proposal	FY 2010
Award Multiple Concept/Preliminary Design contracts	2011
Preliminary Design Review	2011

Significant Changes

There are no significant changes to this project.

U. S. Coast Guard - FY 2010 Congressional Budget Submission

Offshore Patrol Cutter (OPC)

\$9,800

Project Schedule

<u>Project Description</u>	<u>Dates by Fiscal Year & Quarter</u>				<u>Total Estimate Cost</u>
	<u>Design Work</u>		<u>Project Work</u>		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2009					
OPC Requirements Analysis	FY09:Q1	FY09:Q1			500
OPC Concept Design	FY09:Q1	FY09:Q4			2,000
OPC Preliminary Design	FY09:Q1	FY11:Q3			503
FY 2010					
Complete Alternatives Analysis	FY10:Q1	FY10:Q2			2,800
Prepare Performance Specification	FY10:Q1	FY10:Q2			500
Prepare Configuration Management Plan	FY10:Q2	FY10:Q3			1,000
Risk Reduction Technical Studies	FY10:Q2	FY10:Q3			900
Independent Total Ownership cost	FY10:Q2	FY10:Q3			900
Life Cycle Cost Reduction Plan	FY10:Q1	FY10:Q3			900
Environmental Management Plan	FY10:Q1	FY10:Q2			800
Phase 1 (Concept/Preliminary Design)	FY10:Q3	FY10:Q4			2,000

Schedule of Project Funding

	<u>Project Funds</u>				<u>Total</u>
	<u>FY 2007 & Prior</u>	<u>FY 2008</u>	<u>FY 2009</u>	<u>FY 2010</u>	
Appropriation	27,386		3,003	9,800	40,189
Obligation	19,693	5,000	3,003	9,800	37,496
Expenditure	19,693	2,308	3,003	9,800	34,804
<u>Breakdown of Project Expenditures</u>					
Survey, Design & Engineering	19,693	2,308	3,003	9,800	34,804

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2010 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Complete Alternatives Analysis	2,800
Prepare Performance Specification	500
Prepare Config. Mgmt Plan	1,000
Risk Reduction Technical Studies	900
independent Total Ownership Cost Estimates	900
Life Cycle Cost Reduction Plan	900
Environmental Management Plan	800
Phase 1 (Concept/Preliminary Design)	2,000
FY 2010 Cost Estimate Project Total:	9,800

Offshore Patrol Cutter (OPC)

\$9,800

Method of Performance

The Dekker Trakker software program, which meets ANSI/EIA Standard 748, is employed by Deepwater to resource load schedules, track progress and record expenses. Moreover, Dekker iPursuit is also used to view monthly Cost Performance Reports. The iPursuit program also allows for extensive insight into the data used to generate Cost Performance reports. For example, it can provide a breakdown of cost and schedule variances by Work Breakdown Structure (WBS). An Earned Value Management System (EVMS) is used to track contract work under contracted Task Orders.

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2009</u>	<u>FY 2010</u>
Search and Rescue	381	1,243
Marine Safety	36	118
Aids to Navigation	5	16
Ice Operations	-	-
Marine Environmental Protection	-	-
Living Marine Resources	589	1,922
Drug Interdiction	795	2,594
Migrant Interdiction	589	1,922
Other Law Enforcement	61	200
Ports, Waterways & Coastal Security	458	1,495
Defense Readiness	89	290
Mission-Program Allocation Total:	3,003	9,800

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act.

**U. S. Coast Guard Justification
Acquisition, Construction & Improvements
FY 2010 Congressional Budget Submission
(Dollars in Thousands)**

Fast Response Cutter (FRC)

\$243,000

Project Description, Justification and Scope

This request funds production of FRC-B hulls #5 - #8, associated contract line items (spares, training, warranty, supply support, builders risk insurance), and project management costs. The Coast Guard continues to have a critical need for replacement patrol boats and the FRC-B will help meet that need. The FRC-B was developed as a mitigation strategy due to the critical shortfall of patrol boat mission hours. For FY 2010 and beyond, the FRC-B acquisition strategy is structured with annual options for procurement of four or six cutters. The schedule provides for the lead cutter delivery in FY 2011 and the 12th cutter by the end of FY 2013.

CAPABILITY ACQUIRED/MAINTAINED:

Patrol boats are a critical Coast Guard response and prosecution asset for all mission areas, and are an integral component to our suite of capabilities. The FRC-B will provide valuable new capabilities not found on the legacy 110' WPB, an enhanced command, control, communications, intelligence, surveillance and reconnaissance (C4ISR) suite, and an improved quality of life. The FRC-B will also have enhanced maritime security capabilities that will support homeland security and homeland defense through increased speed and mission effectiveness. The FRC-B will be capable of reaching speeds of approximately 28 knots, providing enhanced response and reaction capability. The FRC-B will also have critical DHS and DOD communications interoperability improvements, including Military Satellite Communications (MILSATCOM), and local first responder-interoperable radio communications. Where increased weapons capability and deterrence are required, the main gun of the FRC-B will be used to enhance mission execution.

PERFORMANCE:

The FRC-B sustains a critical part of Coast Guard missions and will be a maritime security workhorse, patrolling in both coastal and high seas areas. Improved interoperability, C4ISR, common operating picture (COP), and sensors enhance surveillance and identification performance over existing capabilities of the legacy 110' patrol boat. With its high readiness, speed, adaptability, and endurance, the FRC-B will respond quickly and effectively to emerging security and safety issues, essential to achieving mission success in the following Congressionally-mandated missions:

MARITIME SAFETY:

- Search and Rescue (SAR) – The FRC-B will enable the ability to search for and locate distressed mariners and recover them from positions of peril, provide medical assistance or evacuation, and provide safe transport. The FRC-B will enable the ability to control damage to distressed vessels and other property, provide dewatering equipment and mechanical assistance, and tow stricken vessels. The FRC-B will allow commanders to integrate, coordinate and assist a large number of SAR assets during surge events during weather anomalies (such as hurricanes or gale-force winds), ocean liner rescue operations, and downed airline rescue operations.

MARITIME SECURITY:

- Undocumented Migrant Interdiction (MIO) – The FRC-B will enable the ability to conduct shipboard migrant interdiction evolutions, including detection, tracking, interdiction, embarkation and disembarkation, rescue administrative processing, and retention onboard. Targets include slow-moving

Fast Response Cutter (FRC)

\$243,000

rafts, small sailing vessels, small sport fishing vessels, high-speed, “go fast” type vessels, and small motor freighters attempting to make the voyage to the United States, Puerto Rico, or other U.S. territories. The FRC-B will be capable of patrolling areas where suspected illegal migration may occur, dispatching boarding teams to suspect vessels and subsequently escorting them to their final disposition. When conducting interdiction operations, both proactive and reactive, the FRC-B will be capable of a sustained presence and have the capability to rescue and shelter a large number of people in the event that the typical unseaworthy or overloaded craft sinks or capsizes during the attempted voyage. This capability will be facilitated by using rope ladders and/or cargo nets on one side of the cutter. The FRC-B will be capable of embarking a large number of migrants for at least one day, providing physical security, food, water, sanitation, basic medical services, shelter (separate from the ship’s crew), and enable administrative processing.

- **Illegal Drug Interdiction (DRUG)** – The FRC-B will have the capability to conduct illegal drug interdiction, including surveillance, visible deterrence in areas where the possibility of contraband smuggling exists, response to intelligence information and known incidents of drug smuggling, and the ability to dispatch a boarding team. The cutter will be able to intercept and take possession of contraband and the smuggling vessel, allowing the crew to arrest, detain, and transport suspects for further transfer ashore. The FRC-B will possess the capability for integration and interoperability in communications, speed, sensors, and endurance with DOD and other government agencies. The cutter will have an approximate 28 knot speed capability for rapid interdiction of suspected targets of interest, and be equipped with a deck-mounted gun and small arms.
- **Other Law Enforcement (OLE)** – The FRC-B will enable enforcement of laws additional to those inherent in the primary mission areas of migrant interdiction, illegal drug interdiction, environmental defense, lightering zone enforcement, living marine resources enforcement and maritime pollution enforcement. This capability will include proactive patrols as well as reactive response to intelligence information. The sensors will be effective both day and night, and in all weather and sea conditions. The FRC-B will enable conduct of at-sea boardings and, if necessary, taking possession of a suspect vessel and escorting or towing it to port. The cutter will have an integrated architecture of surveillance sensors, operational databases, decision support systems, and communication equipment to collect, process, and disseminate operational information to other Coast Guard units, as well as other agencies in a timely manner.
- **Protecting the U.S. Exclusive Economic Zone (EEZ) from foreign encroachment** – The FRC-B will have the capability of conducting surveillance of foreign vessels in operating areas and the ability to conduct at-sea boardings.

PROTECTION OF NATURAL RESOURCES:

- **Marine Environmental Protection (MEP) – Maritime Pollution Enforcement and Response** – The FRC-B will be capable of conducting surveillance and inspection operations to detect significant discharges of oil, hazardous substances, debris, and ballast water for subsequent monitoring, mitigation, and removal actions in the U.S. EEZ. These operations involve verification of type of material in the water, evidence gathering and documentation, and are limited to visual determination of the type of pollutant, thickness, and extent, day or night and in moderate weather conditions.

Fast Response Cutter (FRC)

\$243,000

- Lightering Zone Enforcement (LZE) – The FRC-B will have the capability to survey lightering zones and lightering operations and conduct boardings as necessary.
- Living Marine Resources (LMR) – The FRC-B will enable enforcement of laws and treaties pertaining to LMR, including fisheries and marine mammal protection. The FRC-B will have the capability of a sustained presence within the U.S. EEZ, enabling at-sea boardings and inspections to deter illegal or unauthorized activity by documenting violations. The FRC-B may take possession of a suspect vessel and then escort or tow it to port, allowing the crew to arrest, detain, and transport suspects for further transfer ashore.

NATIONAL DEFENSE:

- Defense Readiness – The FRC-B will be designed to provide support to the DOD in a variety of roles and missions. The FRC-B will have the capability to integrate with the DOD in the full range of maritime operations, including surveillance, visit, board, search, seize, and unit defense. The FRC-B will conduct national defense maritime operations worldwide in low threat environments.

FRC-B support for national defense missions will be provided through the following six mission areas:

- General Defense Operations (GDO)
- Maritime Interception Operations (MIO)
- Coastal Sea Control Operations (CSCO)
- Military Environmental Response Operations (MERO)
- Theatre Security Cooperation (TSC)

Representative activities that the FRC-B will conduct in support of national defense include:

- Limited military sealift and commercial shipping escort
- Limited combat search and rescue
- Surveillance and interdiction
- Visit, board, search and seizure
- Force protection of military shipping at U.S. seaports of embarkation and overseas ports of debarkation

COST ESTIMATE OF WORK TO BE FUNDED FOR FISCAL YEAR 2010:

ITEM	QUANTITY	TOTAL (\$K)
Exercise Contract Option 2	4	\$243,000
- First full rate production multi-cutter option buy (FRC-B hulls #5-8)		
	Total	\$243,000

FUNDING HISTORY:

	FY	TOTAL (\$K)
Design and Lead Ship (FRC-B #1)	2007 & Prior	\$106,694
FRC-B #2 (FRC-A unobligated funding per FY 2008 language)	2007	\$41,580
LRIP - FRC – B #2, 3, and 4	2009	\$115,300
	Total	\$263,574

Funding history is the available funding for this item based on past appropriations, rescissions, and other changes.

U. S. Coast Guard - FY 2010 Congressional Budget Submission

Fast Response Cutter (FRC)

\$243,000

CONTRACTOR: Bollinger Shipyards, Inc.

Type of Contract: Fixed Price (with Economic Price Adjustment)

SUBCONTRACTORS: TBD

Production Subcontractor: TBD

Assembly Subcontractor: TBD

KEY EVENTS

	FY
Contract Award	2008
Critical Design Review	2009
Start Production	2009
Lead ship Delivery	2011

Significant Changes

The House Report directed the use of FY 2007 FRC-A funding (\$41.6M) for the FRC-B parent craft cutter, which, along with the requested (\$115.3M) FY 2009 appropriations, funds the three Low Rate Initial Procurement (LRIP) cutters.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2009					
LRIP Production-FRC-B Cutters # 2 - 4			FY09:Q4	FY11:Q4	115,300
<hr/>					
FY 2010					
Full Rate Production - FRC-B Cutters # 5 - 8			FY10:Q4	FY12:Q3	243,000

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2007 & Prior</u>	<u>FY 2008</u>	<u>FY 2009</u>	<u>FY 2010</u>	
Appropriation	148,273		115,300	243,000	506,573
Obligation	1,824	92,000	169,000	243,000	505,824
Expenditure	1,824	45,551	169,000	176,000	392,375
<hr/>					
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition		37,149	151,400	144,320	332,869
Survey, Design & Engineering	1,824	3,600			5,424
Project Management		4,802	17,600	31,680	54,082

U. S. Coast Guard - FY 2010 Congressional Budget Submission

Fast Response Cutter (FRC)

\$243,000

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2010 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Production FRC-B Hulls # 5 - 8	243,000
Exercising of first full rate production multi-cutter option buy	
FY 2010 Cost Estimate Project Total:	243,000

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2009</u>	<u>FY 2010</u>
Search and Rescue	2,435	5,130
Marine Safety	120	252
Aids to Navigation	-	-
Ice Operations	-	-
Marine Environmental Protection	-	-
Living Marine Resources	21,551	45,420
Drug Interdiction	49,098	103,480
Migrant Interdiction	19,145	40,347
Other Law Enforcement	233	489
Ports, Waterways & Coastal Security	18,234	38,430
Defense Readiness	4,484	9,452
Mission-Program Allocation Total:	115,300	243,000

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being completed in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard Justification
Acquisition, Construction & Improvements
FY 2010 Congressional Budget Submission
(Dollars in Thousands)**

IDS Small Boats

\$3,000

Project Description, Justification and Scope

This request funds production of one Long Range Interceptors (LRI #3) and one Short Range Prosecutors (SRP #10).

CAPABILITY ACQUIRED/MAINTAINED:

The LRI is a 35-foot cutter small boat carried by each National Security Cutter (NSC) and Offshore Patrol Cutter (OPC). The LRI provides enhanced capabilities, compared to the legacy cutter boats, such as higher speeds, extended range, better sea-keeping, and greatly improved communications and connectivity to the parent cutter. The LRI



can operate beyond sight of the cutter (over the horizon) to deploy boarding parties, pursue and interdict targets of interest, and perform Search and Rescue operations.

The SRP is an approximately-25-foot cutter small boat that has similar capabilities to the LRI. The SRP will be carried by the NSC, the OPC, and potentially the Fast Response Cutter (FRC) Deepwater surface platforms.

PERFORMANCE:

Integrated Deepwater System (IDS) patrol boats are discussed in terms of “force packages” under the NSC and greatly facilitate achieving mission success in the Congressionally-mandated missions. IDS small boats allow a cutter to conduct search and rescue operations, such as removing migrants from an overloaded boat, and law enforcement operations, such as placing a boarding team on a high interest vessel. The LRI provides significantly improved performance over existing cutter small boats based on increased speed, increased passenger (boarding team) carrying capacity, communications, endurance and range. By operating beyond the line of sight of the cutter, the LRI acts as a significant force multiplier, enabling improved identification and prosecution of targets of interest.

COST ESTIMATE OF WORK TO BE FUNDED FOR FISCAL YEAR 2010:

ITEM	QUANTITY	TOTAL (\$K)
LRI #3	1	\$2,500
SRP #10	1	\$500
	Total	\$3,000

FUNDING HISTORY:

	FY	TOTAL
Design SRP/Start construction of SRP-1 through SRP-2	2002	\$945
Construct SRP-3 through SRP-8*	2003	\$2,710
SRP Mods and LRI FAT Tech Support;	2004	\$1,408

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IDS Small Boats **\$3,000**

LRI-1 Partial Production and Deployment		
Design LRI/Construction of LRI-1 starts; SRP Mods, Repairs, and Studies	2005	\$2,300
Complete construction of LRI-1; BCA for Follow-On LRI Procurements	2006	\$693
SRP-9 Proposal Prep Repricing, Acquisition Planning for LRI & SRP Program restarts	2007	\$1,188
Acquisition Planning for LRI & SRP Program restarts and Launch and recovery interface studies	2008	\$2,700
Engineering and Production of LRI-2 and SRP-9	2009	\$2,400
	Total	\$14,344

Funding History is the funding available for this item based on past appropriations, rescissions, and other changes.

* SRPs #1-8 were built for the 123' WPBs.

CONTRACTOR:

SRP #1-8: Lead: Zodiac of North America, Stevensville, MD

Production Subcontractor: Adrenalin Marine, Ferndale, WA

Assembly Subcontractor: Zodiac Hurricane Technologies, Delta, British Columbia, Canada

LRI #1: Willard Marine. Anaheim, California

KEY EVENTS:

	FY
Delivery SRP-1 through SRP-8	2006 & Prior
Delivery LRI Lead Boat	2007
Delivery SRP-9	2010
Delivery LRI-2	2009
Delivery LRI-3	2011
Delivery SRP-10	2011
Delivery LRI- 4, 5	2012
Delivery SRP-11, 12	2012
Delivery LRI-6	2013
Delivery SRP-13	2013

Significant Changes

The funding history and key events lists were modified to show changes in the production and delivery schedules for both the LRI and SRP related to the business case analyses and re-procurement outside of the ICGS contract. The Coast Guard is taking back the procurement and program management of IDS small boats in-house.

U. S. Coast Guard - FY 2010 Congressional Budget Submission

IDS Small Boats

\$3,000

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2009					
Long Range Interceptor (LRI) #2	FY02:Q2	FY02:Q4	FY02:Q4	FY09:Q4	2,000
Short Range Prosecutor (SRP) #9			FY09:Q3	FY10:Q1	400
FY 2010					
SRP #10			FY10:Q2	FY11:Q1	500
LRI #3			FY10:Q2	FY11:Q1	2,500

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2007 & Prior</u>	<u>FY 2008</u>	<u>FY 2009</u>	<u>FY 2010</u>	
Appropriation	9,244	2,700	2,400	3,000	17,344
Obligation	9,244	2,700	1,500	2,500	15,944
Expenditure	6,880	4,252	1,500	1,500	14,132
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	6,880	4,252	1,500	1,500	14,132

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2010 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Short Range Prosecutor (SRP #10)	500
Long Range Interceptor (LRI #3)	2,500
FY 2010 Cost Estimate Project Total:	3,000

Method of Performance

Per Section 1.H.1 of Deepwater Exhibit 300, "Description of Performance Based Management System", an Earned Value Management System (EVMS) is used for the system integrator contract work under each of the various Delivery Task Orders (DTOs). The Dekker Trakker software program that meets ANSI/EIA Standard 748 is being used by the Deepwater Program. Dekker Trakker is the tool that is used by the Systems Integrator to resource load schedules, track progress and record expenses. An additional Earned Value viewing tool also being used is Dekker iPursuit which is the viewing tool that allows Deepwater personnel to view monthly Cost Performance Reports. The iPursuit program also allows for extensive insight into the data that was used to generate the Cost Performance Reports. For example, it can provide a breakdown of cost and schedule variances by Work Breakdown Structure (WBS).

U. S. Coast Guard - FY 2010 Congressional Budget Submission

IDS Small Boats

\$3,000

Budget Allocation to Mission-Program

U. S. Coast Guard Mission-Program	Budget Allocation	
	FY 2009	FY 2010
Search and Rescue	81	98
Marine Safety	4	8
Aids to Navigation	2	5
Ice Operations	-	-
Marine Environmental Protection	-	-
Living Marine Resources	515	589
Drug Interdiction	1,003	1,254
Migrant Interdiction	345	478
Other Law Enforcement	81	101
Ports, Waterways & Coastal Security	184	213
Defense Readiness	185	254
Mission-Program Allocation Total:	2,400	3,000

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard Justification
Acquisition, Construction & Improvements
FY 2010 Congressional Budget Submission
(Dollars in Thousands)**

Medium Endurance Cutter Sustainment

\$31,100

Project Description, Justification and Scope

This request funds the Mission Effectiveness Project (MEP) for 270' and 210' Medium Endurance Cutters (WMEC). The project includes replacing major sub-systems, such as small boat davits, oily water separators, air conditioning and refrigeration plants, and evaporators. The main propulsion control and monitoring systems will also be upgraded. This work will be performed by the Coast Guard's skilled workforce at the Coast Guard Yard, Curtis Bay, MD. Long Lead Time Material (LLTM) for 270' WMECs will be procured to ensure that subsequent MEP availabilities maintain schedule.

The 270' WMEC cutter class MEP is a two-phase project totaling \$14M per cutter (estimated at approximately \$6.5-7.5M per phase). The 210' WMEC Cutter Class MEP is a single-phase project totaling \$5.6-6.5M per cutter.

CAPABILITY ACQUIRED/MAINTAINED:

This funding will improve the overall mission effectiveness of the 270' and 210' WMEC cutter classes until they are replaced with appropriately capable assets through the Deepwater program. Each 270' and 210' WMEC provides 185 days of mission performance; a loss of that capability puts achievement of long-term DHS performance goals at risk. Additionally, the WMEC Mission Effectiveness Project will improve the cutter's operating and cost performance by replacing equipment that has the highest failure rate with more reliable equipment.

PERFORMANCE:

Mission Level Performance: With the capabilities previously described, the 270' and 210' WMECs will be used to achieve success in the following mission areas:

- Search & Rescue
- Defense Readiness
- Ports, Waterways and Coastal Security
- Illegal Drug Interdiction
- Undocumented Migrants
- Living Marine Resources

System Level Total Ownership Cost: Replacing obsolete equipment will result in greater standardization, capability, and reliability across the two cutter classes. Each cutter will complete the program with new equipment and improved logistical support that will allow for the continued operation of the current WMEC fleet in a more economical manner until their IDS counterparts are delivered.



Medium Endurance Cutter Sustainment

\$31,100

COST ESTIMATE OF WORK TO BE FUNDED FOR FISCAL YEAR 2010:

ITEM	QUANTITY	TOTAL (\$K)
270' WMEC Mission Effectiveness Project Phase I	2	\$11,000
270' MEP Long Lead Time Material (LLTM)	Lot	\$4,000
210' WMEC Mission Effectiveness Project	3	\$16,100
	Total	\$31,100

FUNDING HISTORY:

	FY	TOTAL (\$K)
Legacy Cutter Sustainment Appropriation ¹	2002	\$8,686
WMEC Maintenance Sustainment Availability Project Initiation	2003	\$3,675
WMEC Maintenance Sustainment Availability	2004	\$6,793
WMEC Mission Effectiveness Projects	2005	\$12,500
WMEC Mission Effectiveness Projects	2006	\$24,750
WMEC Mission Effectiveness Projects	2007	\$45,318
WMEC Mission Effectiveness Projects	2008	\$34,500
WMEC Mission Effectiveness Projects	2009	\$35,500
	Total	\$171,722

Funding history is the funding available for this item based on past appropriations, rescissions, and other changes.

¹ Not included in the IDS Acquisition Program Baseline; tracked for history.

CONTRACTOR:

Coast Guard Yard, Curtis Bay, MD

Type of Contract: Government Work Order

KEY EVENTS:

	FY
Gyro Compass, P-250 Pumps, Garbage Pulpers, ALEX HALEY Upgrade	2002
WMEC Maintenance Sustainment Availability Project Initiation	2003
Delivered 270' Phase One WMEC Mission Effectiveness Project Lead Vessel - TAMPA	2006
Delivered 210' WMEC Mission Effectiveness Project Lead Vessel – DEPENDABLE	2006
Delivered 270' Phase One WMEC Mission Effectiveness Project Vessel – HARRIET LANE	2006
Delivered 270' Phase One WMEC Mission Effectiveness Project Vessel - FORWARD	2007
Delivered 210' WMEC Mission Effectiveness Project Vessel – CONFIDENCE	2007
Delivered 210' WMEC Mission Effectiveness Project Vessel – VENTUROUS	2008
Delivered 210' WMEC Mission Effectiveness Project Vessel - VIGOROUS	2008
Delivered 210' WMEC Mission Effectiveness Project Vessel - DECISIVE	2008
Delivered 210' WMEC Mission Effectiveness Project Vessel - ACTIVE	2008
Delivered 210' WMEC Mission Effectiveness Project Vessel - RESOLUTE	2008
Delivered 210' WMEC Mission Effectiveness Project Vessel - VALIANT	2008
Delivered 270' Phase One WMEC Mission Effectiveness Project Vessel - SENECA	2008
Delivered 210' WMEC Mission Effectiveness Project Vessel - VIGILANT	2009

U. S. Coast Guard - FY 2010 Congressional Budget Submission

Medium Endurance Cutter Sustainment **\$31,100**

Delivered 210' WMEC Mission Effectiveness Project Vessel - DAUNTLESS	2009
Delivered 210' WMEC Mission Effectiveness Project Vessel - RELIANCE	2009
Delivered 270' Phase One WMEC Mission Effectiveness Project Vessel - MOHAWK	2009
Deliver 210' WMEC Mission Effectiveness Project Vessel - ALERT	2010
Deliver 210' WMEC Mission Effectiveness Project Vessel – DILIGENCE	2010
Deliver 210' WMEC Mission Effectiveness Project Vessel – STEADFAST	2010
Deliver 270' Phase One WMEC Mission Effectiveness Project Vessel - TAHOMA	2010
Deliver 270' Phase One WMEC Mission Effectiveness Project Vessel – NORTHLAND	2010
Deliver 270' Phase One WMEC Mission Effectiveness Project Vessel – ESCANABA	2010

Significant Changes

Revised cost estimates have been made since the previous budget submission. Estimates were reduced for the 270' cutters due to some advance work being performed that alleviates MEP requirements; estimates were increased on the 210' cutters due to conditions-found assessments on the remaining cutters.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2009					
270' WMEC MEP			FY06:Q1	FY13:Q4	24,592
210' WMEC MEP			FY06:Q1	FY10:Q4	10,908
<hr/>					
FY 2010					
270' WMEC MEP			FY06:Q1	FY13:Q4	15,000
210' WMEC MEP			FY06:Q1	FY10:Q4	16,100

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2007 & Prior</u>	<u>FY 2008</u>	<u>FY 2009</u>	<u>FY 2010</u>	
Appropriation	101,722	34,500	35,500	31,100	202,822
Obligation	101,033	34,689	35,500	31,600	202,822
Expenditure	101,033	34,689	34,680	31,100	201,502
<hr/>					
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	100,533	34,189	34,180	30,600	199,502
Project Management	500	500	500	500	2,000

U. S. Coast Guard - FY 2010 Congressional Budget Submission

Medium Endurance Cutter Sustainment

\$31,100

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2010 Cost Estimate</u>
<u>Construction / Acquisition</u>	
270' MEP (Phase 1) (2)	11,000
210' MEP (3)	16,100
Long Lead Time Materials (LLTM)	4,000
FY 2010 Cost Estimate Project Total:	31,100

Method of Performance

The Project Management Team is committed to using an Earned Value Management System (EVMS) that follows ANSI/EIA Standard 748.

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2009</u>	<u>FY 2010</u>
Search and Rescue	859	753
Marine Safety	41	36
Aids to Navigation	-	-
Ice Operations	-	-
Marine Environmental Protection	-	-
Living Marine Resources	6,670	5,843
Drug Interdiction	14,200	12,440
Migrant Interdiction	5,808	5,088
Other Law Enforcement	81	71
Ports, Waterways & Coastal Security	6,244	5,470
Defense Readiness	1,597	1,399
Mission-Program Allocation Total:	35,500	31,100

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard Justification
Acquisition, Construction & Improvements
FY 2010 Congressional Budget Submission
(Dollars in Thousands)**

Patrol Boat Sustainment **\$23,000**

Project Description, Justification and Scope

This request funds the Mission Effectiveness Project (MEP) for three 110' Island Class Patrol Boats (WPB). The project includes replacing significant areas of hull plate and internal structures as well as major sub-systems, such as the ship service generators, power distribution system, air conditioning & refrigeration plants, water makers, fire suppression system, and fire alarm system. The main propulsion control and monitoring systems will also be upgraded. This work will be performed by two shifts of the Coast Guard's skilled workforce at the Coast Guard Yard, Curtis Bay, MD. Long Lead Time Material (LLTM) for 110' WPBs will be procured to ensure subsequent MEP availabilities maintain schedule.

The 110' WPB Cutter Class MEP is a single phase, 9-month project totaling \$7.0M to \$9.0M in FY 2006 dollars per cutter, depending on the material condition of the hull.

CAPABILITY ACQUIRED/MAINTAINED:

This funding will dramatically improve the overall mission effectiveness of the 110' WPB cutter class until it is replaced with appropriately capable assets through the Deepwater program. Each 110' WPB provides 104 days of mission performance; a loss of that capability puts achievement of long-term DHS performance goals at risk. Additionally, the WPB MEP will improve the cutter's operating and cost performance by replacing equipment that has the highest failure rate with more reliable equipment that is more easily maintained and supported.

PERFORMANCE:

Mission Level Performance: With the capabilities previously described, the 110' WPBs will be used to achieve success in the following mission areas:

- Search & Rescue
- Defense Readiness
- Ports, Waterways and Coastal Security
- Illegal Drug Interdiction
- Undocumented Migrants
- Living Marine Resources

System Level Total Ownership Cost: Replacing obsolete equipment will result in greater standardization, capability, and reliability across the two cutter classes. Each cutter will complete the program with new equipment and improved logistical support that will allow for the continued operation of the current WPB fleet in a more economical manner until their IDS counterparts are delivered.

COST ESTIMATE OF WORK TO BE FUNDED FOR FISCAL YEAR 2010:

ITEM	QUANTITY	TOTAL (\$K)
110' WPB Mission Effectiveness Project	3 hulls	\$23,000
	Total	\$23,000

Patrol Boat Sustainment

\$23,000

FUNDING HISTORY:

	FY	TOTAL (\$K)
WPB Mission Effectiveness Project (FY 2005 Emergency Supp)*	2005	\$49,200
WPB Mission Effectiveness Project (Deepwater FRC-B Transfer)	2007	\$20,000
WPB Mission Effectiveness Project	2008	\$40,500
WPB Mission Effectiveness Project	2009	\$30,800
	Total	\$140,500

Funding history shows the funds available for this item based on past appropriations, reprogrammings, and other changes.

* Not included in the IDS Acquisition Program Baseline.

CONTRACTOR:

Coast Guard Yard, Curtis Bay, MD

Type of Contract: Government Work Order

KEY EVENTS:

WPB Mission Effectiveness Project Initiation outside of Deepwater	FY 2005
Deliver WPB Mission Effectiveness Project Lead Vessel – TYBEE	2007
Deliver WPB Mission Effectiveness Project Vessel – ORACOKE	2008
Deliver WPB Mission Effectiveness Project Vessel – CUTTYHUNK	2008
Deliver WPB Mission Effectiveness Project Vessel – NANTUCKET	2008
Deliver WPB Mission Effectiveness Project Vessel – NAUSHON	2008
Deliver WPB Mission Effectiveness Project Vessel – EDISTO	2008
Deliver WPB Mission Effectiveness Project Vessel – SIKINAK	FY 2009
Deliver WPB Mission Effectiveness Project Vessel – SANIBEL	2009
Deliver WPB Mission Effectiveness Project Vessel – FARALLON	2009
Deliver WPB Mission Effectiveness Project Vessel – ANACAPA	2010
Deliver WPB Mission Effectiveness Project Vessel – CHINCOTEAGUE	2010
Deliver WPB Mission Effectiveness Project Vessel – ORCAS	2010
Deliver WPB Mission Effectiveness Project Vessel – KEY LARGO	2011
Deliver WPB Mission Effectiveness Project Vessel – MUSTANG	2011
Deliver WPB Mission Effectiveness Project Vessel – SAPELO	2012

Significant Changes

Revised cost estimates due to conditions-found assessments on the 110' patrol boats have led to an increase in the request over that included in the FY 2009 Capital Investment Plan.

U. S. Coast Guard - FY 2010 Congressional Budget Submission

Patrol Boat Sustainment

\$23,000

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2009					
110 Sustainment: 3 Hulls			FY09:Q1	FY10:Q2	30,800
<hr/>					
FY 2010					
110 Sustainment: 3 Hulls			FY10:Q1	FY11:Q3	23,000

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2007 & Prior</u>	<u>FY 2008</u>	<u>FY 2009</u>	<u>FY 2010</u>	
Appropriation	69,200	40,500	30,800	23,000	163,500
Obligation	69,200	40,000	30,800	23,000	163,000
Expenditure	69,200	40,000	30,300	23,000	162,500
<hr/>					
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	68,700	39,500	29,800	22,500	160,500
Project Management	500	500	500	500	2,000

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2010 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Sustainment for 3 Hulls	23,000
FY 2010 Cost Estimate Project Total:	23,000

Method of Performance

The Project Management Team is committed to using an Earned Value Management System (EVMS) that follows ANSI/EIA Standard 748.

U. S. Coast Guard - FY 2010 Congressional Budget Submission

Patrol Boat Sustainment

\$23,000

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2009</u>	<u>FY 2010</u>
Search and Rescue	650	485
Marine Safety	32	24
Aids to Navigation	-	-
Ice Operations	-	-
Marine Environmental Protection	-	-
Living Marine Resources	5,757	4,299
Drug Interdiction	13,116	9,794
Migrant Interdiction	5,114	3,820
Other Law Enforcement	62	46
Ports, Waterways & Coastal Security	4,871	3,637
Defense Readiness	1,198	895
Mission-Program Allocation Total:	30,800	23,000

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard Justification
Acquisition, Construction & Improvements
FY 2010 Congressional Budget Submission
(Dollars in Thousands)**

Government Program Management **\$45,000**

Project Description, Justification and Scope

This request provides funding for government program management and oversight. Program management funds provide support for government administration, technical reviews, technology analysis, performance monitoring Program, Operational Test and Evaluation, and Transition and Risk Management.

CAPABILITY ACQUIRED/MAINTAINED:

The Coast Guard is responsible for ensuring the products delivered by contractors and suppliers meet performance specifications. This requires sound management policies and the processes needed for implementation them. Specifically, program management funds provide the Coast Guard with the capability to protect the government's interests during the acquisition process and ensure contractors and suppliers deliver required products and services meeting prescribed terms and conditions. The Coast Guard accomplishes this management and oversight through staff located at the Program Management Office and at other contractor/government sites. Personnel working on CG-9 Acquisition Directorate projects include a mix of military, civilian, and support contractors experienced in all phases of large, complex acquisition programs. This request funds the support contractors that assist the government personnel in providing oversight to acquisition projects. These contractors perform specific, well-defined tasks that are not inherently governmental.

Technology is constantly changing and several technology refreshes or upgrades are planned over the projected life cycle of the Coast Guard Acquisition Projects. Government program management personnel analyze the capability and applicability of these replacement technologies. Support contractors assist this effort and gather and assemble data into the government-designated format to aid informed government decision-making.

Government program management funding also supports performance monitoring of all contracts. This is accomplished through the use of a variety of tools such as the Earned Value Management System (EVMS), periodic reports to DHS and Congress, and use of the Acquisition Performance Management System (APMS). EVMS permits the Coast Guard to closely follow cost and schedule performance of the projects by asset, while the reports and APMS data allow for periodic internal and external reviews of program cost, schedule, and performance criteria.

APMS provides web-based reporting of program performance in all aspects on a near real-time basis, depending upon the particular metric used. In addition, risk management provides the Coast Guard the opportunity to forecast future performance of various assets and the operational performance of the Acquisition Directorate projects from a "what if" perspective. This important analysis is aided by the development of various scenarios by experienced government employees and support contractors based on multiple past acquisition programs as well as operational experience and forecasts.

Government program management funding also supports the Operational Tests and Evaluation (OT&E) done with the U.S. Navy's Commander Operational Test and Evaluation Forces (COMPOPTEVFOR) for the execution of project operational testing. While Developmental Test and Evaluation (DT&E) is

Government Program Management

\$45,000

the responsibility of the contractor, OT&E is an inherently governmental responsibility. The U.S. Navy's testing organization, COMOPTEVFOR, serves as the technical advisor to Coast Guard and is responsible for overseeing and contributing to the conduct of tests for the early involvement, review, and assessment of system and asset operational performance. Modeling is one of the methodologies used to monitor system-level performance. Government program management funding is used to fund designated modeling activities. Modeling is also used as a means to assess different alternatives as well as to assess the impact on system-level performance to determine the best mix of asset capability to meet mission objectives.

Government program management funding supports the transition of the assets to the Coast Guard. The government staff serves a liaison during the transition period between the prime contractor's delivery of an asset when it is ready for operational testing up through the time the asset is transferred to the operational user and the Coast Guard support community.

The Government Accountability Office (GAO) and Congress have both expressed a desire for the Coast Guard to provide more government oversight of the Coast Guard Acquisition as well as assume greater systems integration responsibility. This increase in oversight and integration will be accomplished by increasing the number of government personnel (not funded within this request) and increasing the use of third party independent analysis. In addition, the Coast Guard's Acquisition Directorate (CG-9) is developing a government competency in systems engineering for integrating multiple assets and C4ISR systems into the operations of the Coast Guard to support the acquisition projects under CG-9.

New initiatives have been implemented to improve the investment/acquisition metrics and ensure appropriate internal controls are in place while complying with increasingly complex financial management controls and processes. As an example, all CG-9 program/project managers have developed annual project performance plans detailing key events and success criteria for assessing risk and performance against approved documents and plans. The analysis of these plans are funded by the government program management request.

This funding request also funds administrative, travel and training costs directly associated with government personnel working on the acquisition projects in the CG-9 Acquisition Directorate.

Finally, government program management funding is used to ensure the Coast Guard is responsive to various Congressional, GAO and DHS-IG requests for information. This important function keeps these entities informed as they conduct appropriate oversight of the Coast Guard Acquisition and requires sufficient funding to ensure that accurate information is provided to these organizations in a timely manner.

U. S. Coast Guard - FY 2010 Congressional Budget Submission

Government Program Management **\$45,000**

COST ESTIMATE OF WORK TO BE FUNDED THIS FISCAL YEAR 2010:

ITEM	QUANTITY	TOTAL (\$K)
Government Program Management	Job	\$45,000

FUNDING HISTORY

	FY	TOTAL (\$K)
Government Program Management	2002	\$28,985
	2003	\$27,818
	2004	\$33,521
	2005	\$38,000
	2006	\$38,114
	2007	\$45,675
	2008	\$50,475
	2009	\$58,000
	Total	\$320,588

Funding history is the funding available for this item based on past appropriations, rescissions, and other changes.

Significant Changes

The primary reason for the decrease between FY2009 and FY2010 is due to the additional 65 AC&I personnel (funded by “Direct Personnel Costs”) positions authorized for FY2009. These personnel will be hired throughout FY2009 and will be able to absorb the Program Management work and oversight in FY2010.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2009					
Government Program Management			FY09:Q2	FY23:Q4	58,000
FY 2010					
Government Program Management			FY10:Q1	FY23:Q4	45,000

U. S. Coast Guard - FY 2010 Congressional Budget Submission

Government Program Management

\$45,000

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2007 & Prior</u>	<u>FY 2008</u>	<u>FY 2009</u>	<u>FY 2010</u>	
Appropriation	212,113	50,475	58,000	45,000	365,588
Obligation	201,870	58,717	58,500	42,000	361,087
Expenditure	201,870	58,717	28,800	10,500	299,887
<u>Breakdown of Project Expenditures</u>					
Project Management	201,870	58,717	28,800	10,500	299,887

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2010 Cost Estimate</u>
<u>Project Management</u>	
Government Program Management	45,000
FY 2010 Cost Estimate Project Total:	45,000

Method of Performance

Per Section 1.H.1 of Deepwater Exhibit 300, "Description of Performance Based Management System", an Earned Value Management System (EVMS) is used for the system integrator contract work under each of the Delivery Task Orders (DTOs). The Dekker Trakker software program, which meets ANSI/EIA Standard 748, is employed by Deepwater to resource load schedules, track progress and record expenses. Moreover, Dekker iPursuit is also used to view monthly Cost Performance Reports. The iPursuit program also allows for extensive insight into the data used to generate Cost Performance reports. For example, it can provide a breakdown of cost and schedule variances by Work Breakdown Structure (WBS).

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2009</u>	<u>FY 2010</u>
Search and Rescue	9,980	7,648
Marine Safety	524	387
Aids to Navigation	983	788
Ice Operations	524	429
Marine Environmental Protection	1,332	1,092
Living Marine Resources	9,152	7,712
Drug Interdiction	16,634	12,240
Migrant Interdiction	6,910	5,287
Other Law Enforcement	1,460	1,026
Ports, Waterways & Coastal Security	8,415	6,804
Defense Readiness	2,086	1,587
Mission-Program Allocation Total:	58,000	45,000

U. S. Coast Guard - FY 2010 Congressional Budget Submission

Government Program Management **\$45,000**

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard Justification
Acquisition, Construction & Improvements
FY 2010 Congressional Budget Submission
(Dollars in Thousands)**

Systems Engineering and Integration **\$35,000**

Project Description, Justification and Scope

This request impacts every aspect of the Coast Guard enterprise—encompassing the integration of human-capital management; information technology; capital investment planning for air and surface platforms; logistics; command, control, and computers; intelligence, surveillance, and reconnaissance; and, most importantly, the fleet operator. Systems engineering and integration includes the following activities:

- Systems Engineering
 - System architecture development,
 - Operational performance analysis,
 - Cost reduction efforts, and
 - Enterprise level requirements management
- Enterprise level system integration;
- Interface management;
- Configuration management;
- Technical data management;
- Technical assessment; and
- Decision analysis.

CAPABILITY ACQUIRED/MAINTAINED:

Systems engineering and integration is essential for interoperability at the unit, system and organizational levels, both internal and external to the Coast Guard. Effective systems integration ensures systems can operate together, while minimizing the cost of asset acquisition, operations and maintenance, and the risk inherent in a comprehensive and complex acquisition program. Additionally, systems engineering and integration maximizes the ability of assets to interoperate with each other and with those of other agencies (i.e., DHS, DoD, other government agencies, and state and local responders).

The Coast Guard is fielding an integrated system of aviation, cutter and shore assets that are interoperable through a comprehensive C4ISR detection and communications structure. Without systems engineering and integration, these assets and sub-systems would be implemented in an inefficient and ineffective manner. One example demonstrating the need for systems engineering and integration involves the delivery of upgraded capabilities to legacy cutters, including a Classified Local Area Network (CLAN), upgraded INMARSAT B satellite communications, Automatic Identification System (AIS), and law enforcement radios, providing significantly increased capabilities and Maritime Domain Awareness to the legacy cutters. Systems engineering and integration applied to these upgrades emphasized a system-wide view of the project, resulting in recognition of corresponding upgrades to be accomplished at shore-side command centers. This approach to integration ensures the cutters can send and receive important operational information, further improving Maritime Domain Awareness and Operational Performance. Failure to utilize systems engineering and integration could have potentially resulted in upgrading the cutters alone, marginalizing the benefits of the C4ISR upgrades.

System engineering evaluations are performed across the system, subsystem, and component levels to analyze products and capabilities for both interoperability and system commonality. These efforts

Systems Engineering and Integration \$35,000

culminate in the ability to determine and document predicted total system performance for numerous configurations and scenarios. Systems engineering has the responsibility for the overall technical configuration-development process.

PERFORMANCE:

Systems engineering and integration is essential to improving operational performance of all Coast Guard assets and directly supports mission success in all Congressionally-mandated missions. Systems engineering and integration also provides identification of possible cost reduction approaches.

COST ESTIMATE OF WORK TO BE FUNDED THIS FISCAL YEAR 2010:

ITEM	QUANTITY	TOTAL (\$K)
Systems Engineering and Integration	Job	\$35,000

FUNDING HISTORY	FY	TOTAL (\$K)
Overall Contractor Management of the Systems Engineering Process	2002	\$63,330
	2003	\$45,626
	2004	\$42,105
	2005	\$43,000
	2006	\$36,403
	2007	\$34,517
	2008	\$35,145
	Total	\$300,126

Funding History is the funding available for this item based on past appropriations, rescissions, and other changes.

CONTRACTOR:

Various and TBD.

Type of Contract: Various including time and materials, firm-fix price, and cost-plus fee contracts.

Contract options: Various

Note: The Coast Guard is assuming increased system integrator responsibilities for all IDS assets as a part of an effort to improved overall acquisition management effectiveness. The Coast Guard anticipates that a portion of funding will be redirected, as needed, to third party systems integration and management contracts other than ICGS to improve program oversight and effectiveness.

KEY EVENTS:

System Increment 1 – Integrated Product Environment	FY 2002
System Increment 2 – Initial Integrated Product & Process Development Team Training	2003
System Increment 3 – System Architecture Plan	2004
Prime Contractor’s Program Management, Systems Engineering and Integration Transfer	2005-2007

U. S. Coast Guard - FY 2010 Congressional Budget Submission

Systems Engineering and Integration

\$35,000

Significant Changes

The revised funding request from the prior budget submission reflects the Coast Guard's assumption of the lead systems integrator role from ICGS. Greater responsibilities associated with the new role have resulted in increased costs needed for external expertise while the government grows an adequate number of in-house personnel to effectively manage complex platform and asset integration.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total
	Design Work		Project Work		Estimate
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	<u>Cost</u>
FY 2009					
Systems Engineering & Integration			FY2002:Q2	FY2026:Q4	33,141
<hr/>					
FY 2010					
Systems Engineering & Integration			FY2002:Q2	FY2026:Q4	35,000

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2007 & Prior</u>	<u>FY 2008</u>	<u>FY 2009</u>	<u>FY 2010</u>	
Appropriation	264,981	35,145	33,141	35,000	368,267
Obligation	264,116	36,010	28,116	28,000	356,242
Expenditure	264,116	36,010	17,029	17,400	334,555
<hr/>					
<u>Breakdown of Project Expenditures</u>					
Survey, Design & Engineering	264,116	36,010	17,029	17,400	334,555

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2010 Cost Estimate</u>
<u>Survey, Design & Engineering</u>	
Systems Engineering & Integration	35,000
FY 2010 Cost Estimate Project Total:	35,000

Method of Performance

Per Section 1.H.1 of Deepwater Exhibit 300, "Description of Performance Based Management System", an Earned Value Management System (EVMS) is used for the system integrator contract work under each of the Delivery Task Orders (DTOs). The Dekker Trakker software program, which meets ANSI/EIA Standard 748, is employed by Deepwater to resource load schedules, track progress and record expenses. Moreover, Dekker iPursuit is also used to view monthly cost performance reports. The iPursuit program also allows for extensive insight into the data used to generate cost performance reports. For example, it can provide a breakdown of cost and schedule variances by work breakdown structure (WBS).

U. S. Coast Guard - FY 2010 Congressional Budget Submission

Systems Engineering and Integration

\$35,000

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2009</u>	<u>FY 2010</u>
Search and Rescue	5,692	6,011
Marine Safety	299	316
Aids to Navigation	560	591
Ice Operations	299	316
Marine Environmental Protection	758	801
Living Marine Resources	5,219	5,512
Drug Interdiction	9,547	10,083
Migrant Interdiction	3,941	4,162
Other Law Enforcement	834	881
Ports, Waterways & Coastal Security	4,800	5,069
Defense Readiness	1,192	1,258
Mission-Program Allocation Total:	33,141	35,000

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard Justification
Acquisition, Construction & Improvements
FY 2010 Congressional Budget Submission
(Dollars in Thousands)**

C4ISR

\$35,000

Project Description, Justification and Scope

This request funds design and development of the Common Operating Picture as part of the Command, Control, Communications, Computer, Intelligence, Surveillance, and Reconnaissance (C4ISR) system. The C4ISR system is designed to provide critical information and knowledge to field commanders allowing them to most efficiently and effectively exercise authority, while directing and monitoring assigned across the range of Coast Guard missions. C4ISR system is designed to include:

- Collecting operational and intelligence information and data; process and integrate the data into operationally-valued and assured information; and analyze, evaluate, and/or interpret the available operational and intelligence information into actionable knowledge to enhance maritime domain and situational awareness within maritime areas of the U.S. This process is specifically focused on preventing terrorist or other illegal acts such as drug smuggling, while simultaneously assisting mariners in distress or aiding maritime shipping;
- Systematically enabling persistent surveillance required to maintain the operational and commercial viability of the U.S. maritime domain, consisting of ports, waterways and coastal areas on and above the water's surface by visual, audio, electronic, photographic, or other means; and
- Obtaining, by technical sensor and intelligence methods and visual observation, information about the activities and possible threats from terrorists and other criminal activities, while concurrently observing and assisting legitimate users in U.S. ports, waterways and coastal regions.

C4ISR is the eyes, ears and cognitive recognition system allowing the Coast Guard to see, hear, comprehend and communicate what is happening in America's maritime regions. This is accomplished using modern electronic components, such as interoperable radio and satellite communication systems and improved optical/radar sensors, that can improve sightings in total darkness and detect maritime targets in all weather conditions. In addition, it uses an interoperable network to bring all operational and intelligence data together, transforming the data into a Common Operating Picture (COP). The FY 2010 request continues to fund improvements to C4ISR, enabling earlier awareness, alerting and queuing of events through the more effective gathering of terrorism-related information, analysis and coordination, leading to the appropriate response—all critical to detecting, deterring, and defeating terrorists and other criminals.

When Deepwater's C4ISR modernization and recapitalization is complete, cutters and aircraft will no longer operate as relatively independent platforms with limited awareness in the maritime region as they do today. Instead, a wide variety of ships, sensors, and intelligence sources will provide information to these platforms, enabling them to significantly contribute to the COP shared with DHS and DoD command and control systems.

This request is for one of the three C4ISR elements: Part 1 - the Common Operating Picture (COP). Once complete, the Coast Guard will have the capabilities needed to process rapidly growing amounts of operations and intelligence data from the C4ISR system. The C4ISR elements contain the following breakdown of funding:

C4ISR

\$35,000

Common Operating Picture (COP) - \$35,000. This work completes segment 2 of four incremental additions to the core C4ISR software design, development, and deployment completed in Increments 1. Assets receive increased functionality through incremental design, development and deployment.

COP Implementation Plan

The C4ISR Implementation Plan provides for a core C4ISR design for all assets, which will increase software reuse, minimize training and maintenance costs, and increase interoperability between Coast Guard assets. Furthermore, Segment 2 improves the Coast Guard's overall surveillance, detection, classification, and identification capabilities, which will increase the mission performance in all areas.

The C4ISR design is being developed and fielded in a sequence of four increments of which each is a generation of software. Each C4ISR increment will result in a considerable improvement in the functionality of the standard command and control (C2) system used aboard legacy and newly-acquired cutters, aircraft and shore assets, as well as sensor functionality improvements. These enhancements include mission support and decision aids, general mission tools, Search and Rescue (SAR) planning capabilities, maritime law enforcement case management tool enhancements, case files data storage, target of interest doctrine, emission control, self defense coordinator, intelligence systems that can "fingerprint" and identify a vessel, and self-defense capabilities for the National Security Cutters (NSC) deploying with U.S. Navy battle groups. Moreover, Segment 3 will begin to develop interfaces with other Coast Guard systems, improving interoperability. These systems are acquired and managed under the Integrated C4ISR Program Office in the Coast Guard's newly reformed Acquisition Directorate.

Functionality, funding is included to partially fund the Coast Guard's Command and Control Center (C2CEN) assistance in the design and testing of C4ISR systems acquired by the Acquisition Directorate. This includes funding for the inherently governmental responsibility to ensure safety and security of the system required in order to operate the system. Examples of operations enabled through C & A include connection to SIPRNET, CGDN +, DHS One Net, record message communications, MILSATCOM communications, LINK-11 connection, COP connection with DoD and DHS, and many other capabilities. Without this funding, the C4ISR system is not certified and accredited and therefore cannot be used operationally.

U. S. Coast Guard - FY 2010 Congressional Budget Submission

C4ISR

\$35,000

COST ESTIMATE OF WORK TO BE FUNDED FOR FISCAL YEAR 2010:

<u>ITEM</u>	<u>QUANTITY</u>	<u>TOTAL (\$K)</u>
Common Operating Picture (COP) Segment 2		\$35,000
	Total	\$35,000

<u>FUNDING HISTORY</u>	<u>FY</u>	<u>TOTAL (\$K)</u>
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Common Operating Picture (COP)

COP Increment 1, Design, Integration and Test Center (DTIC), Phase I and II of Production	2002	\$ 110,255
COP Increment 1, DITC	2003	\$ 10,782
COP Increment 1, DTIC (name changed to Maritime Domain Awareness Center (MDAC))	2004	\$ 72,222
COP Increment 1 & 2, MDAC	2005	\$ 32,326
COP Increment 1, MDAC	2006	\$ 45,764
COP Increment 1 & 2, MDAC	2007	\$ 39,552
COP Segment 2, MDAC	2008	\$ 83,730
COP Segment 2, MDAC	2009	\$ 88,100
<i>COP Subtotal</i>		\$482,731

Legacy Cutter Upgrades

Secure Comms Upgrades on 210 WMEC, 270 WMEC, & 378 WHEC Classes	2002	\$ 12,961
Secure Comms Upgrades on 210 WMEC, 270 WMEC, & 378 WHEC Classes	2003	\$ 6,282
Legacy Cutter Upgrades	2004	\$ 7,058
Legacy Cutter Upgrades	2005	\$ 1,500
Legacy Cutter C&A	2006	\$ 464
Legacy Cutter Upgrades	2007	\$ 331
Legacy Cutter Upgrades	2008	\$ 400
<i>Legacy Cutter Subtotal</i>		\$28,996

Shore Facilities Upgrades

Communications Area Master Stations Upgrade (1.0)	2002	\$ 2,286
Operations Center Upgrades	2003	\$ 5,381
Operations Center Upgrades, Intel Coordination Center Design and Upgrades	2004	\$ 21,854
Operations Center Upgrades at New Orleans, LA; Seattle, WA; Juneau, AK; Boston, MA; Honolulu, HI, Communications Area Master Stations Upgrades Communication Station Upgrades Phase 1 at Boston, MA; Apra Harbor, Guam; Honolulu, HI; Kodiak, AK; Miami, FL; New Orleans, LA	2005	\$19,774
Operations Center Upgrades and Infrastructure Upgrades	2006	\$ 1,292
Command Center Upgrades	2007	\$ 10,117
Communications Station and Master Station Upgrades	2008	\$ 5,500
<i>Shore Subtotal</i>		\$66,204

C4ISR TOTAL

\$577,931

U. S. Coast Guard - FY 2010 Congressional Budget Submission

C4ISR

\$35,000

Summary of above Funding History

(\$K)	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	SubTotal
COP	\$ 110,255	\$ 10,782	\$ 72,222	\$ 32,326	\$ 45,764	\$ 39,552	\$ 83,730	\$ 88,100	\$482,731
Legacy	\$ 12,961	\$ 6,282	\$ 7,058	\$ 1,500	\$ 464	\$ 331	\$ 400		\$ 28,996
Shore	\$ 2,286	\$ 5,381	\$ 21,854	\$ 19,774	\$ 1,292	\$ 10,1170	\$ 5,500		\$ 66,204
Totals	\$125,502	\$22,445	\$101,134	\$53,600	\$47,520	\$141,053	\$89,630	\$88,100	\$577,931

KEY EVENTS:

COP Increment 1 Completion	FY 2008
COP Segment 2 Acceptance	2011
Complete Legacy Cutter Upgrades	2021

Significant Changes

Administrative correction made to funding history. There was a change in the C4ISR funding plan primarily focused on the Certification and Accreditation (C&A) costs. Over the last three years, the Coast Guard and DoD have gained a better understanding of the costs associated with ensuring newly-developed systems, and the data that resides in the systems, are not vulnerable to internal and external attacks. These costs are being applied towards maintaining the systems security posture to ensure national security information is not compromised. Specifically, the cost is associated with maintaining a network security posture consistent with national policy established by the National Security Agency and DoD.

The Coast Guard will begin transitioning more of the C4ISR system integration, testing, and support activities to C2CEN vice the MDAC. This provides the Coast Guard with more visibility into the development and support process of the Integrated Deepwater System C² systems. Since 2007, the Coast Guard has increased oversight of the software development process, implementation of information assurance policies, and support of the Coast Guard C4ISR system.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2009					
COP	FY09:Q2	FY11:Q3			77,100
In-Service Cutter Upgrades	FY09:Q3	FY13:Q4			11,000
<hr/>					
FY 2010					
COP Segment 2			FY10:Q2	FY13:Q4	35,000

U. S. Coast Guard - FY 2010 Congressional Budget Submission

C4ISR

\$35,000

Schedule of Project Funding

	Project Funds				<u>Total</u>
	<u>FY 2007 & Prior</u>	<u>FY 2008</u>	<u>FY 2009</u>	<u>FY 2010</u>	
Appropriation	400,201	89,630	88,100	35,000	612,931
Obligation	387,427	71,704	70,480	28,000	557,611
Expenditure	387,427	17,926	17,620	7,000	429,973
Breakdown of Project Expenditures					
Construction / Acquisition	322,727	17,926	17,620	7,000	365,273
Survey, Design & Engineering	64,500				64,500
Project Management	200				200

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2010 Cost Estimate</u>
<u>Construction / Acquisition</u>	
COP Segment 2	35,000
FY 2010 Cost Estimate Project Total:	35,000

Method of Performance

Per Section 1.H.1 of Deepwater Exhibit 300, "Description of Performance Based Management System", an Earned Value Management System (EVMS) is used for the system integrator contract work under each of the Delivery Task Orders (DTOs). The Dekker Trakker software program, which meets ANSI/EIA Standard 748, is employed by CG-9 to resource load schedules, track progress and record expenses. Dekker iPursuit is also used for monthly Cost Performance Reports. The iPursuit program also allows for extensive insight into data used to generate Cost Performance reports. For example, it can provide a breakdown of cost and schedule variances by Work Breakdown Structure (WBS).

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2009</u>	<u>FY 2010</u>
Search and Rescue	14,048	5,580
Marine Safety	1,776	706
Aids to Navigation	3,005	1,194
Ice Operations	1,776	706
Marine Environmental Protection	2,821	1,121
Living Marine Resources	12,973	5,154
Drug Interdiction	22,826	9,068
Migrant Interdiction	10,063	3,998
Other Law Enforcement	2,991	1,188
Ports, Waterways & Coastal Security	12,016	4,744
Defense Readiness	3,805	1,541
Mission-Program Allocation Total:	88,100	35,000

C4ISR

\$35,000

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard Justification
Acquisition, Construction & Improvements
FY 2010 Congressional Budget Submission
(Dollars in Thousands)**

Deepwater Logistics

\$37,700

Project Description, Justification and Scope

This request funds continued development of logistics for Deepwater Command, Control, Communications, Computers, Intelligence, Surveillance, and Reconnaissance (C4ISR) systems and the Coast Guard Logistics Information Management System (CG-LIMS) to support the delivery of Deepwater ships, aircraft, and information systems, as well as current Coast Guard cutters, aircraft, and shore sites converted into or modernized as end-state assets. The funding request includes three significant aspects of logistics in one budget item: 1) Integrated Logistics Support (ILS), 2) CG-LIMS development, and 3) facilities upgrades (in preparation of receiving new and modernized assets).

Integrated Logistics Support (ILS) - \$3,700K will ensure that logistics plans are executed to keep logistics support synchronized with the overall C4ISR design and deployment to Deepwater assets. This will ensure the Coast Guard has sufficient spares, training, and logistics support to sustain C4ISR systems deployed on new assets. The overall intensive and time-sensitive system support development effort is necessary for the successful fielding of assets and achievement of targeted operational effectiveness goals.

CG-LIMS - \$6,000K will be used for continued CG-LIMS development and deployment to facilities/assets where CG-LIMS use is required. These sites include USCG aviation, surface, and C4 operating assets and support facilities.

Facilities for New Deepwater Assets - \$28,000K will fund construction of a new hangar to accommodate four Maritime Patrol Aircraft (MPA) at Air Station Cape Cod, MA and perform environmental and engineering site work other projects.

Logistics support includes the following functional elements: 1) maintenance; 2) maintenance facilities; 3) manpower considerations for the assets, such as the design of controls for engineers on ships and flight controls on aircraft; 4) supply support, in terms of sparing and associated analysis; 5) special equipment used for maintaining, testing and calibrating the cutters, aircraft; and C4ISR systems; 6) providing the technical data related to operating and maintaining the assets; 7) all aspects of training and training tools; 8) computer support for the asset (not associated with software and computer support being developed with C4ISR); 9) all of the physical movement and care of the parts, equipment components and supplies, which includes packaging, handling, storage and transportation; and 10) design interface with regard to all of these elements in initial design, including developing engineering changes, technical refreshes, and/or upgrades.

Logistics support will be facilitated through an enterprise-wide information system tool called CG-LIMS, which requires software development, configuration, and installation at specific Coast Guard units with the need for access. Another significant component of logistics is the physical facilities and infrastructure preparation necessary for home sites and support infrastructures for these assets. These facilities fall into two categories: 1) current Coast Guard or other existing facilities that are modified to be used for the new and/or converted assets, such as lengthening the pier for a longer ship and associated additional power supply requirements; and 2) newly-acquired facilities, including land and the associated buildings for crew offices, training buildings, and hangars that will be the new homes to the

Deepwater Logistics

\$37,700

Deepwater ships, aircraft, and their crews. Completion of the regulatory environmental studies and preparations are also required.

CG-LIMS is intended to automatically collect and process logistics data so that the software can be used to project support requirements and maintain a configuration baseline for the asset. This will relieve the Coast Guard workforce of the hard work associated with current keying-in of millions of individual data items. Also, CG-LIMS will interface with the Coast Guard's Learning Management System, which will schedule, track and distribute all training and training requirements for Coast Guard personnel. With its ability to bring the right information to the right people at the right time, CG-LIMS is expected to enhance productivity for the personnel involved in logistics, and provide operationally relevant information to Coast Guard operators and maintainers. Eventually, Coast Guard crews will have maintenance support technologies to provide step-by-step, computer-generated instructions, and 24-hour expert assistance made available through remote support services. Increased availability and reliability of Coast Guard cutters and aircraft will result in more operational time for these assets. Improved cost management will be an important feature that this investment in CG-LIMS will provide:

- Improving logistics operations, rules, tools and processes to reduce costs through adoption and institutionalization of best public and private sector business practices;
- Significantly improving inventory accuracy;
- Reducing costs by eliminating inventory at multiple locations; and
- Improving customer support by collaborating with private industry to develop effective support arrangements (such as service support agreements and other agreements).

Logistics planning and implementation keeps the Coast Guard operating more reliably toward mission achievement while progressing towards logistics transformation goals, maintaining configuration control of assets, and accomplishing CFO management requirements. Using CG-LIMS to bring data together and transforming the data into useable information as an electronic status system will demonstrate part availability anywhere in the Coast Guard. That knowledge will permit total asset visibility throughout the Coast Guard to determine who has the part, and auto-generate the shipping documents to transfer that item to the unit that needs the part. CG-LIMS will also collect and analyze maintenance record data to show frequency of use and frequency of failure for spares and repair parts, improving overall management of maintenance resources.

These logistics improvements will allow the Coast Guard to manage facilities with fewer personnel engaged in logistics activities, keep less "safety stocks" (increased commonality between equipment sets across asset classes), maintain better inventory accuracy (less inventory means money saved), and remove inefficiencies that result in delays that prevent critical assets from being ready to operate. In addition, this information will be available at higher levels in the organization to determine asset or class-wide equipment problems.

CG-LIMS and the logistics infrastructure can significantly contribute to CFO Act compliance within the Deepwater program. Some functionality related to CFO Act compliance includes:

- Provide unique asset identifier in order to include all costs incurred and track total acquisition/contracting cost.

Deepwater Logistics

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- Track the asset identifier to the specific document used to acquire the asset; i.e. purchase order, task order, etc.
- Record beginning balances (on-hand), acquisition, withdrawals (dispositions), and calculate ending balances (on-hand) expressed in dollar values and physical units.
- Record item identification, classification (i.e., nomenclature, quantity, description, Federal stock classification or Nation Stock Number), initial cost, and subsequent costs related to acquisition (i.e., holding/handling cost).
- Record the condition of inventory.
- Record changes in value of inventory, supplies and materials due to changes in condition or other impacting circumstances.
- Record whether material received is hazardous, classified, requires special handling, requires special packaging, requires munitions list controls, requires trade security controls or has shelf life.
- Provide edits (controls) to prevent duplicate entries and reduce the likelihood of creating erroneous inventory documents/records, thereby ensuring the integrity of data recorded in the system.
- Permit only authorized users to enter, modify, or otherwise alter inventory records.
- Enable and account for the transfer of responsibility for inventory from one authorized manager to another authorized manager, ensuring that sufficient information is transferred to provide an audit trail at the gaining management activity.

CAPABILITY ACQUIRED/MAINTAINED:

Establishing a responsive ILS system will provide benefits in reduced life cycle costs and increased operational effectiveness. To achieve these goals, the Coast Guard must continue with a two-part development approach: 1) integrating enterprise-wide processes across lines of maintenance, supply support, technical data, support and test equipment, computer support, facilities, and transportation to assist in moving the Coast Guard towards an efficient centralized business model; 2) incorporating sound Human Systems Integration (HSI) processes, which include manpower, personnel, training, human factors engineering, and system safety, to significantly improve human performance and reduce operational costs.

The C4ISR equipment support includes training and maintenance analyses and the full suite of support products for both operators and maintainers. Ensuring adequate C4ISR logistics support preserves and protects this substantial investment. Performing complex reliability, maintainability and availability analyses are necessary to measure and baseline C4ISR supportability goals. Analyzing C4ISR systems/equipment and developing technical refresh plans will ensure the Coast Guard's ability to upgrade assets to maintain operational effectiveness while utilizing a deliberate budget agenda. Establishing and maintaining accurate baselines are crucial for configuration control and for exercising effective and efficient equipment and supply chain management.

Investing in CG-LIMS is central to our enterprise-wide system. CG-LIMS can provide the ability, using collected data, to bring the right information to the right people at the right time. It is intended to streamline parts ordering and management, facilitate maintenance functions, sustain configuration control, and provide an innovative training delivery system. Interconnected processes accessed via an on-line support infrastructure will improve each IDS unit's operational effectiveness by providing responsive maintenance support, establishing and maintaining inventory levels, automatically ordering

Deepwater Logistics

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parts, while at the same time remaining CFO compliant. This ensures that each asset remains available for its planned operational hours. This same feature also can be configured to manage Total Ownership Costs (TOC) as the inventory tracking system determines equipment and spare parts usage rates and determines efficient inventory levels. For example, logisticians will be able to quickly forecast support requirements and trends and reduce single point failures. Designers will be able to introduce proven state-of-the-market technology, assess design trade-offs, and use concurrent engineering to improve reliability and maintainability for each new asset. The data also supports a “remove-and-replace” concept for components and modules which will simplify repair tasks.

The Maritime Patrol Aircraft (MPA) is 10 feet taller than the HU25 Falcon jet it is replacing, and has twice the hangar footprint. As a result of the huge size increase, some legacy shore facilities are unable to accommodate the height and/or wingspan of the new HC144A Ocean Sentry, and new hangars are required to house the new aircraft.

Environmental and engineering studies are necessary to comply with the legal requirements of the National Environmental Policy Act (NEPA).

PERFORMANCE:

ILS is essential to achieving mission success and life cycle supportability in all missions. With the proper support infrastructure in place, prospective Deepwater assets will be able to perform as designed and maintain their operational capabilities for entire scheduled service life.

The new MPA hangar at Cape Cod, MA will prevent aircraft having to be staged outside in a geographic area with historically severe weather and precipitation, contrary to current USCG policy, and avoids operational impacts due to mission delays and personnel impacts due to icing and/or snow, as well as significantly increased maintenance and corrosion control requirements and costs.

COST ESTIMATE OF WORK TO BE FUNDED THIS FISCAL YEAR 2010:

ITEM	QUANTITY	TOTAL (\$K)
<u>Integrated Logistics Support (ILS)</u>		
ICGS Common Systems Development Continuation	Job	\$3,700
CG-LIMS Development and Installation	1	\$6,000
<u>Facilities</u>		
Environmental & Engineering Site Assessments	1	\$1,000
Construct MPA Hangar-Air Station Cape Cod	1	\$27,000
	Total	\$37,700

FUNDING HISTORY

FUNDING HISTORY	FY	TOTAL (\$K)
<u>Integrated Logistics Support (ILS)</u>		
Business Process Development, C4ISR Support, and LIMS Iteration 0	2002	\$19,858
Business Process Development, C4ISR Support, and		

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Deepwater Logistics **\$37,700**

LIMS Iteration 1	2003	\$16,550
Business Process Development, C4ISR Support, and LIMS Iteration 1	2004	\$20,500
Business Process Development, C4ISR Support, and LIMS/C4ISR Increment 1	2005	\$15,100
Business Process Development, C4ISR Support, and LIMS/C4ISR Increment 1	2006	\$11,583
Business Process Development, C4ISR Support, and LIMS/C4ISR Increment 1	2007	\$17,278
ILS, C4ISR Support, CG-ILS Interim Support of NSC	2008	\$18,800
ILS, C4ISR Support, Development Continuation	2009	\$11,900
	Subtotal	\$131,569

Shore (LIMS deployment/CG-LIMS Development)

LIMS Deployment and Installation at:

Engineering Logistics Center (ELC), Operations Support Center (OSC), Aviation Repair and Supply Center (AR&SC)	2002	\$37
Maintenance and Logistics Command Atlantic, Naval Engineering Support Unit Miami (NESU), Electronic Support Unit (ESU) Miami	2003	\$971
Command and Control Center (C2Cen), Maintenance and Logistics Command (MLC) Pacific, Training Center (TRACEN) Yorktown	2004	\$19,484
Deployment of LIMS at seven units	2005	\$1,600
LIMS Deployment and Installation at Aviation Training Center (ATC) Mobile, AL, MLC PAC, OCCSU Alameda, TRACEN Petaluma, NESU/ESU Alameda	2007	\$850
CG-LIMS Development	2008	\$2,400
CG-LIMS Development	2009	\$3,000
	Subtotal	\$28,342

Facilities Upgrades

Facility Assessment Ventura, CA	2002	\$100
Design for Hangar, OCCSU building & pier upgrades	2004	\$5,467
ATC Mobile Hangar Construction (Phase I)		
NBVC Facility Assessment Study		
Environmental Assessment for Alameda, CA		
CAMSLANT Facility Expansion Design		
TRACEN Petaluma Building Rehab (Phase 1)	2005	\$23,100
ATC Mobile Hangar Construction (Phase 1 cont'd)		
PACAREA/D11 Command Center Facility Upgrades		
CAMSLANT Facility Expansion Construction		
Pier/shore tie upgrades at Alameda, CA		
ATC Mobile Hangar Construction (Phase 2)	2006	\$7,256
TRACEN Petaluma Bldg 500 rehab (Phase 1 cont'd)		

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Various facility upgrades for C4ISR equipment installs	2007	\$18,800
Completion of Phase 1 Bldg 500 rehab @ TRACEN Petaluma		
Updated to Deepwater PEIS Environmental document		
Design of OCCSU bldg @ Alameda, CA		
Upgrade of NSC shore ties @ Alameda, CA		
Upgrade of NSC pier facilities @ Alameda, CA		
Construct NSC Crew Support Building at Alameda (Phases 1&2)	2008	\$15,000
Facilities Upgrades - FRC Homeport #1		
Engineering Assessments of DW Homeports & Aviation Sites	2008	\$300
NSC Support Facilities at Alameda	2009	\$5,500
Engineering Assessments of DW Homeports & Aviation Sites	2009	\$300
Environmental Assessments of DW Homeports & Aviation Sites	2009	\$200
Facility Upgrades at NSC Homeport #2	2009	\$10,000
Facility Upgrades at FRC Homeport (Miami)	2009	\$3,300
Facility Upgrades at FRC Homeport (Key West)	2009	\$3,500
	Subtotal	\$92,823
	Total	\$252,734

Funding history is funding available for this item based on past appropriations, rescissions, and other changes.

CONTRACTOR for ILS

Integrated Coast Guard System (ICGS), Washington, DC

Type of Contract: Indefinite Delivery, Indefinite Quantity with award terms

Contract options: 5-year base completed June 2007 with 43-month subsequent award term period through Jan 2011

SUBCONTRACTORS

Integrated Logistics Support - Business Process Development:

MA&D - Crew Modeling, Boulder, CO

Mincom - ILS Process Re-engineering, Englewood, CO

NGDMS – HIS, Reston, VA

LM Technical Services – Process Integration, Cherry Hill, NJ

Pittiglio Rabin Todin & McGrath (PRTM) - Supply Chain Logistic, Washington, DC

Prosoft – Training, Virginia Beach, VA

Sigmon - ILS Process Re-engineering, Norfolk, VA

C4ISR Support:

EADS GmbH - NSC Air Search Radar, Ulm, Germany

FLIR Systems - Various EO/FLIR, Portland, OR

L3 Communications - Integrated COMMS Int/Ext., Camden, NJ

LM Eagan - MPA Mission Pallet, Eagan, MN

LM IS&S - Intel, Enterprise SATCOM / INTEL, Valley Forge, PA

LM Technical Services - C4 Installs, Tech Docs, Provisioning, Sustainment, Cherry Hill, NJ

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Sierra Nevada - Surface UCARS, Sparks, NV

LMS Support:

LM Technical Services – LIMS Integration, Cherry Hill, NJ

Spectrum - Learning Mgt. System, Vienna, VA

Sum Total (Docent) - Learning Mgt. System, Mountain View, CA

CG-LIMS Development:

LM Technical Services – LIMS Integration, Cherry Hill, NJ

Dimension Technology Solutions - LIMS Interface, Boulder, CO

Mincom - LIMS Software, Englewood, CO

CG-LIMS Development:

QSS Group Incorporated

All Shore Facility projects are executed and managed within the Coast Guard by the Facility Design and Construction Centers (FDCCs) at Norfolk, VA and Seattle, WA. Each project is awarded to an Architectural/Engineering (A/E) firm and/or a construction contractor for completion.

KEY EVENTS:

FY

Integrated Logistics Support

Business Process Development, C4ISR Support

2002

Business Process Development, C4ISR Support continuation

2003

Shore

Initial LIMS Installation at 1st Shore Site

2004

Development/Deployment of LIMS to NESU (two), OSC, ELC, ESU, TRACEN

2005

Completion of C4ISR Training Suite @ TRACEN Petaluma

2007

Significant Changes

Previous spend plans for FY 2009 and out-years have been partially re-aligned to fund CG-LIMS. Additionally, the FY 2010 request has been adjusted based on anticipated delivery of several of the new types of assets, and the need to support the extensive upgrade requirements.

U. S. Coast Guard - FY 2010 Congressional Budget Submission

Deepwater Logistics

\$37,700

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2009					
Integrated Logistics Support			FY2002:Q2	FY2026:Q4	11,900
CG-LIMS Development			FY2002:Q2	FY2026:Q4	3,000
Facilities			FY2002:Q2	FY2026:Q4	22,800
FY 2010					
Integrated Logistics Support			FY2002:Q2	FY2026:Q4	3,700
CG-LIMS Development			FY2002:Q2	FY2026:Q4	6,000
Facilities			FY2002:Q2	FY2026:Q4	28,000

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2007 & Prior</u>	<u>FY 2008</u>	<u>FY 2009</u>	<u>FY 2010</u>	
Appropriation	178,535	36,500	37,700	37,700	290,435
Obligation	167,522	47,513	32,778	35,000	282,813
Expenditure	167,522	47,513	23,039	35,012	273,086
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	139,282	47,513	23,039	35,012	244,846
Survey, Design & Engineering	28,240				28,240

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2010 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Integrated Logistics Support	3,700
CG LIMS development	6,000
Environmental and Engineering Site Assessments	1,000
MPA Air Station Cape Cod hangar	27,000
FY 2010 Cost Estimate Project Total:	37,700

Method of Performance

Per Section 1.H.1 of Deepwater Exhibit 300, "Description of Performance Based Management System", an Earned Value Management System (EVMS) is used for the system integrator contract work under each of the Delivery Task Orders (DTOs). The Dekker Trakker software program, which meets ANSI/EIA Standard 748, is employed by Deepwater to resource load schedules, track progress and record expenses. Moreover, Dekker iPursuit is also used to view monthly cost performance reports. The iPursuit program also allows for extensive insight into the data used to generate cost performance reports. For example, it can provide a breakdown of cost and schedule variances by work breakdown structure (WBS).

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Deepwater Logistics

\$37,700

Budget Allocation to Mission-Program

U. S. Coast Guard Mission-Program	Budget Allocation	
	FY 2009	FY 2010
Search and Rescue	6,474	6,474
Marine Safety	341	341
Aids to Navigation	636	636
Ice Operations	341	341
Marine Environmental Protection	863	863
Living Marine Resources	5,938	5,938
Drug Interdiction	10,864	10,864
Migrant Interdiction	4,483	4,483
Other Law Enforcement	948	948
Ports, Waterways & Coastal Security	5,460	5,460
Defense Readiness	1,352	1,352
Mission-Program Allocation Total:	37,700	37,700

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard Justification
Acquisition, Construction & Improvements
FY 2010 Congressional Budget Submission
(Dollars in Thousands)**

Technology Obsolescence Prevention (TOP) **\$1,900**

Project Description, Justification and Scope

This request funds efforts to prevent technological obsolescence, which results from the evolution of technology as newer technologies appear and older ones cease to be used. For example, new media for storing digital information rapidly replaces older media and reading devices for these older media are increasingly no longer available. Newer versions of software constantly render older versions obsolete and the hardware required by this software also changes over time. Consequently, information which relies on obsolete technologies becomes inaccessible. While maintaining obsolete technologies might be the only option in limited circumstances, because of the associated need to keep every version of every piece of software and hardware, operating systems, and manuals, as well as personnel with relevant skills, it is not generally considered to be a feasible alternative over time.

In general, Technology Obsolescence Prevention (TOP) supports Integrated Deepwater Systems (IDS) assets for the 40-year duration of the program based upon pre-planned replacement rates. For example, if a computer were placed in service in 2005, it would be replaced in 2010. The replacement is chosen based on the same requirements as the original equipment. The cost allocated is the original cost plus an inflation factor for 2010. This cost is allocated every five years until an asset is either disposed of or the end of the IDS contract period is reached.

TOP Replacement Periods

EQUIPMENT DESCRIPTION:

Computers and Networking Equipment
Sensors and Weapon Systems
Communications Equipment
Software

REPLACEMENT PERIOD:

5 Years
15 to 20 Years
10 to 15 Years
5 Years

CAPABILITY ACQUIRED/MAINTAINED:

To maintain systems that provide satellite connectivity onboard 270' IDS legacy cutters, TOP will replace cutter commercial satellite communications systems.

PERFORMANCE:

TOP minimizes or eliminates the impact that hardware/software obsolescence can have on performance. TOP maintains the IDS technology performance level with indifference to changes at the hardware/software level.

FUNDING HISTORY

	FY	TOTAL(\$K)
Technology Obsolescence Prevention	2008	\$700
Technology Obsolescence Prevention	2009	\$1,500
	Total	\$2,200

CONTRACTOR:

U. S. Coast Guard - FY 2010 Congressional Budget Submission

Technology Obsolescence Prevention (TOP) **\$1,900**

Integrated Coast Guard System (ICGS), Washington, DC
 Potentially others as required for competition

Type of Contract: Indefinite Delivery, Indefinite Quantity with award terms
 Contract options: 5-year base completed June 2007 with 43-month subsequent award term period through Jan 2011

SUBCONTRACTORS:

Lockheed Martin, Moorestown, NJ (Command, Control, Communications, Computers, Intelligence, Surveillance, and Reconnaissance Systems)

Production & Assembly Subcontractor: Lockheed Martin, Moorestown, NJ

Potentially others as required for competition

KEY EVENTS FY 2010

Start Production

FY
1st Qtr FY10

Complete Production

4th Qtr FY10

Significant Changes

There have been no significant changes from the prior budget submission.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				<u>Total Estimate Cost</u>
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2009					
Technology Refreshment			FY09:Q1	FY27:Q4	1,500
<hr/>					
FY 2010					
Technology Refreshment			FY10:Q1	FY27:Q4	1,900

Schedule of Project Funding

	Project Funds				<u>Total</u>
	<u>FY 2007 & Prior</u>	<u>FY 2008</u>	<u>FY 2009</u>	<u>FY 2010</u>	
Appropriation		700	1,500	1,900	4,100
Obligation		700	1,200	1,520	3,420
Expenditure		350	300	380	1,030
<hr/>					
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition		350	300	380	1,030

Technology Obsolescence Prevention (TOP)

\$1,900

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2010 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Technology Refreshment	1,900
FY 2010 Cost Estimate Project Total:	1,900

Method of Performance

Per Section 1.H.1 of Deepwater Exhibit 300, "Description of Performance Based Management System", an Earned Value Management System (EVMS) is used for the system integrator contract work under each of the Delivery Task Orders (DTOs). The Dekker Trakker software program, which meets ANSI/EIA Standard 748, is employed by Deepwater to resource load schedules, track progress and record expenses. Moreover, Dekker iPursuit is also used to view monthly Cost Performance Reports. The iPursuit program also allows for extensive insight into the data used to generate Cost Performance reports. For example, it can provide a breakdown of cost and schedule variances by Work Breakdown Structure (WBS).

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2009</u>	<u>FY 2010</u>
Search and Rescue	54	69
Marine Safety	-	-
Aids to Navigation	-	-
Ice Operations	-	-
Marine Environmental Protection	-	-
Living Marine Resources	-	-
Drug Interdiction	824	1,045
Migrant Interdiction	204	258
Other Law Enforcement	107	135
Ports, Waterways & Coastal Security	107	135
Defense Readiness	204	258
Mission-Program Allocation Total:	1,500	1,900

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard Justification
Acquisition, Construction & Improvements
FY 2010 Congressional Budget Submission
(Dollars in Thousands)**

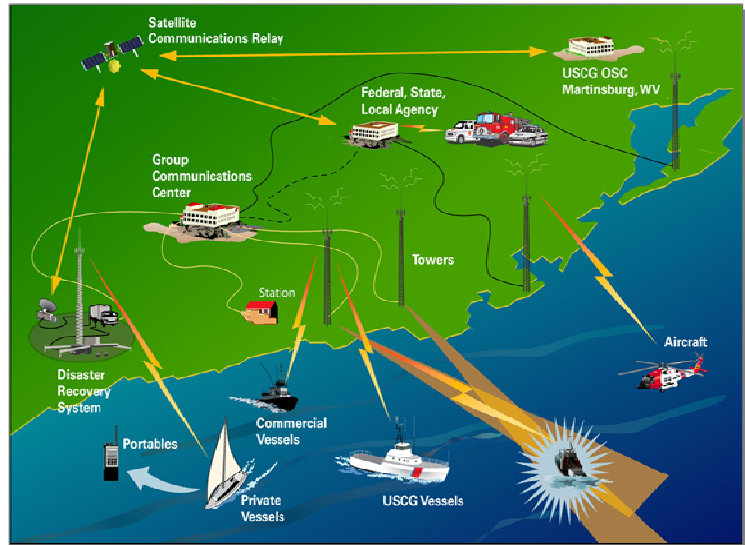
Rescue 21

\$117,000

Project Description, Justification and Scope

This request funds (a) completion of California and New England Sectors, (b) continuation of Alaska, Great Lakes, Hawaii, Guam, Puerto Rico, vessels, and Western Rivers as well as (c) other system changes.

The Rescue 21 project (formerly the National Distress and Response System Modernization Project or NDRSMP) replaces the U.S. Coast Guard's legacy National Distress and Response System (NDRS), which enhances the U.S. Coast Guard's mission execution through improved communications, command and control capabilities in the coastal zone. The basic NDRS components include radios, transceivers, towers for antennas, and an interconnecting network. It is the foundation for coastal Search and Rescue (SAR), and is a critical enabler of efficient and effective command and control for all missions in coastal zones.



Benefits of Rescue 21 include:

- Eliminates many existing communication coverage gaps ("dead zones") while ensuring continuous, enhanced VHF-FM marine radio coverage out to 20 nautical miles from shore within the coastal zone;
- Features digital voice recording capability with immediate playback, improving the ability to review and resolve garbled or unclear transmissions - critical to search and rescue planning and response;
- Provides improved direction finding capability for more timely response to mariners in distress and an ability to distinguish "hoax" calls from actual distress calls;
- Increases the number of voice channels from one to five, allowing watch standers to conduct multiple operations, while offering protected (secure) communications for homeland security missions when needed;
- Enhances Maritime Domain Awareness (MDA) by maintaining communications with mariners, and facilitating the timely flow of information between the Coast Guard and other government and law enforcement agencies; and
- Supports DHS Goal 4: Build a nimble, effective emergency response system and a culture of preparedness.

FY 2010 will specifically accomplish the following work:

Rescue 21 Ground Subsystem (GSS) Deployment (partial) – Full Rate Production (FRP) Group II, Group III, Alaska, Western Rivers, and Vessel Subsystem (partial)

- Completes California and New England Sectors
 - Humboldt Bay, San Francisco, and Los Angeles/Long Beach
 - Northern and Southeast New England
- Continues Great Lakes Sectors and Sectors Outside Continental U.S. Islands

Rescue 21

\$117,000

- Lake Michigan; Sault Ste Marie, MI; Detroit, MI; Buffalo, NY
- Hawaii; Guam; San Juan, Puerto Rico
- Continues Alaska and Western Rivers Sectors
 - Juneau, Anchorage
 - Upper Mississippi, Ohio Valley, Lower Mississippi
- Continues Rescue 21 Vessel Subsystem (VSS) Deployment
 - Installation of UHF communications capabilities on Coast Guard vessels and small boats. The Coast Guard’s various classes of response boats (including 41 ft, 47 ft, 87 ft, 110 ft, and Response Boat-Small (RB-S)) and buoy tender vessels (140 ft, 175 ft, 225 ft) will be outfitted with these capabilities during FY 2009 through FY 2012. The schedule of Rescue 21 VSS installations is being coordinated with ongoing technology refresh programs, where possible, to reduce installation costs.
- Continues Rescue 21 Ground Subsystem Back-up Communications
 - Provides back-up communications for the Rescue 21 system between the Remote Fixed Facility and the Sector; eliminates the great majority of downtime from telecommunications provider and network outages.

At the end of FY 2008, Rescue 21 is operational in 16 of 39 Sectors and is standing watch and saving lives along 22,292 miles of U.S. coastline at the following Sectors/Groups:

- | | | |
|----------------------------------|----------------------|--------------------|
| – New York, NY | – Miami, FL | – Port Angeles, WA |
| – Long Island NY/CT | – Key West, FL | – Seattle, WA |
| – Delaware Bay ¹ | – St. Petersburg, FL | – Astoria, OR |
| – Baltimore, MD | – Mobile, AL | – Portland, OR |
| – Hampton Roads, VA ² | – New Orleans, LA | – North Bend, OR |
| – Jacksonville, FL | | |

¹ incorporated Initial Operating Capability Region Atlantic City, NJ

² incorporated Initial Operating Capability Region Eastern Shore, VA

At the end of FY 2009, the following additional Sectors are scheduled to be operational, for a total of 28,016 miles of Rescue 21 coastline coverage:

- | | |
|------------------|------------------|
| – Boston, MA | – Charleston, SC |
| – North Carolina | – Galveston, TX |

At the end of FY 2010, the following additional Sectors/Groups are scheduled to be operational, for a total of 36,429 miles of Rescue 21 coastline coverage:

- | | | |
|-------------------------|---------------------|------------------------------|
| – Northern New England | – Humboldt Bay, CA | – Los Angeles/Long Beach, CA |
| – Southeast New England | – San Francisco, CA | – San Diego, CA |
| – Corpus Christi, TX | | |

Production Contractor:

- General Dynamics C4 Systems (GDC4S) of Scottsdale, AZ is the Rescue 21 Phase II Contractor. The Phase II contract is a delivery order based Indefinite Delivery, Indefinite Quantity (IDIQ) contract with award term incentives. The contract has a base period of six years, plus two four-year

Rescue 21

\$117,000

award terms and one five-year award term. GDC4S is responsible for complete system maintenance and operates a 24/7 Customer Care Center (CCC) to respond to system discrepancies.

Subcontractors:

- Motorola, Inc. (Schaumburg, IL) - Radio subsystems
- Consolidate Analysts Centers, Federal, Inc (CACI) (Manassas, VA) - Direction finding subsystems
- General Dynamics Information Technology (GDIT) (Needham, MA) -Remote fixed facilities planning team member and construction management
- Stanley Associates, Inc. (Charleston, SC) - Fixed facility infrastructure and cutover
- Chelton Inc. (Lewisville, TX) - Co-site interference mitigation subsystems
- CellXion (Bossier City, LA) – RFF shelters
- MWH Americas, Inc. (Farmington Hills, MI) – Environmental services, planning team member
- Rhode & Schwarz (Columbia, MD) - Direction finding subsystems
- Western Maritime (San Diego, CA) – Direction finding calibration vessel testing

Significant Changes

In May 2008, DHS approved a revision to the project's Acquisition Program Baseline (APB), adjusting the project's cost and schedule baselines to more accurately reflect actual system deployment results experienced during the project's Low Rate Initial Production (LRIP) and initial Full Rate Production (FRP) phases. This APB revision contained no changes to Rescue 21 Key Performance Parameters (KPP). During the 2008 Atlantic hurricane season, the Rescue 21 system's Disaster Recovery (DR) capability was deployed in the U.S. Gulf Coast. In advance of Hurricane Gustav, the communications watch at Coast Guard Sector New Orleans was shifted to OSC Martinsburg, WV, enabling Sector personnel to safely evacuate the area, while ensuring the Rescue 21 system remained available for the Coast Guard to receive and respond to maritime distress calls. In the aftermath of Hurricane Ike, again in Sector New Orleans, two Communications Recovery Packages (CRP) were deployed to restore critical communications that were damaged by the storm. These CRPs ensured the Sector's Rescue 21 communications coverage remained operational, despite widespread commercial electrical and network storm damage along the Gulf Coast.

As of the end of Fiscal Year 2008, 16 of 39 Rescue 21 Sectors (Coast Guard Sectors Long Island Sound; New York, NY; Delaware Bay; Baltimore, MD; Hampton Roads, VA; Jacksonville, FL; Miami, FL; Key West, FL; St. Petersburg, FL; Mobile, AL; New Orleans, LA; Seattle, WA; Portland, OR; and Groups Port Angeles, WA; Astoria, OR; and North Bend, OR) have been accepted by the Coast Guard and are operational. Rescue 21 is deployed at 41% of Coast Guard Sectors and standing watch and saving lives along 22,292 miles of U.S. coastline.

U. S. Coast Guard - FY 2010 Congressional Budget Submission

Rescue 21

\$117,000

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				<u>Total Estimate Cost</u>
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2009					
Rescue 21 Ground Subsystem Deployment			FY09:1Q	FY09:4Q	59,034
Rescue 21 Alaska Subsystem			FY09:1Q	FY09:4Q	1,250
Rescue 21 Vessel Subsystem			FY09:1Q	FY09:4Q	1,018
Rescue 21 Western Rivers Subsystem			FY09:1Q	FY09:4Q	509
Project Technical Support			FY09:1Q	FY09:4Q	5,302
Environmental			FY09:1Q	FY09:4Q	1,000
Project Org Support (training, travel, misc.)			FY09:1Q	FY09:4Q	1,812
Commercial Tower Leases			FY09:1Q	FY09:4Q	3,075
FY 2010					
Rescue 21 Ground Subsystem Deployment			FY10:1Q	FY10:4Q	85,465
Rescue 21 Alaska Subsystem			FY10:1Q	FY10:4Q	6,500
Rescue 21 Vessel Subsystem			FY10:1Q	FY10:4Q	7,260
Rescue 21 Western Rivers Subsystem			FY10:1Q	FY10:4Q	3,630
Project Technical Support			FY10:1Q	FY10:4Q	7,339
Project Org Support (training, travel, misc.)			FY10:1Q	FY10:4Q	550
Commercial Tower Leases			FY10:1Q	FY10:4Q	6,096
Environmental			FY10:1Q	FY10:4Q	160

Schedule of Project Funding

	Project Funds				<u>Total</u>
	<u>FY 2007 & Prior</u>	<u>FY 2008</u>	<u>FY 2009</u>	<u>FY 2010</u>	
Appropriation	473,056	80,300	73,000	117,000	743,356
Obligation	467,056	83,000	72,000	116,500	738,556
Expenditure	402,155	72,000	130,000	100,000	704,155
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	318,611	59,305	116,188	83,689	577,793
Project Management	50,000	11,820	13,812	10,686	86,318
Rescue 21 Phase I Contract	31,262				31,262
CG VSS Installation	200			5,625	5,825
CG Anuenue Project	2,082	875			2,957

Rescue 21

\$117,000

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2010 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Rescue 21 Ground Subsystem Deployment	85,465
Rescue 21 Alaska Subsystem	6,500
Rescue 21 Western Rivers Subsystem	3,630
Rescue 21 Vessel Subsystem	7,260
Leases (towers, etc.)	6,096
<u>Project Management</u>	
Project Technical Support	7,339
Project Org Support (training, travel, misc)	550
Environmental Support	160
FY 2010 Cost Estimate Project Total:	117,000

Method of Performance

The project manager uses an approved Earned Value Management System, which allows the Coast Guard to examine cost and schedule estimates, variances, and projections for completion.

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2009</u>	<u>FY 2010</u>
Search and Rescue	7,578	12,146
Marine Safety	5,016	8,039
Aids to Navigation	10,403	16,673
Ice Operations	1,526	2,446
Marine Environmental Protection	1,912	3,064
Living Marine Resources	6,024	9,655
Drug Interdiction	10,096	16,182
Migrant Interdiction	3,864	6,193
Other Law Enforcement	1,082	1,734
Ports, Waterways & Coastal Security	19,564	31,357
Defense Readiness	5,935	9,511
Mission-Program Allocation Total:	73,000	117,000

**U. S. Coast Guard Justification
Acquisition, Construction & Improvements
FY 2010 Congressional Budget Submission
(Dollars in Thousands)**

High Frequency (HF) Modernization and Recapitalization **\$2,500**

Project Description, Justification and Scope

This request will fund the purchase and installation of 12 HF transmitters (\$200K per transmitter.)

This initiative recapitalizes the Coast Guard's High Frequency (HF) communications system, including replacement of 88 twenty-five-year-old, unserviceable, shore-side, high power HF transmitters. This request will fund the recapitalization of the HF communications system as part of a multi-year installation schedule. As a signatory nation of the International Safety of Life At Sea (SOLAS) treaty, the United States is required to continuously monitor several HF emergency and distress channels to respond to at-sea emergencies and requests for assistance, and to provide warnings to ships relating to "...gales, storms, and tropical storms" by radio messages. This information is provided by the Coast Guard via HF transmitters in the form of text and fax messages.

Existing HF transmitters are available for operational use only 72% of the time due to the frequency of failure, far from meeting the 95% industry standard of availability. Maintenance of the existing HF system is not viable as spare parts are no longer manufactured for these obsolete radios. Excessive system downtime and subsequent lack of adequate HF communications coverage prevents the Coast Guard from consistently meeting United States SOLAS obligations. Without continued system recapitalization, the U.S. Coast Guard will be unable to meet SOLAS mandates regarding HF communications, at which time existing transmitters are predicted to completely fail based on current casualty trends.

Satellite communication (SATCOM) systems cannot accomplish or replace many HF requirements. Moreover, not all Coast Guard vessels and aircraft have SATCOM capability, and satellite coverage is not available in all Coast Guard operating areas. Replacement of shore-side, high power HF radios will improve effectiveness through increased system reliability, throughput, and reduced operating and maintenance costs. It will also increase interoperability with international commercial maritime and distress systems, SOLAS and non-SOLAS vessels, and DHS, DoD, allied and other government assets, thus contributing to the integrated, interoperable maritime security screening system envisioned in the Maritime Strategy for Homeland Security.

These transmitters will be purchased from and installed by Rockwell Collins via existing U.S. Customs and Border Protection or U.S. Air Force contracts to ensure full interoperability with other government operated HF networks.

Significant Changes

There are no significant changes from the previous budget submission.

U. S. Coast Guard - FY 2010 Congressional Budget Submission

High Frequency (HF) Modernization and Recapitalization **\$2,500**

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				<u>Total Estimate Cost</u>
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2009					
Purchase HF Equipment			FY09:Q1	FY09: Q4	1,200
Install HF Equipment			FY09:Q1	FY09: Q4	900
Engineering			FY09:Q1	FY09: Q4	200
Spare Parts			FY09:Q1	FY09: Q4	190
Course Fees			FY09:Q1	FY09: Q4	10
FY 2010					
Purchase HF Equipment			FY10: Q1	FY10: Q4	1,200
Install HF Equipment			FY10: Q1	FY10: Q4	900
Engineering			FY10: Q1	FY10: Q4	200
Spare Parts			FY10: Q1	FY10: Q4	190
Course Fees			FY10: Q1	FY10: Q4	10

Schedule of Project Funding

	Project Funds				<u>Total</u>
	<u>FY 2007 & Prior</u>	<u>FY 2008</u>	<u>FY 2009</u>	<u>FY 2010</u>	
Appropriation	6,475	2,500	2,500	2,500	13,975
Obligation	6,475	2,500	2,500		11,475
Expenditure	6,475	2,500	2,500		11,475
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	4,150	1,400	1,400		6,950
Survey, Design & Engineering	2,220	1,000	1,000		4,220
Project Management	105	100	100		305

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2010 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Full Operating Capability (for 12 installs at 3 sites)	2,500
FY 2010 Cost Estimate Project Total:	2,500

Method of Performance

Contract oversight for the procurement of these radios lies with Customs and Border Protection (CBP) or the U.S. Air Force; the Coast Guard procures these radios from CBP through these contracts.

Performance of the new transmitters will be measured by the success rate of HF communications. Two basic measures are used: 1) the ability to make a transmission (is the transmitter working), and 2) feedback from the maritime public on whether or not the transmission was received.

U. S. Coast Guard - FY 2010 Congressional Budget Submission

High Frequency (HF) Modernization and Recapitalization

\$2,500

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2009</u>	<u>FY 2010</u>
Search and Rescue	250	250
Marine Safety	175	175
Aids to Navigation	350	350
Ice Operations	50	50
Marine Environmental Protection	65	65
Living Marine Resources	200	200
Drug Interdiction	340	340
Migrant Interdiction	150	150
Other Law Enforcement	40	40
Ports, Waterways & Coastal Security	660	660
Defense Readiness	220	220
Mission-Program Allocation Total:	2,500	2,500

Compliance with Public Laws, Regulations, Standards & Executive Orders

Compliance with International Convention of Safety of Life at Sea (SOLAS), Chapter IV; Communications Act of 1934, as amended; 47 USC Title III Part II and III; implemented in 47 CFR 80.801. 46 USC 4502/4506; implemented in 46 CFR 28.245; U.S. Navy requirement for HF broadcast capability for U.S. Maritime Operations; Coast Guard assignment as National Coordinator for Broadcast Notice to Mariners (BNM) and National Emergency HF Network requirement.

**U. S. Coast Guard Justification
Acquisition, Construction & Improvements
FY 2010 Congressional Budget Submission
(Dollars in Thousands)**

Survey and Design - Shore Operational and Support Projects \$6,000

Project Description, Justification and Scope

The Coast Guard's FY 2010 Survey and Design (S&D) budget request includes survey and design funding essential to future year Acquisition, Construction and Improvement (AC&I) shore projects.

Funding will support planning and engineering studies, project design, master plans, appraisals, real property requirements and other architectural/engineering efforts. Completing proper planning and design helps to ensure AC&I projects are properly assessed, planned and prioritized prior to seeking project appropriations. The projects supported by this request contribute to the long-range plans and support of operational units. Specifically, this funding is requested to complete initial S&D for the following facilities/purposes:

- CG Academy Chase Hall Barracks Phase IV (Annex B)
- Consolidate Sector Buffalo
- Replace Training Center Petaluma Water Main
- Station Cape Disappointment Firing Range Upgrade
- Air Station Sitka Recapitalize Housing
- ISC Honolulu Recapitalize UPH
- Station Port Angeles Covered Mooring

Significant Changes

There are no changes to the previous budget submission.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2009					
Survey & Design	FY09:Q1	FY09:Q4			2,050
FY 2010					
Survey & Design Admin	FY10:Q1	FY10:Q4			479
Academy Chase Hall/ Sector Buffalo	FY10:Q1	FY10:Q4			3,360
Petaluma Water Main/ Cape D. Firing Range	FY10:Q1	FY10:Q4			600
Sitka Housing/Honolulu UPH	FY10:Q1	FY10:Q4			1,200
Port Angeles Mooring	FY10:Q1	FY10:Q4			361

U. S. Coast Guard - FY 2010 Congressional Budget Submission

Survey and Design - Shore Operational and Support Projects **\$6,000**

Schedule of Project Funding

	Project Funds				<u>Total</u>
	<u>FY 2007 & Prior</u>	<u>FY 2008</u>	<u>FY 2009</u>	<u>FY 2010</u>	
Appropriation	22,835	1,337	2,050	6,000	32,222
Obligation	22,835	1,337	2,050	9,200	35,422
Expenditure	22,835	1,337	2,050	9,200	35,422
<hr/>					
<u>Breakdown of Project Expenditures</u>					
Survey, Design & Engineering	22,835	1,337	2,050	9,200	35,422

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2010 Cost Estimate</u>
<u>Survey, Design & Engineering</u>	
Survey & Design Admin	479
Academy Chase Hall/ Sector Buffalo	3,360
Petaluma Water Main/ Cape D. Firing Range	600
Sitka Housing/Honolulu UPH	1,200
Port Angeles Mooring	361
FY 2010 Cost Estimate Project Total:	6,000

Method of Performance

Construction contracts will be monitored by the project manager to ensure compliance with the requirements stated in the performance statement of work for each.

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2009</u>	<u>FY 2010</u>
Search and Rescue	186	545
Marine Safety	186	545
Aids to Navigation	186	545
Ice Operations	186	545
Marine Environmental Protection	186	545
Living Marine Resources	186	545
Drug Interdiction	186	545
Migrant Interdiction	186	545
Other Law Enforcement	186	545
Ports, Waterways & Coastal Security	186	545
Defense Readiness	190	550
Mission-Program Allocation Total:	2,050	6,000

Compliance with Public Laws, Regulations, Standards & Executive Orders

This project will comply with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard Justification
Acquisition, Construction & Improvements
FY 2010 Congressional Budget Submission
(Dollars in Thousands)**

Waterways ATON Infrastructure

\$4,000

Project Description, Justification and Scope

This funding would support improvements to the aids to navigation system in waterways that are integral arteries of numerous ports, including those classified as militarily or economically sensitive (MES) ports, those classified as either Tier I, II, or III ports and those among the top 25 leading ports (in terms of handling gross tonnage) in the United States. Waterways infrastructure projects require an annual base funding level to respond to requirements from expanded U.S. Army Corps of Engineers (ACOE) activity, replacing aging/damaged aids to navigation structures, and improvements in the nation's aids to navigation system. Lack of sufficient aids to navigation infrastructure or failure of existing aids to navigation infrastructure in any of these waterways will negatively impact the roles of the U.S. Coast Guard Strategy; Maritime Safety, Maritime Security, and Maritime Stewardship.

This \$4M request will help fund the backlog of short range aids (SRA) improvement projects that are critical to safe and efficient maritime transportation. The funding will go toward the following projects: Port Canaveral, FL (construction funding for outbound ranges), Houston, TX Ship Channel Ranges (Survey and Design (S&D) funding for two sets of ranges), Mobile Bay, AL (establish entrance ranges), St Mary's River, MI (S&D funding for multiple buoy to ice resistant structure (IRS) project), Anaheim Bay, CA (Day/Night range conversion), and multiple buoy to structure projects in Anaheim Bay, CA, Napa River, CA and Sacramento/San Joaquin Rivers, CA.

Significant Changes

There is no significant change from the previous budget submission.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2009					
AtoN projects necessitated by ACOE projects	FY09:Q1	FY09:Q2	FY09:Q3	FY09:Q4	1,101
Establish/Relocate/Improve AtoN	FY09:Q1	FY09:Q2	FY09:Q3	FY09:Q4	2,899
FY 2010					
AtoN projects necessitated by ACOE projects	FY10:Q1	FY10:Q2	FY10:Q3	FY10:Q4	500
Establish/Relocate/Improve AtoN	FY10:Q1	FY10:Q2	FY10:Q3	FY10:Q4	3,500

U. S. Coast Guard - FY 2010 Congressional Budget Submission

Waterways ATON Infrastructure

\$4,000

Schedule of Project Funding

	Project Funds				<u>Total</u>
	<u>FY 2007 & Prior</u>	<u>FY 2008</u>	<u>FY 2009</u>	<u>FY 2010</u>	
Appropriation	27,796	2,500	4,000	4,000	38,296
Obligation	26,182	2,500	4,000	4,000	36,682
Expenditure	26,182	2,500	4,000	4,000	36,682
<u>Breakdown of Project Expenditures</u>					
Construction / Acquisition	24,279	2,250	3,575	3,180	33,284
Survey, Design & Engineering	1,158	165	400	800	2,523
Project Management	745	85	25	20	875

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2010 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Construction of fixed structures/acquisition of equipment	3,180
<u>Survey, Design & Engineering</u>	
Fixed structures	800
<u>Project Management</u>	
Inspections	20
FY 2010 Cost Estimate Project Total:	4,000

Method of Performance

The construction projects will be monitored by the project officers to ensure compliance with the requirements stated in the performance work statement of the contract.

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2009</u>	<u>FY 2010</u>
Search and Rescue	363	400
Marine Safety	363	240
Aids to Navigation	363	1,500
Ice Operations	363	100
Marine Environmental Protection	363	100
Living Marine Resources	363	320
Drug Interdiction	363	300
Migrant Interdiction	363	160
Other Law Enforcement	363	100
Ports, Waterways & Coastal Security	363	600
Defense Readiness	370	180
Mission-Program Allocation Total:	4,000	4,000

U. S. Coast Guard - FY 2010 Congressional Budget Submission

Waterways ATON Infrastructure **\$4,000**

Compliance with Public Laws, Regulations, Standards & Executive Orders

Projects are being conducted in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard Justification
Acquisition, Construction & Improvements
FY 2010 Congressional Budget Submission
(Dollars in Thousands)**

AC&I Core

\$500

Project Description, Justification and Scope

This funding is necessary to cover costs associated with project overhead activities for major acquisition projects. The primary initiatives include contractor support services, records storage and training. The funding allows the Coast Guard to maintain an effective acquisition process by providing AC&I resources that are not project-specific. Resources are needed to maintain core competencies and capabilities necessary to execute assigned workload while meeting various requirements established in the Chief Financial Officer Act, Clinger-Cohen Act and OMB Circular A-76.

Significant Changes

There is no significant change from the previous budget submission.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	<u>Cost</u>
FY 2009					
Management Support			FY09:Q1	FY09:Q4	350
Human Resource Requirements			FY09:Q1	FY09:Q4	75
Project Record Storage			FY09:Q1	FY09:Q4	75
FY 2010					
Management Support			FY10:Q1	FY10:Q4	350
Human Resource Requirements			FY10:Q1	FY10:Q4	75
Project Record Storage			FY10:Q1	FY10:Q4	75

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2007 & Prior</u>	<u>FY 2008</u>	<u>FY 2009</u>	<u>FY 2010</u>	
Appropriation	4,950	505	500	500	6,455
Obligation	4,950	505	500	500	6,455
Expenditure	4,450	505	500	500	5,955
<u>Breakdown of Project Expenditures</u>					
Project Management	4,450	505	500	500	5,955

AC&I Core

\$500

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2010 Cost Estimate</u>
<u>Construction / Acquisition</u>	
Contractor Support	350
Human Resource Requirements	75
Project Record Storage	75
Management Travel	
IRM Hardware/software/support	
Supplies	
FY 2010 Cost Estimate Project Total:	500

Budget Allocation to Mission-Program

<u>U. S. Coast Guard Mission-Program</u>	Budget Allocation	
	<u>FY 2009</u>	<u>FY 2010</u>
Search and Rescue	56	56
Marine Safety	6	6
Aids to Navigation	13	13
Ice Operations	4	4
Marine Environmental Protection	7	7
Living Marine Resources	84	84
Drug Interdiction	154	154
Migrant Interdiction	47	47
Other Law Enforcement	19	19
Ports, Waterways & Coastal Security	76	76
Defense Readiness	34	34
Mission-Program Allocation Total:	500	500

Compliance with Public Laws, Regulations, Standards & Executive Orders

This funding request lists requirements that are in accordance with Appropriations laws and the Chief Financial Officer Act .

**U. S. Coast Guard Justification
Acquisition, Construction & Improvements
FY 2010 Congressional Budget Submission
(Dollars in Thousands)**

Direct Personnel Costs **\$99,500**

Project Description, Justification and Scope

This request funds the salaries, compensation and support costs (including annual pay raise and COLA) for personnel who manage, execute and administer multi-year funded projects within the Acquisition, Construction and Improvements (AC&I) Program. The requested funding level will support a total of 735 FTE (+50 FTE from the FY2009 enacted level). The personnel will support projects requested in this budget submission, as well as prior year funded AC&I projects, by performing planning, design, engineering, contracting, project management, quality assurance and logistics support activities. This ensures the products and services acquired through the AC&I program are completed on time, on budget and in compliance with performance requirements.

Significant Changes

The \$7.2 million increase from FY09 enacted level reflects an increase of 50 FTE for the AC&I personnel account.

Project Schedule

<u>Project Description</u>	Dates by Fiscal Year & Quarter				Total Estimate Cost
	Design Work		Project Work		
	<u>Initiated</u>	<u>Completed</u>	<u>Initiated</u>	<u>Completed</u>	
FY 2009					
Direct Personnel Costs			FY09:Q1	FY09:Q4	92,330
<hr/>					
FY 2010					
Direct Personnel Costs			FY10:Q1	FY10:Q4	99,500

Schedule of Project Funding

	Project Funds				Total
	<u>FY 2007 & Prior</u>	<u>FY 2008</u>	<u>FY 2009</u>	<u>FY 2010</u>	
Appropriation	477,342	82,215	92,330	99,500	751,387
Obligation	477,352	82,215	92,330	99,500	751,397
Expenditure	477,352	82,215	92,330	99,500	751,397
<hr/>					
<u>Breakdown of Project Expenditures</u>					
Direct Personnel Costs	477,352	82,215	92,330	99,500	751,397

Cost Estimate Detail & Changes

<u>Funding Requirement Description</u>	<u>FY 2010 Cost Estimate</u>
<u>Other Costs</u>	
Direct Personnel Costs	99,500
FY 2010 Cost Estimate Project Total:	99,500

U. S. Coast Guard - FY 2010 Congressional Budget Submission

Direct Personnel Costs

\$99,500

Budget Allocation to Mission-Program

U. S. Coast Guard Mission-Program	Budget Allocation	
	FY 2009	FY 2010
Search and Rescue	11,867	12,350
Marine Safety	1,215	1,361
Aids to Navigation	2,090	2,200
Ice Operations	795	1,000
Marine Environmental Protection	1,700	1,800
Living Marine Resources	16,294	18,000
Drug Interdiction	26,135	28,000
Migrant Interdiction	9,169	10,000
Other Law Enforcement	3,395	4,100
Ports, Waterways & Coastal Security	14,253	14,700
Defense Readiness	5,417	5,989
Mission-Program Allocation Total:	92,330	99,500

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction and Improvements
Vessels & Critical Infrastructure
Funding Schedule
(Dollars in Thousands)**

Vessels & Critical Infrastructure		2008	2009	2010	2009 - 2010
		Actual	Enacted	Request	Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	566	1,301	1,114	(187)
22.0	Transportation of things	92	211	181	(30)
23.1	GSA rent	-	-	-	-
23.2	Other rent	143	328	281	(47)
23.3	Communication, utilities, and misc charges	133	305	262	(44)
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	13,983	32,148	27,531	(4,618)
25.2	Other services	11,780	27,083	23,192	(3,890)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	21	48	41	(7)
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	6,649	15,287	13,091	(2,196)
31.0	Equipment	12,263	28,194	24,144	(4,050)
32.0	Land and structures	6,686	15,371	13,163	(2,208)
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total Direct Obligations		52,314	120,276	103,000	(17,276)
Full Time Equivalents		-	-	-	-

Summary Justification and Explanation of Changes

Travel

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 566	\$ 1,301	\$ 1,114	\$ (187)

Travel includes all costs of transportation of persons, subsistence of travelers and incidental travel expenses in accordance with Federal travel regulations. Specifically, funds transport of personnel in support of training, project management and oversight of the Response Boat - Medium Project. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Transportation of things

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 92	\$ 211	\$ 181	\$ (30)

Transportation of things includes all costs of the care of such things while in process of being transported and other services incident to the transportation of things. Specifically, funding provides for shipment of goods, equipment, supplies and materials to support completion of AC&I projects. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Other rent

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 143	\$ 328	\$ 281	\$ (47)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. Funding supports lease renewals for facilities (e.g., office space, waterfront/mooring facilities, equipment storage and maintenance facilities, etc.). Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Communication, utilities, and misc charges

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 133	\$ 305	\$ 262	\$ (44)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Specifically, funding includes data connectivity costs for Coast Guard shore facilities and cutters, utility costs, including shore facility utilities, cutter and boat fuel requirements, and postal costs. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Advisory and assistance services

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	13,983	\$	32,148	\$	27,531	\$	(4,618)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. Specifically, funding supports contracted training and services to repair/maintain Coast Guard operational assets and facilities. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Other services

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	11,780	\$	27,083	\$	23,192	\$	(3,890)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs in support of the President's Management Agenda and Program Assessment Rating Tool and other initiatives focused on improving performance of Coast Guard missions. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Research and development

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	21	\$	48	\$	41	\$	(7)

Change results from the continued execution of FY 2009 appropriated project funding. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Supplies and materials

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	6,649	\$	15,287	\$	13,091	\$	(2,196)

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters and boats, supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Equipment

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
	\$ 12,263	\$	28,194	\$	24,144	\$	(4,050)

This object class covers the purchase of capitalized and non-capitalized assets. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Land and structures

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
	\$ 6,686	\$	15,371	\$	13,163	\$	(2,208)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

H. PPA Budget Justifications

Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction and Improvements
Integrated Deepwater Systems
Funding Schedule
(Dollars in Thousands)

Integrated Deepwater Systems		2008	2009	2010	2009 - 2010
		Actual	Enacted	Request	Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	7,829	13,737	11,371	(2,367)
22.0	Transportation of things	1,269	2,226	1,843	(384)
23.1	GSA rent	-	-	-	-
23.2	Other rent	1,975	3,465	2,868	(597)
23.3	Communication, utilities, and misc charges	1,838	3,225	2,670	(556)
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	193,521	339,552	281,048	(58,503)
25.2	Other services	163,027	286,046	236,762	(49,285)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	286	503	416	(87)
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	3	5	-	-
26.0	Supplies and materials	92,023	161,463	133,644	(27,819)
31.0	Equipment	169,718	297,787	246,484	(51,302)
32.0	Land and structures	92,527	162,348	134,376	(27,972)
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total Direct Obligations		724,016	1,270,357	1,051,481	(218,876)
Full Time Equivalents		-	-	-	-

Summary Justification and Explanation of Changes

Travel

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 7,829	\$ 13,737	\$ 11,371	\$ (2,367)

Travel funds cover the travel costs of Coast Guard employees, while in an authorized travel status, either directly or by reimbursing the traveler. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Transportation of things

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 1,269	\$ 2,226	\$ 1,843	\$ (384)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Other rent

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 1,975	\$ 3,465	\$ 2,868	\$ (597)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. Funding supports lease renewals for facilities (e.g. office space, waterfront/mooring facilities, equipment storage and maintenance facilities, etc.). Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Communication, utilities, and misc charges

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 1,838	\$ 3,225	\$ 2,670	\$ (556)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Specifically, funding includes data connectivity costs for Coast Guard shore facilities, cutters, and aircraft, utility costs including shore facility utilities and cutter, boat and aircraft fuel requirements, and postal costs. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Advisory and assistance services

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	193,521	\$	339,552	\$	281,048	\$	(58,503)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Other services

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	163,027	\$	286,046	\$	236,762	\$	(49,285)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs in support of the President's Management Agenda and Program Assessment Rating Tool and other initiatives focused on improving performance of Coast Guard missions. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Research and development

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	286	\$	503	\$	416	\$	(87)

Change results from the continued execution of FY 2009 appropriated project funding. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Supplies and materials

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	92,023	\$	161,463	\$	133,644	\$	(27,819)

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters, boats, aircraft, and supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Equipment

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 169,718	\$ 297,787	\$ 246,484	\$ (51,302)

This object class covers the purchase of capitalized and non-capitalized assets. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Land and structures

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 92,527	\$ 162,348	\$ 134,376	\$ (27,972)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

H. PPA Budget Justifications

Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction and Improvements
Aircraft
Funding Schedule
(Dollars in Thousands)

Aircraft		2008	2009	2010	2009 - 2010
		Actual	Enacted	Request	Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	72	-	-	-
22.0	Transportation of things	12	-	-	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	18	-	-	-
23.3	Communication, utilities, and misc charges	17	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	1,785	-	-	-
25.2	Other services	1,504	-	-	-
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	3	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	849	-	-	-
31.0	Equipment	1,566	-	-	-
32.0	Land and structures	854	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total Direct Obligations		6,680	-	-	-
Full Time Equivalents		-	-	-	-

H. PPA Budget Justifications

Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction and Improvements
Other Equipment
Funding Schedule
(Dollars in Thousands)

Other Equipment		2008	2009	2010	2009 - 2010
		Actual	Enacted	Request	Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	1,260	1,996	1,292	(704)
22.0	Transportation of things	204	323	209	(114)
23.1	GSA rent	-	-	-	-
23.2	Other rent	318	503	326	(177)
23.3	Communication, utilities, and misc charges	296	469	303	(165)
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	31,143	49,332	31,941	(17,391)
25.2	Other services	26,235	41,558	26,908	(14,650)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	46	73	47	(26)
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	0	1	0	(0)
26.0	Supplies and materials	14,809	23,458	15,189	(8,270)
31.0	Equipment	27,312	43,264	28,012	(15,252)
32.0	Land and structures	14,890	23,587	15,272	(8,315)
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total Direct Obligations		116,513	184,564	119,500	(65,064)
Full Time Equivalents		-	-	-	-

Summary Justification and Explanation of Changes

Travel

2008	2009	2010	2009 - 2010
Actual	Enacted	Request	Change
\$ 1,260	\$ 1,996	\$ 1,292	\$ (704)

Travel funds cover the travel costs of Coast Guard employees, while in an authorized travel status, either directly or by reimbursing the traveler. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Transportation of things

2008	2009	2010	2009 - 2010
Actual	Enacted	Request	Change
\$ 204	\$ 323	\$ 209	\$ (114)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Other rent

2008	2009	2010	2009 - 2010
Actual	Enacted	Request	Change
\$ 318	\$ 503	\$ 326	\$ (177)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. Funding supports lease renewals for facilities (e.g. office space, waterfront/mooring facilities, equipment storage and maintenance facilities, etc.). Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Communication, utilities, and misc charges

2008	2009	2010	2009 - 2010
Actual	Enacted	Request	Change
\$ 296	\$ 469	\$ 303	\$ (165)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Advisory and assistance services

2008	2009	2010	2009 - 2010
Actual	Enacted	Request	Change
\$ 31,143	\$ 49,332	\$ 31,941	\$ (17,391)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Other services

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	26,235	\$	41,558	\$	26,908	\$	(14,650)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs in support of the President's Management Agenda and Program Assessment Rating Tool and other initiatives focused on improving performance of Coast Guard missions. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Research and development

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	46	\$	73	\$	47	\$	(26)

Change results from the continued execution of FY 2009 appropriated project funding. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Supplies and materials

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	14,809	\$	23,458	\$	15,189	\$	(8,270)

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters, boats, aircraft, and supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Equipment

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	27,312	\$	43,264	\$	28,012	\$	(15,252)

This object class covers the purchase of capitalized and non-capitalized assets. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Land and structures

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	14,890	\$	23,587	\$	15,272	\$	(8,315)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

H. PPA Budget Justifications

Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction and Improvements
Shore Facilities & Aids To Navigation
Funding Schedule
(Dollars in Thousands)

Shore Facilities & Aids To Navigation		2008	2009	2010	2009 - 2010
		Actual	Enacted	Request	Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	1,402	821	108	(713)
22.0	Transportation of things	227	133	18	(116)
23.1	GSA rent	-	-	-	-
23.2	Other rent	354	207	27	(180)
23.3	Communication, utilities, and misc charges	329	193	25	(167)
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	34,664	20,303	2,673	(17,630)
25.2	Other services	29,201	17,104	2,252	(14,852)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	51	30	4	(26)
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	16,483	9,654	1,271	(8,383)
31.0	Equipment	30,400	17,806	2,344	(15,462)
32.0	Land and structures	16,573	9,707	1,278	(8,429)
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total Direct Obligations		129,686	75,959	10,000	(65,959)
Full Time Equivalents		-	-	-	-

Summary Justification and Explanation of Changes

Travel

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 1,402	\$ 821	\$ 108	\$ (713)

Travel funds cover the travel costs of Coast Guard employees, while in an authorized travel status, either directly or by reimbursing the traveler. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Transportation of things

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 227	\$ 133	\$ 18	\$ (116)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Other rent

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 354	\$ 207	\$ 27	\$ (180)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. Funding supports lease renewals for facilities (e.g. office space, waterfront/mooring facilities, equipment storage and maintenance facilities, etc.). Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Communication, utilities, and misc charges

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 329	\$ 193	\$ 25	\$ (167)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Advisory and assistance services

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 34,664	\$ 20,303	\$ 2,673	\$ (17,630)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Other services

	2008 Actual		2009 Enacted		2010 Request		2009 - 2010 Change
\$	29,201	\$	17,104	\$	2,252	\$	(14,852)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs in support of the President's Management Agenda and Program Assessment Rating Tool and other initiatives focused on improving performance of Coast Guard missions. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Research and development

	2008 Actual		2009 Enacted		2010 Request		2009 - 2010 Change
\$	51	\$	30	\$	4	\$	(26)

Change results from the continued execution of FY 2009 appropriated project funding. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Supplies and materials

	2008 Actual		2009 Enacted		2010 Request		2009 - 2010 Change
\$	16,483	\$	9,654	\$	1,271	\$	(8,383)

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters, boats, aircraft, and supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Equipment

	2008 Actual		2009 Enacted		2010 Request		2009 - 2010 Change
\$	30,400	\$	17,806	\$	2,344	\$	(15,462)

This object class covers the purchase of capitalized and non-capitalized assets. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Land and structures

	2008 Actual		2009 Enacted		2010 Request		2009 - 2010 Change
\$	16,573	\$	9,707	\$	1,278	\$	(8,429)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

H. PPA Budget Justifications

Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction and Improvements
DHS Headquarters
Funding Schedule
(Dollars in Thousands)

DHS Headquarters		2008	2009	2010	2009 - 2010
		Actual	Enacted	Request	Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	-	1,055	-	(1,055)
22.0	Transportation of things	-	171	-	(171)
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	266	-	(266)
23.3	Communication, utilities, and misc charges	-	248	-	(248)
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	26,081	-	(26,081)
25.2	Other services	-	21,972	-	(21,972)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	39	-	(39)
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	-	12,402	-	(12,402)
31.0	Equipment	-	22,873	-	(22,873)
32.0	Land and structures	-	12,470	-	(12,470)
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total Direct Obligations		-	97,578	-	(97,578)
Full Time Equivalents		-	-	-	-

Summary Justification and Explanation of Changes

Travel

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ -	\$ 1,055	\$ -	(1,055)

The Coast Guard is not requesting funds for this activity in FY 2010.

Transportation of things

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ -	\$ 171	\$ -	(171)

The Coast Guard is not requesting funds for this activity in FY 2010.

Other rent

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ -	\$ 266	\$ -	(266)

The Coast Guard is not requesting funds for this activity in FY 2010.

Communication, utilities, and misc charges

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ -	\$ 248	\$ -	(248)

The Coast Guard is not requesting funds for this activity in FY 2010.

Advisory and assistance services

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ -	\$ 26,081	\$ -	(26,081)

The Coast Guard is not requesting funds for this activity in FY 2010.

Other services

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ -	\$ 21,972	\$ -	(21,972)

The Coast Guard is not requesting funds for this activity in FY 2010.

Research and development

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ -	\$ 39	\$ -	(39)

The Coast Guard is not requesting funds for this activity in FY 2010.

Supplies and materials

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ -	\$ 12,402	\$ -	(12,402)

The Coast Guard is not requesting funds for this activity in FY 2010.

Equipment

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ -	\$ 22,873	\$ -	(22,873)

The Coast Guard is not requesting funds for this activity in FY 2010.

Land and structures

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ -	\$ 12,470	\$ -	(12,470)

The Coast Guard is not requesting funds for this activity in FY 2010.

H. PPA Budget Justifications

Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction and Improvements
Personnel & Related Support
Funding Schedule
(dollars in thousands)

Personnel & Related Support		2008	2009	2010	2009 - 2010
		Actual	Enacted	Request	Change
Object Classes					
11.1	Full-time permanent	30,170	33,817	40,658	6,841
11.3	Other than full-time permanent	42	47	323	276
11.5	Other personnel compensation	638	715	787	72
11.7	Military personnel	29,449	33,412	34,436	1,024
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	7,614	8,534	10,263	1,729
12.2	Military personnel benefits	1,950	2,212	2,280	68
13.0	Benefits-former	-	-	-	-
21.0	Travel	131	152	122	(31)
22.0	Transportation of things	21	25	20	(5)
23.1	GSA rent	-	-	-	-
23.2	Other rent	33	38	31	(8)
23.3	Communication, utilities, and misc charges	31	36	29	(7)
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	3,244	3,767	3,008	(759)
25.2	Other services	2,733	3,173	2,534	(639)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	5	6	4	(1)
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	1,543	1,791	1,430	(361)
31.0	Equipment	2,845	3,304	2,638	(666)
32.0	Land and structures	1,551	1,801	1,438	(363)
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total Direct Obligations		\$ 82,000	\$ 92,830	\$ 100,000	\$ 7,170
Full Time Equivalents		652	685	735	50

Summary Justification and Explanation of Changes

Salaries and Benefits

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 69,863	\$ 78,737	\$ 88,747	\$ 10,010

Currently, all salaries, benefits, and support for the military and civilian personnel who administer AC&I contracts are funded by the AC&I appropriation, whereas 97 percent of the Coast Guard's personnel is funded from the OE appropriation. AC&I has a specific annual appropriation to fund "personnel compensation and benefits and related costs." Annual AC&I personnel compensation appropriation, rather than the multi-year project funds, must be used to fund all AC&I related personnel costs.

Travel

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 131	\$ 152	\$ 122	\$ (31)

Travel funds cover the travel costs of Coast Guard employees, while in an authorized travel status, either directly or by reimbursing the traveler. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Transportation of things

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 21	\$ 25	\$ 20	\$ (5)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. Specifically, funding supports the shipment of military member's household goods in conjunction with Permanent Change of Station (PCS) moves.

Other rent

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 33	\$ 38	\$ 31	\$ (8)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. Funding supports lease renewals for facilities (e.g. office space, waterfront/mooring facilities, equipment storage and maintenance facilities, etc.).

Communication, utilities, and misc charges

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 31	\$ 36	\$ 29	\$ (7)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Specifically, funding includes data connectivity costs for Coast Guard shore facilities, cutters, and aircraft, utility costs including shore facility utilities and cutter, boat and aircraft fuel requirements, and postal costs.

Advisory and assistance services

2008	2009	2010	2009 - 2010
Actual	Enacted	Request	Change
\$ 3,244	\$ 3,767	\$ 3,008	\$ (759)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Other services

2008	2009	2010	2009 - 2010
Actual	Enacted	Request	Change
\$ 2,733	\$ 3,173	\$ 2,534	\$ (639)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs in support of the President's Management Agenda and Program Assessment Rating Tool and other initiatives focused on improving performance of Coast Guard missions. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Research and development

2008	2009	2010	2009 - 2010
Actual	Enacted	Request	Change
\$ 5	\$ 6	\$ 4	\$ (1)

Change results from the continued execution of FY 2009 appropriated project funding. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Supplies and materials

2008	2009	2010	2009 - 2010
Actual	Enacted	Request	Change
\$ 1,543	\$ 1,791	\$ 1,430	\$ (361)

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters, boats, aircraft, and supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Equipment

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	2,845	\$	3,304	\$	2,638	\$	(666)

This object class covers the purchase of capitalized and non-capitalized assets. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

Land and structures

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	1,551	\$	1,801	\$	1,438	\$	(363)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. Reduced funding in FY 2010 is a result of shifts in project funding and their progress.

I. Changes in Full-Time Equivalents

Department of Homeland Security
U. S. Coast Guard
Acquisition, Construction and Improvements
Changes in Full-Time Equivalents

	FY 2008	FY 2009	FY 2010
BASE: Start of Year (SOY) FTE levels	652	652	685
INCREASES			
Increase #1: AC&I personnel management.	0	33	50
Description: Management and oversight of AC&I projects.			
Subtotal, Increases:	0	33	50
DECREASES:			
Decrease #1: Transfer to OE appropriation ^{/1}	0	0	0
Description: Transfer of FTE to OE appropriation			
Subtotal, Decreases:	0	0	0
Year-end Enacted / Estimated FTEs	652	685	735
Net Change from prior year SOY base to budget year estimate:		33	50

*The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

Department of Homeland Security

United States Coast Guard

Alteration of Bridges



Fiscal Year 2010

Congressional Justification

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U. S. Coast Guard
Alteration of Bridges

I. Appropriation Overview

A. Mission Statement for Alteration of Bridges:

The Coast Guard is not requesting new funding for Alteration of Bridges in FY 2010. Alteration of unreasonably obstructive bridges ensures navigational safety and freedom of mobility to facilitate commerce, emergency response and U.S. Government operations by providing sufficient clearances for the type of vessels that transit beneath bridges. Activities funded by this account reduce the risk of fatalities and collisions, prevent longer transit times, protect regional and national economies and facilitate response capabilities for emergency vessels and government vessels of the United States. They also deter increased waterway and highway/railway closures due to accidents.

B. Budget Activities:

Funding in this account supports the Coast Guard's Aids to Navigation mission.

C. Budget Request Summary:

The Coast Guard is not requesting funding for Alteration of Bridges in FY 2010.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U. S. Coast Guard
Alteration of Bridges
Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)**

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
I. Alteration of Bridges	-	\$ 17,326	-	\$ 16,000	-	\$ -	-	\$ (16,000)	-	\$ -	-	\$ (16,000)
Subtotal, Enacted Appropriations and Budget Estimates	-	\$ 17,326	-	\$ 16,000	-	\$ -	-	\$ (16,000)	-	\$ -	-	\$ (16,000)
Less Adjustments for Other Funding Sources:												
Net, Enacted Appropriations & Budget Estimates	-	\$ 17,326	-	\$ 16,000	-	\$ -	-	\$ (16,000)	-	\$ -	-	\$ (16,000)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
I. American Recovery and Reinvestment Act (ARRA)												
Alteration of Bridges				\$ 142,000		\$ -						
Total				\$ 142,000		\$ -						

III. Current Services Program Description by PPA

**Department of Homeland Security
U. S. Coast Guard
Alteration of Bridges
Program Performance Justification
(Dollars in Thousands)**

PPA I: ALTERATION OF BRIDGES

	Perm Pos	FTE	Amount
2008 Actual	\$17,326
2009 Enacted	\$16,000
2010 Adjustments-to-Base	(\$16,000)
2010 Current Services
2010 Program Change
2010 Request
Total Change 2009-2010	(\$16,000)

*The table above excludes ARRA funding of \$142.000 million provided in P.L. 111-5. The Coast Guard does not request any funding for this activity in FY 2010.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Alteration of Bridges program funds the Federal government's share of the costs for altering or removing bridges determined to be unreasonable obstructions to navigation. Under the Federal-Aid to Highways Program, unreasonably obstructive highway bridges may be eligible for funding. Under the Truman-Hobbs Act of 1940 (33 U.S.C. 511-523), the Federal government shares, with the bridge owner, the cost of altering railroad and publicly-owned highway bridges obstructing the free movement of vessel traffic.

FY2008 Accomplishments:

- Galveston Bridge across the Gulf Intracoastal Waterway in Galveston, Texas: Completed the final design, environmental documentation, and acquire necessary permits.
- CSXT Railroad Bridge across the Mobile River in Mobile, Alabama: Completed the Value Engineering redesign/modification to improve value or reduce the cost of the project.
- Canadian Pacific Railroad Bridge across the Upper Mississippi River at Lacrosse, Wisconsin: Continued design phase.
- The Coast Guard has deemed 30 bridges as potentially unreasonable obstructions to navigation. These bridges will require a Truman-Hobbs eligibility detailed investigation to definitively determine whether they are unreasonably obstructive.

FY2009 Accomplishments:

- CSXT Railroad Bridge across the Mobile River in Mobile, Alabama: Completed the final design, environmental documentation, and bid package, and acquired all necessary permits.
- EJ&E Railroad Bridge across Illinois Waterways in Divine, Illinois: Completed the final design, environmental documentation, and bid package, and acquired all necessary permits.
- Burlington Northern Santa Fe Railroad Bridge across the Upper Mississippi River in Burlington, Iowa: Completed the final design, environmental documentation, and bid package, and acquired all necessary permits.
- Galveston Railroad Bridge across the Gulf Intracoastal Waterway in Galveston, Texas: Completed the final design, environmental documentation, and bid package, and acquired all necessary permits.
- Canadian Pacific Railroad Bridge across the Upper Mississippi River in Lacrosse, Wisconsin: Completed 80% of the design of the new bridge.

The Coast Guard has deemed 32 bridges as potentially unreasonable obstructions to navigation. These bridges will require a Truman-Hobbs eligibility detailed investigation to definitively determine whether they are unreasonably obstructive.

The Alteration of Bridges, under the American Recovery and Reinvestment Act (ARRA) of 2009 received \$142,000,000 for “construction ready” bridge alteration projects. The proposed projects to receive ARRA fund are described in the ARRA Expenditure Report available at www.dhs.gov/recovery.

IV. Program Justification of Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
U.S. Coast Guard
Justification of Proposed Changes in Alteration of bridges
Appropriation Language**

[For necessary expenses for alteration or removal of obstructive bridges, as authorized by section 6 of the Truman-Hobbs Act (33 U.S.C. 516), \$16,000,000, to remain available until expended: *Provided*, that of the amounts made available under this heading, \$2,000,000 shall be for the Burlington Northern Railroad Bridge in Burlington, Iowa; \$2,000,000 shall be for the Canadian Pacific Railway Bridge in La Crosse, Wisconsin; \$2,000,00 shall be for the Chelsea Street Bridge in Chelsea, Massachusetts; \$2,000,000 shall be for the Elgin, Joliet, and Eastern Railway Company Bridge in Morris, Illinois; \$4,000,000 shall be for the Fourteen Mile Bridge in Mobile, Alabama; and \$4,000,000 shall be for the Galveston Causeway Bridge in Galveston, Texas.] (*Department of Homeland Security Appropriations Act, 2009*).

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
U. S. Coast Guard
Alteration of Bridges
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actual	-	-	17,326
2009 Enacted	-	-	16,000
Adjustments-to-Base			
Total Decreases	-	-	(16,000)
Total Adjustments-to-Base	-	-	(16,000)
2010 Current Services	-	-	-
Program Changes			
Program Decrease	-	-	-
Total Program Changes	-	-	-
2010 Request	-	-	-
2009 to 2010 Total Change	-	-	(16,000)

C. Summary of Requirements

**Department of Homeland Security
U. S. Coast Guard
Alteration of Bridges Appropriation
Summary of Requirements
(Dollars in Thousands)**

	2008 Actual		2009 Enacted		2010 Request	
	Perm. Pos	FTE	Amount	Perm. Pos	FTE	Amount
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)						
Transfers	-	-	-	-	-	-
Increases	-	-	-	-	-	-
Decreases	-	-	-	-	-	(16,000)
Total Adjustments-to-Base	-	-	-	-	-	(16,000)
2010 Current Services	-	-	-	-	-	-
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	-	-	-	-	-	-
2010 Request	-	-	-	-	-	-
2009 to 2010 Total Change	-	-	-	-	-	(16,000)

Estimates by Project	2009 Enacted		2010 Adjustments-to-Base		2010 Program Change		2010 Request		2009 to 2010 Total Change			
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
I. Alteration of Bridges	-	-	16,000	-	-	(16,000)	-	-	-	-	-	(16,000)
Total	-	-	16,000	-	-	(16,000)	-	-	-	-	-	(16,000)

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
U. S. Coast Guard
Alteration of Bridges
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1 Full-time permanent	-	-	-	-
11.3 Other than full-time permanent	-	-	-	-
11.5 Other personnel compensation	-	-	-	-
11.7 Military personnel	-	-	-	-
11.8 Special service pay	-	-	-	-
12.1 Civilian personnel benefits	-	-	-	-
12.2 Military personnel benefits	-	-	-	-
13.0 Benefits-former	-	-	-	-
Total, Personnel Comp. & Benefits	\$ -	\$ -	\$ -	\$ -
Other Objects Classes:				
21.0 Travel	-	-	-	-
22.0 Transportation of things	-	-	-	-
23.1 GSA rent	-	-	-	-
23.2 Other rent	-	-	-	-
23.3 Communication, utilities, and misc charges	-	-	-	-
24.0 Printing and reproduction	-	-	-	-
25.1 Advisory and assistance services	-	-	-	-
25.2 Other services	-	-	-	-
25.3 Purchases of goods & sves. from gov't accounts	-	-	-	-
25.4 Operation & maintenance of facilities	-	-	-	-
25.5 Research and development	-	-	-	-
25.6 Medical care	-	-	-	-
25.7 Operation and maintenance of equipment	-	-	-	-
25.8 Subsistence and support of persons	-	-	-	-
26.0 Supplies and materials	-	-	-	-
31.0 Equipment	-	-	-	-
32.0 Land and structures	17,326	16,000	-	(16,000)
41.0 Grants, subsidies and contributions	-	-	-	-
42.0 Insurance claims and indemnity	-	-	-	-
Total, Other Object Classes	\$ 17,326	\$ 16,000	\$ -	\$ (16,000)
Total Direct Obligations	\$ 17,326	\$ 16,000	\$ -	\$ (16,000)
Unobligated balance, start of year	(408)	-	-	-
Unobligated balance, end of year	-	-	-	-
Total Requirements	\$ 16,918	\$ 16,000	\$ -	\$ (16,000)

Note: Total direct obligations does not include advances and reimbursements

F. Permanent Positions by Grade

Not Applicable

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Alteration of Bridges
PPA I
Funding Schedule
(Dollars in Thousands)**

Alteration of Bridges		2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	-	-	-	-
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	-	-
25.2	Other services	-	-	-	-
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	-	-	-	-
31.0	Equipment	-	-	-	-
32.0	Land and structures	17,326	16,000	-	(16,000)
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total Direct Obligations		\$ 17,326	\$ 16,000	\$ -	\$ (16,000)
Full Time Equivalents		-	-	-	-

PPA Mission Statement

The alteration of unreasonably obstructive bridges ensures navigational safety and freedom of mobility to facilitate commerce, emergency response and U.S. Government operations, by providing sufficient clearances for the type of vessels that transit through the bridge. This appropriation reduces the risk of fatalities and allisions, prevents longer transit times, negative impact on regional and national economies, negative impact on response capabilities for emergency vessels and government vessels of the United States, and avoids increased waterway and highway/railway closures due to accidents.

Summary Justification and Explanation of Changes

Land and structures

	2008 Actual		2009 Enacted		2010 Request		2009 - 2010 Change
	\$ 17,326	\$	16,000	\$	-	\$	(16,000)

The Coast Guard is not requesting funding for Alteration of Bridges in FY 2010.

I. Changes in Full-Time Equivalents

Not Applicable

Department of Homeland Security

United States Coast Guard

Research, Development, Test and Evaluation



Fiscal Year 2010

Congressional Justification

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U. S. Coast Guard
Research, Development, Test and Evaluation

I. Appropriation Overview

A. Mission Statement for Research, Development, Test and Evaluation:

The Coast Guard requests \$19.745 million and 101 FTE in FY 2010, an increase of \$1.745 million over the \$18.000 million enacted in FY 2009. Research, Development, Test and Evaluation (RDT&E) funding allows the Coast Guard to sustain critical mission capabilities through targeted capabilities and partnerships with the Department of Homeland Security (DHS), Department of Defense (DoD) and other organizations. The RDT&E funding requested supports all 11 statutorily-mandated Coast Guard mission programs and offers risk-reduction expertise and services in the pre-acquisition process across all major and non-major acquisition projects. These mission-programs in turn directly support the Coast Guard's role as the principal Federal agency for ensuring maritime safety, security and environmental stewardship.

B. Budget Activities:

RDT&E projects provide a direct benefit to all Coast Guard missions, including: Search and Rescue (SAR), Marine Safety, Aids to Navigation (AtoN), Ice Operations, Marine Environmental Protection (MEP), Living Marine Resources (LMR), Drug Interdiction, Migrant Interdiction, Other Law Enforcement, Ports, Waterways and Coastal Security (PWCS), and Defense Readiness.

C. Budget Request Summary:

The Coast Guard requests \$19.745 million in FY 2010 to develop technologies and systems to improve operational presence and response, as well as perform technology assessments to inform the early stages of the acquisition process. Specific projects include: developing new technologies for the detection and recovery of oil and hazardous materials from the sea floor; developing ballast water treatment methodologies; providing data-sharing and information security technologies to support adaptive force packages; and developing advanced analytical techniques to support the acquisition process. In addition, funding supports program operations and maintenance costs (e.g., salaries, facility rent, utilities) at the Coast Guard Research and Development Center and the R & D Program's continued collaboration and participation with the research community. Healthy partnerships with other government, academic, and private research entities enable the Coast Guard to leverage research and development resources and foster synergies in scientific fields pertinent to the Service's missions.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U. S. Coast Guard
Research, Development, Test and Evaluation
Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)**

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
I. Research, Development, Test and Evaluation	85	\$ 19,098	102	\$ 18,000	101	\$ 19,745	(1)	\$ 1,745	-	\$ -	(1)	\$ 1,745
Subtotal, Enacted Appropriations and Budget Estimates	85	\$ 19,098	102	\$ 18,000	101	\$ 19,745	(1)	\$ 1,745	-	\$ -	(1)	\$ 1,745
Less Adjustments for Other Funding Sources:												
Net, Enacted Appropriations & Budget Estimates	85	\$ 19,098	102	\$ 18,000	101	\$ 19,745	(1)	\$ 1,745	-	\$ -	(1)	\$ 1,745

III. Current Services Program Description by PPA

**Department of Homeland Security
U. S. Coast Guard
Research, Development, Test and Evaluation
Program Performance Justification
(Dollars in Thousands)**

PPA I: RESEARCH, DEVELOPMENT, TEST AND EVALUATION

	Perm		
	Pos	FTE	Amount
2008 Actual	107	85	19,098
2009 Enacted	107	102	18,000
2010 Adjustments-to-Base	(6)	(1)	1,745
2010 Current Services	101	101	19,745
2010 Program Change
2010 Request	101	101	19,745
Total Change 2009-2010	1,745

The Coast Guard requests \$19.745 million for this activity. This reflects a \$1.745 million increase over FY 2009 enacted.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Coast Guard RDT&E Program supports all Coast Guard missions through the development of technologies and systems which improve operational presence and response, ultimately enhancing mission execution. In addition, the integration of the RDT&E Program into the Coast Guard Acquisitions Directorate infuses in-house expertise into the pre-acquisition process to reduce risk across all major and non-major acquisition projects.

FY 2009 funding for the RDT&E Program is grouped into two categories: Coast Guard Mission Research and Operations & Maintenance (e.g., salaries, facility rent, utilities). The RDT&E Program will examine R&D solutions for performance gaps in spill prevention, preparedness and incident management, aquatic nuisance species control, search and rescue capability, and boarding team communications.

With FY 2010 funding, the Coast Guard RDT&E Program will conduct research and development in the following areas: net-centric data sharing and information security for inter-agency maritime domain awareness information; portable port security deterrence and detection systems for air, surface, and underwater attack scenarios; improved boarding team member and support unit communication and connectivity technologies; and assessing capability, human-factors, and technological challenges associated with operations in extremely cold weather climates. In addition, the Coast Guard RDT&E Program will conduct legacy mission projects in the following areas: Search and Rescue,

Marine Safety, Aids to Navigation, Aquatic Nuisance Species and Oil and Hazardous Material Spill Response.

FY 2008 accomplishments

- Deployed second phase of at-sea biometric identification system using next generation equipment in support of the Migrant Interdiction mission.
- Provided useable guidance to Headquarters program managers concerning methods to improve Mass Rescue Operations (MRO) response.
- Developed new equipment to detect and recover non-buoyant submerged oils that have been spilled into waterways.
- Conducted study to research the use of unmanned aerial systems (UAS) in conjunction with the National Security Cutter (NSC).
- Developed and tested ballast water treatment methodologies that can be used in lieu of ballast water exchange to reduce the number of incidental introductions of aquatic nuisance species into U.S. waters during normal ship operations.

Projects Planned for FY 2009

Marine Safety

- Search and Rescue (SAR) Technology
Develop and improve rescue technologies such as victim treatment protocols, emergency beacon reliability, and multiple person rescue methodologies. Research the efficacy of regulatory versus guidance-based restrictions for vessel operations in extremely hazardous conditions.
- Aids to Navigation (AtoN)
Define Western Rivers' AtoN requirements, evaluate alternative floating-aid concepts, and explore the use of virtual AtoN. This research will identify the impact of evolving AtoN requirements and advancing technology on the potential inland-river replacement fleet.

Protection of Natural Resources

- Oil Spill Response
Continue research to identify and develop technologies to detect heavy oil on the sea floor and develop systems and operational processes to address performance gaps in heavy, viscous oil recovery. This includes both emulsified oils floating on the surface and oils heavier than water that sink to the bottom. New initiatives will address the challenges posed by the underwater environment including: poor visibility, tracking oil spill movement, colder temperatures, and limited containment methods and technologies. Several prototype detection systems will be tested and evaluated.

- Aquatic Nuisance Species Control
Develop a means to ascertain the efficacy of Ballast Water Exchange regulations. Develop and test ballast water treatment methodologies to be used in lieu of ballast water exchange to reduce the number of incidental introductions of aquatic nuisance species into U.S. waters during normal ship operations.

Homeland Security

- Command Centers
Develop and assess operational concepts to support the sector command center, taking into account how variability and command center needs will affect future systems.
- Improved Maritime Domain Awareness (MDA)
Provide technologies (e.g. biometrics, wireless boarding team connectivity) to support adaptive force packages. Investigate net-centric data sharing and security for MDA information across agency boundaries to support publish-and-subscribe data sharing in a future need-to-share environment.
- Port Security and Law Enforcement
Develop tools to support boarding teams, compel compliance of people and vessels and understand how new explosive detection technologies can be employed in the maritime environment.

Pre-Acquisition Support

- Technology Assessment
Apply the RDT&E Program's resident expertise to the pre-acquisition phase of Coast Guard acquisition projects to determine technology maturity and application. Pre-acquisition functions include: market surveys, gap analysis, business case development, user wants & needs generation, requirements validation, cost analysis, modeling & simulation, prototyping & field testing, trade-off studies, human factors analysis, alternatives analyses, proposal review, and technology readiness assessments. This pre-acquisition activity assists in the identification of acquisition risk and the development of a methodology for managing it. Use the Mosaic system, a requirements generation tool developed by the Research and Development Center, to support Coast Guard resource allocation analysis.
- Modeling & Simulation (M&S)
Adapt the RDT&E Program's resident M&S expertise to the many on-going acquisition projects and develop, adapt, and/or maintain effective, agile M&S tools to support the decision-making processes of operational sponsors and acquisition project managers. M&S reduces the cost of design, development, testing and evaluation throughout the acquisition cycle by harnessing software to perform labor-intensive tasks, freeing resources which would otherwise be

required. M&S aids the sponsor in the development of the proper asset mix and improves and validates user requirements.

- Heartland Waterway Vessel (HWV)
Continue joint research venture between DHS S&T, industry, and the Coast Guard to investigate the viability and applicability of emerging technologies, such as, alternative propulsion, emission reduction and other “green” technologies, and modular design that could be incorporated into future designs for modernization of the inland-river and Great Lakes cutter fleets.
- Polar Research
Investigate the Polar environment and the capability, human factors, and technological challenges associated with operations in extremely cold weather climates. Analyze the peculiarities of performing Coast Guard missions in such climates and develop new technologies and/or modify existing technologies to address the disparities between normal and extremely cold climate operations. Research findings will support the generation of Coast Guard capability requirements and inform the acquisition and management of resources to sustain operations in the Arctic. To the extent possible, the R&D Program will collaborate with DHS S&T Universities Program and the Center of Excellence for Maritime, Island, and Extreme/Remote Environment Security.

Projects Planned for FY 2010

Marine Safety

- Search and Rescue (SAR) Technology
Continue development of rescue technologies and research application and effectiveness of existing and future Coast Guard sensors to SAR in operational situations and conditions. Develop a sensor performance prediction tool to help determine the effectiveness of a search for an object or person.
- Aids to Navigation (AtoN)
Continue to research alternative floating-aid concepts and explore the use of virtual AtoN to meet Western Rivers’ requirements. Evaluate the impact of advancing technology on evolving AtoN requirements and on the potential inland-river replacement fleet.

Protection of Natural Resources

- Oil Spill Response
Continue research to develop systems and operational processes to address performance gaps in heavy, viscous oil detection and recovery. Regardless of whether the oil is on the surface, neutrally buoyant in the water column or sitting on the bottom, the ability to recover heavy, viscous oil prior to its impact on the coastline remains an elusive capability. The underwater environment poses major

problems including poor visibility, difficulty tracking oil spill movement, colder temperatures, limited containment methods and technologies and the electric or mechanical recovery equipment compatibility with water.

- Aquatic Nuisance Species Control
Continue to develop a means to ascertain the efficacy of Ballast Water Exchange regulations. Further develop and test ballast water treatment methodologies to be used in lieu of ballast water exchange to reduce the number of incidental introductions of aquatic nuisance species into U.S. waters during normal ship operations.

Homeland Security

- Improved Maritime Domain Awareness (MDA)
Provide technologies (e.g. biometrics, wireless boarding team connectivity) to support adaptive force packages. Investigate net-centric data sharing and security for MDA information across agency boundaries to support publish-and-subscribe data sharing in a future need-to-share environment.
- Command Centers
Develop and assess operational concepts to support command center interoperability initiatives, especially in the areas of decision support and information dissemination.
- Port Security and Law Enforcement
Develop tools to support boarding teams, compel compliance of people and vessels and understand how new explosive detection technologies can be employed in the maritime environment.

Pre-Acquisition Support

- Technology Assessment
Continue to apply the RDT&E Program's resident expertise to the pre-acquisition phase of Coast Guard acquisition projects to determine technology maturity and application. Identify and develop methodology for managing acquisition risk. Employ the Mosaic system, a requirements generation tool developed by the Research and Development Center, to support Coast Guard resource allocation analysis.
- Modeling & Simulation (M&S)
Adapt the RDT&E Program's resident M&S expertise to the many on-going acquisition projects and develop, adapt, and/or maintain effective, agile M&S tools to support the decision-making processes of operational sponsors and acquisition project managers. M&S reduces the cost of design, development, testing and evaluation throughout the acquisition cycle by harnessing software to perform labor-intensive tasks, freeing resources which would otherwise be

required. M&S aids in the development of the proper asset mix and improves and validates user requirements.

- Heartland Waterway Vessel (HWV)
Continue joint research venture between S&T, the Coast Guard, and industry to investigate viability and applicability of emerging technologies, such as alternative propulsion, emission reduction and other “green” technologies, and modular design that could be incorporated into future designs for modernization of the inland-river and Great Lakes cutter fleets.

- Polar Research
Support the development of Concept of Operations (CONOP) for cold weather climates. Research findings will support the generation of Coast Guard capability requirements and inform the acquisition and management of resources to sustain operations in the Arctic.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
U. S. Coast Guard
Justification of Proposed Changes in Research, Development, Test and Evaluation
Appropriation Language**

For necessary expenses for applied scientific research, development, test, and evaluation; and for maintenance, rehabilitation, lease, and operation of facilities and equipment; as authorized by law; [\$18,000,000] **\$19,745,000** to remain available until expended, of which \$500,000 shall be derived from the Oil Spill Liability Trust Fund to carry out the purposes of section 1012(a)(5) of the Oil Spill Pollution Act of 1990 (33 U.S.C. 2712(a)(5)): *Provided*, that there may be credited to and used for the purposes of this appropriation funds received from State and local governments, other public authorities, private sources, and foreign countries, for expenses incurred for research, development, test and evaluation. (*Department of Homeland Security Appropriations Act, 2009.*)

Explanation of Changes:

No substantive changes proposed.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
U. S. Coast Guard
Research, Development, Test and Evaluation
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actual	107	85	19,098
2009 Enacted	107	102	18,000
Adjustments-to-Base			
Increases			
Annualization of FY 2009 Pay Raise	-	-	112
FY 2010 Pay Raise	-	-	317
GSA Rent	-	-	1,116
Utilities			200
Total Increases	-	-	1,745
Decreases			
Management and Technology Efficiencies (FY08 A-76 Study)*	(6)	(1)	-
Total Decreases	(6)	(1)	-
Total Adjustments-to-Base	(6)	(1)	1,745
2010 Current Services	101	101	19,745
Program Changes			
Program Increase	-	-	-
Total Program Changes	-	-	-
2010 Request	101	101	19,745
2009 to 2010 Total Change	(6)	(1)	1,745

* Reflects decrease of one FTE due to technical error in MAX database.

C. Summary of Requirements

Department of Homeland Security
U. S. Coast Guard
Research, Development, Test and Evaluation
Summary of Requirements
(Dollars in Thousands)

	2010 Request		
	Pos.	FTE	Amount
2008 Actual	107	85	19,098
2009 Enacted	107	102	18,000
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	-	-	-
Increases	-	-	1,745
Decreases	(6)	(1)	-
Total Adjustments-to-Base	(6)	(1)	1,745
2010 Current Services	101	101	19,745
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	-	-	-
2010 Total Request	101	101	19,745
2009 to 2010 Total Change	(6)	(1)	1,745

Estimates by Program/Project Activity	2009 Enacted		2010 Adjustments-to-Base		2010 Program Change		2010 Request		2009 to 2010 Total Change			
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
PPA J	107	102	18,000	(6)	(1)	1,745	-	-	-	101	101	19,745
Total RDT&E	107	102	18,000	(6)	(1)	1,745	-	-	-	101	101	19,745

D. Summary of Reimbursable Resources

Department of Homeland Security
U. S. Coast Guard
Research, Development, Test and Evaluation
Summary of Reimbursable Resources
 (Dollars in Thousands)

Collections by Source	2008 Estimate		2009 Estimate		2010 Estimate		Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Agency 1	N/A	N/A	17,070	N/A	N/A	19,419	N/A	N/A	(1,411)
Dept of Homeland Security									
Agency 2	N/A	N/A	11,950	N/A	N/A	8,803	N/A	N/A	473
Dept of the Navy									
Agency 3	N/A	N/A	980	N/A	N/A	1,778	N/A	N/A	938
Joint Non-Lethal Weapons Directorate									
Total Budgetary Resources			30,000			30,000			-

Obligations by Program/Project Activity	2008 Estimate		2009 Estimate		2010 Estimate		Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Conventional Missions	N/A	N/A	30,000	N/A	N/A	30,000	N/A	N/A	-

E. Summary of Requirements by Object Class

**Department of Homeland Security
U. S. Coast Guard
Research, Development, Test and Evaluation
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes		2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1	Full-time permanent	5,974	7,321	7,591	270
11.3	Other than full-time permanent	131	160	171	11
11.5	Other personnel compensation	140	172	176	4
11.7	Military personnel	2,414	1,956	2,028	72
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	1,459	1,788	1,855	67
12.2	Military personnel benefits	160	129	134	5
13.0	Benefits-former	-	-	-	-
Total, Personnel Comp. & Benefits		\$ 10,278	\$ 11,526	\$ 11,955	\$ 429
Other Objects Classes:					
21.0	Travel	1,812	2,335	1,196	(1,139)
21.7	Lease of Vehicles	7	17	6	(11)
22.0	Transportation of things	71	170	63	(107)
23.1	GSA rent	-	915	1,116	201
23.2	Other rent	483	238	-	(238)
23.3	Communication, utilities, and misc charges	59	306	252	(54)
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	1,825	4,367	1,410	(2,957)
25.2	Other services	-	-	-	-
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	3,009	9,032	2,149	(6,883)
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	13	31	11	(20)
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	1,141	2,730	1,025	(1,705)
31.0	Equipment	400	957	562	(395)
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total, Other Object Classes		\$ 8,820	\$ 21,098	\$ 7,790	\$ (13,308)
Total, Research, Development, Test, & Evaluation		\$ 19,098	\$ 32,624	\$ 19,745	\$ (12,879)
Unobligated balance, start of year		2,601	14,624	-	-
Unobligated balance, end of year		14,624	-	-	-
Total Requirements		\$ 7,075	\$ 18,000	\$ 19,745	\$ 1,745
<p>Note 1: Total direct obligations does not include advances and reimbursements. Note 2: Unobligated balance, end of year includes other funding sources</p>					

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Research, Development, Test, and Evaluation - Military
Permanent Positions by Grade**

Grade	2008 Actual	2009 Enacted	2010 Request*	2009 - 2010 Change
	Pos.	Pos.	Pos.	Pos.
O-10	-	-	-	-
O-9	-	-	-	-
O-8	-	-	-	-
O-7	-	-	-	-
O-6	2	2	2	-
O-5	1	1	1	-
O-4	5	5	3	(2)
O-3	8	8	7	(1)
O-2	-	-	-	-
O-1	-	-	-	-
CWO4	2	2	1	(1)
Cadet	-	-	-	-
E-10	-	-	-	-
E-9	-	-	-	-
E-8	1	1	-	(1)
E-7	1	1	2	1
E-6	4	4	3	(1)
E-5	-	-	-	-
E-4	2	2	1	(1)
E-3	2	2	1	(1)
E-2	-	-	-	-
E-1	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
Total Permanent Positions	28	28	21	(7)
Unfilled Positions EOY	-	-	-	-
Total Perm. Employment EOY	28	28	21	(7)
FTE**	25	28	21	(7)
Headquarters	2	2	2	-
U.S. Field	26	26	19	(7)
Foreign Field	-	-	-	-
Total Permanent Positions	28	28	21	(7)
<u>Position Data:</u>				
Average Salary, Officer Positions***	\$106,352.00	\$114,553.28	\$121,173.57	\$6,620.29
Average Grade, Officer Positions	3.64	3.64	3.73	0.09
Average Salary, Enlisted Positions***	\$55,678.00	\$60,873.00	\$67,652.43	\$6,779.43
Average Grade, Enlisted Positions	5.30	5.30	5.57	0.27

*Position changes in the table reflect the result of a President's Office of Management and Budget Circular A-76 study completed at the Research & Development Center in 2008.

**The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

***The military pay and allowances averages include the costs associated with all pay and allowances paid to a particular paygrade, including: Basic Pay, Basic Allowance for Housing, Basic Allowance for Subsistence, Federal Insurance Contributions, Incentive/Special Pays, Clothing Allowances, Cost-of-Living Allowances and Selective Re-enlistment Bonus payments. The term "Officer" includes Chief Warrant Officers, Cadets and Officer Candidates.

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Research, Development, Test and Evaluation - Civilian
Permanent Positions by Grade**

Grade	2008 Actual	2009 Enacted	2010 Request*	2009 - 2010 Change
	Pos.	Pos.	Pos.	Pos.
Total, SES	-	-	-	-
Total, EX	-	-	-	-
GS-15	3	3	4	1
GS-14	15	15	14	(1)
GS-13	31	31	32	1
GS-12	19	19	21	2
GS-11	1	1	1	-
GS-10	-	-	-	-
GS-9	4	4	2	(2)
GS-8	1	1	1	-
GS-7	4	4	2	(2)
GS-6	-	-	2	2
GS-5	-	-	-	-
GS-4	-	-	-	-
GS-3	-	-	-	-
GS-2	-	-	-	-
Other Graded Positions	1	1	1	-
Ungraded Positions	-	-	-	-
Total Permanent Positions	79	79	80	1
Unfilled Positions EOY	6	6	2	(4)
Total Perm. Employment (Filled Positions) EOY	73	73	78	5
FTE*	60	74	80	6
Headquarters	5	5	5	-
U.S. Field	74	74	75	1
Foreign Field	-	-	-	-
Total Permanent Positions	79	79	80	1
<u>Position Data:</u>				
Average Personnel Costs, ES Positions	n/a	n/a	n/a	n/a
Average Personnel Costs, GS Positions*	\$114,632.05	\$116,416.67	\$121,969.62	5,552.95
Average Grade, GS Positions	12.42	12.42	12.49	0.07

* Position changes in the table reflect the result of a President's Office of Management and Budget Circular A-76 study completed at the Research & Development Center in 2008.

The average personnel costs shown above include basic/locality pay, lump sum payments, awards, overtime, benefits such as retirement, health care and life insurance, and other compensation such as holiday, Sunday, hazardous duty, reemployment annuitant and severance pays, night differential, non foreign Cost-of-Living Allowance, premium compensation for firefighters. Civilian FTP is presented as a count of full time positions, vice full time employees.

G. Capital Investment and Construction Initiative Listing

Not Applicable

PPA Mission Statement

Research, Development, Test and Evaluation (RDT&E) will allow the Coast Guard to maintain its non-homeland security research and development capability, while also partnering and leveraging initiatives identified by the Department of Homeland Security (DHS) and the Department of Defense (DOD) for efforts beneficial to the Coast Guard, DHS, and DOD for homeland security missions.

Summary Justification and Explanation of Changes

Salaries and Benefits

	2008 Actual		2009 Enacted		2010 Request		2009 - 2010 Change
	\$ 10,278	\$	11,526	\$	11,955	\$	429

FY 2010 request includes funding for the proposed pay raise (2.9% for military and 2.0% for civilians), medical benefits, other mandatory personnel entitlements.

Travel

	2008 Actual		2009 Enacted		2010 Request		2009 - 2010 Change
	\$ 1,812	\$	2,335	\$	1,196	\$	(1,139)

This line item includes costs associated with project-related travel. Decreased funding in FY 2010 is a result of shifts in project funding and their progress and alignment with departmental efficiency initiatives.

Lease of Vehicles

	2008 Actual		2009 Enacted		2010 Request		2009 - 2010 Change
	\$ 7	\$	17	\$	6	\$	(11)

Lease of Vehicles includes all costs related to the vehicle such as fuel. Decreased funding in FY 2010 is a result of shifts in project funding and their progress.

Transportation of things

	2008 Actual		2009 Enacted		2010 Request		2009 - 2010 Change
	\$ 71	\$	170	\$	63	\$	(107)

Transportation of things includes all costs of the care of such things while in process of being transported and other services incident to the transportation of things. Specifically, funding provides for shipment of goods, equipment, supplies and materials to support completion of RDT&E projects. Decreased in FY 2010 is a result of shifts in project funding for technology demonstrations, testing and evaluations and their progress.

GSA rent

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	-	\$	915	\$	1,116	\$	201

Increased funding in FY 2010 is a result of the Research and Development Center's move from Groton, CT to a GSA lease in New London, CT.

Other rent

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	483	\$	238	\$	-	\$	(238)

Decreased funding in FY 2010 is a result of the Research and Development Center's move from Groton, CT to a GSA lease in New London, CT scheduled for March 2009 and funding requirements associated with the Fire Safety Detachment in Mobile, AL.

Communication, utilities, and misc charges

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	59	\$	306	\$	252	\$	(54)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Decreased funding in FY 2010 is a result of shifts in project funding for technology demonstrations, testing and evaluations and their progress.

Advisory and Assistance

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	1,825	\$	4,367	\$	1,410	\$	(2,957)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. Decreased funding in FY 2010 is a result of shifts in project funding for technology demonstrations, testing and evaluations and their progress.

Research and development

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	3,009	\$	9,032	\$	2,149	\$	(6,883)

Change results from the continued execution of FY 2008 appropriated project funding. Decreased funding in FY 2010 is a result of shifts in project funding for technology demonstrations, testing and evaluations and their progress.

Operation and maintenance of equipment

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	13	\$	31	\$	11	\$	(20)

Decreased funding in FY 2010 is a result of shifts in project funding for technology demonstrations, testing and evaluations and their progress.

Supplies and materials

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	1,141	\$	2,730	\$	1,025	\$	(1,705)

Decreased funding in FY 2010 is a result of shifts in project funding for technology demonstrations, testing and evaluations and their progress.

Equipment

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
\$	400	\$	957	\$	562	\$	(395)

This object class covers the purchase of R&D materials for technology demonstrations, testing and evaluations and their progress.

I. Changes in Full-Time Equivalents

Department of Homeland Security
U. S. Coast Guard
Research, Development, Test and Evaluation
Changes in Full-Time Equivalents

	FY 2008	FY 2009	FY 2010
BASE: Start of Year (SOY) FTE levels	102	102	102
INCREASES			
Increase #1:	0	0	0
Description:			
Subtotal, Increases:	0	0	0
DECREASES:			
Decrease #1: RDT&E Personnel Management	0	0	-1
Description: Implementation of OMB Circular A-76 Reorganization			
Subtotal, Decreases:	0	0	-1
Year-end Enacted / Estimated FTEs	102	102	101
Net Change from prior year SOY base to budget year estimate:	0	0	-1

*The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

Department of Homeland Security

United States Coast Guard

*Medicare-Eligible Retiree Health Care Fund
Contribution*



Fiscal Year 2010
Congressional Justification

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U. S. Coast Guard
Medicare-Eligible Retiree Healthcare Fund Contribution

I. Appropriation Overview

A. Mission Statement for the Healthcare Fund Contribution:

The Coast Guard requests \$266.006 million in FY 2010 an increase of \$8.701 million over the \$257.305 million requested in the FY 2009 enacted. The Medicare-Eligible Retiree Healthcare Fund Contribution (HFC) will provide funding to maintain the cost of accruing the military Medicare-eligible health benefit contributions to the Department of Defense Medicare-Eligible Retiree Healthcare Fund. Contributions are for future Medicare-eligible retirees currently serving on active duty in the Coast Guard, as well as retiree dependents and their potential survivors. The authority for the Coast Guard to make this payment on an annual basis was provided in P. L. 108-375, the 2005 Defense Appropriations Act. While this expenditure requires no annual action by Congress, it is counted as discretionary spending.

B. Budget Activities:

Although there are no budget activities directly related to providing this benefit to Active Duty personnel and their dependents, it ensures the personal well-being of every uniformed member of the Coast Guard.

C. Budget Request Summary:

The Coast Guard estimate of \$266.006 million will be paid to the DoD Medicare-Eligible Retiree Healthcare Fund in FY 2010 to support the benefits outlined above. The total adjustment to the base is \$8.701 million.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U. S. Coast Guard
Medicare-Eligible Retiree Healthcare Fund Contribution
Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)**

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Total Changes		Increase (+) or Decrease (-) For FY 2010			
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Program Changes		Adjustments-to-base			
							FTE	AMOUNT	FTE	AMOUNT		
I. Medicare-Eligible Retiree Healthcare Fund Contribution	-	\$ 272,111	-	\$ 257,305	-	\$ 266,006	-	\$ 8,701	-	\$ 8,701	-	\$ 8,701
Subtotal, Enacted Appropriations and Budget Estimates	-	\$ 272,111	-	\$ 257,305	-	\$ 266,006	-	\$ 8,701	-	\$ 8,701	-	\$ 8,701
Less Adjustments for Other Funding Sources:												
Net, Enacted Appropriations & Budget Estimates	-	\$ 272,111	-	\$ 257,305	-	\$ 266,006	-	\$ 8,701	-	\$ 8,701	-	\$ 8,701

III. Current Services Program Description by PPA

**Department of Homeland Security
U. S. Coast Guard
Medicare-Eligible Retiree Healthcare Fund Contribution
Program Performance Justification
(Dollars in Thousands)**

PPA I: MEDICARE-ELIGIBLE RETIREE HEALTHCARE FUND CONTRIBUTION

	Perm Pos	FTE	Amount
2008 Actual	\$272,111
2009 Enacted	257,305
2010 Adjustments-to-Base			8,701
2010 Current Services	266,006
2010 Program Change
2010 Request	266,006
Total Change 2009-2010	8,701

The Coast Guard requests \$266.006 million for this activity. This is an increase of \$8.701 million over the FY 2009 enacted.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Medicare-Eligible Retiree Healthcare Fund Contribution (HFC) will provide funding to maintain the cost of accruing the military Medicare-eligible health benefit contributions to the Department of Defense Medicare-Eligible Retiree Healthcare Fund. Contributions are for future Medicare-eligible retirees, retiree dependents and survivors in the Coast Guard.

IV. Program Justification of Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not applicable

B. FY 2009 to FY 2010 Budget

**Department of Homeland Security
U. S. Coast Guard
Medicare-Eligible Retiree Healthcare Fund Contribution
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actual	-	-	272,111
2009 Enacted	-	-	257,305
Adjustments-to-Base			
Increases	-	-	
Non-Pay Inflation	-	-	8,701
Total Increases	-	-	<u>8,701</u>
Total Adjustments-to-Base	-	-	<u>8,701</u>
2010 Current Services	-	-	<u>266,006</u>
2010 Request	-	-	266,006
2009 to 2010 Total Change	-	-	8,701

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
U. S. Coast Guard
Medicare-Eligible Retiree Health Care Fund Contribution
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1 Full-time permanent	-	-	-	-
11.3 Other than full-time permanent	-	-	-	-
11.5 Other personnel compensation	-	-	-	-
11.7 Military personnel	-	-	-	-
11.8 Special service pay	-	-	-	-
12.1 Civilian personnel benefits	-	-	-	-
12.2 Military personnel benefits	272,111	257,305	266,006	8,701
13.0 Benefits-former	-	-	-	-
Total, Personnel Comp. & Benefits	\$ 272,111	\$ 257,305	\$ 266,006	\$ 8,701
Other Objects Classes:				
21.0 Travel	-	-	-	-
22.0 Transportation of things	-	-	-	-
23.1 GSA rent	-	-	-	-
23.2 Other rent	-	-	-	-
23.3 Communication, utilities, and misc charges	-	-	-	-
24.0 Printing and reproduction	-	-	-	-
25.1 Advisory and assistance services	-	-	-	-
25.2 Other services	-	-	-	-
25.3 Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4 Operation & maintenance of facilities	-	-	-	-
25.5 Research and development	-	-	-	-
25.6 Medical care	-	-	-	-
25.7 Operation and maintenance of equipment	-	-	-	-
25.8 Subsistence and support of persons	-	-	-	-
26.0 Supplies and materials	-	-	-	-
31.0 Equipment	-	-	-	-
32.0 Land and structures	-	-	-	-
41.0 Grants, subsidies and contributions	-	-	-	-
42.0 Insurance claims and indemnity	-	-	-	-
Total, Other Object Classes	\$ -	\$ -	\$ -	\$ -
Total Direct Obligations	\$ 272,111	\$ 257,305	\$ 266,006	\$ 8,701
Unobligated balance, start of year	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Total Requirements	\$ 272,111	\$ 257,305	\$ 266,006	\$ 8,701

F. Permanent Positions by Grade

Not Applicable

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications

Department of Homeland Security
U. S. Coast Guard
Medicare-Eligible Retiree Health Care Fund Contribution
PPA I
Funding Schedule
(Dollars in Thousands)

Medicare-Eligible Retiree Health Care Fund Contribution		2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	272,111	257,305	266,006	8,701
13.0	Benefits-former	-	-	-	-
21.0	Travel	-	-	-	-
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	-	-
25.2	Other services	-	-	-	-
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	-	-	-	-
31.0	Equipment	-	-	-	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total Direct Obligations		\$ 272,111	\$ 257,305	\$ 266,006	\$ 8,701
Full Time Equivalents		-	-	-	-

PPA Mission Statement

The Medicare-Eligible Retiree Health Care Fund Contribution (HFC) will provide funding to maintain the cost of accruing the military Medicare-eligible health benefit contributions to the Department of Defense Medicare-Eligible Retiree Health Care Fund. Contributions are for future Medicare-eligible retirees, retiree dependents and survivors in the Coast Guard.

Summary Justification and Explanation of Changes

Salaries and Benefits

	2008		2009		2010		2009 - 2010
	Actual		Enacted		Request		Change
	\$ 272,111	\$	257,305	\$	266,006	\$	8,701

Salaries and Benefits include the annual contribution to the military Medicare-Eligible Retiree Health Care Fund. The FY 2010 request includes a increase of \$8.701 million.

I. Changes in Full-Time Equivalents

Not Applicable

Department of Homeland Security

United States Coast Guard

Retired Pay



Fiscal Year 2010

Congressional Justification

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U. S. Coast Guard
Retired Pay

I. Appropriation Overview

A. Mission Statement for Retired Pay:

The Coast Guard requests \$1.361 billion in FY 2010, an increase of \$124.500 million over the \$1.237 billion FY 2009 enacted. Retired Pay (RP) will provide payments as identified under the Retired Serviceman's Family Protection and Survivor Benefits Plans, and other retired personnel entitlements identified under National Defense Authorization Acts. This includes payments for medical care of retired personnel and their dependents.

B. Budget Activities:

Although there are no budget activities directly related to providing this benefit to active duty personnel and their dependents, it sustains commitments to Coast Guard retirees and their dependents.

C. Budget Request Summary:

The Coast Guard requests \$1.361 billion in FY 2010 to support the benefits outlined above. The Coast Guard also requests that any FY 2010 funding remain available until expended. This is consistent with the enacted Consolidated Appropriations Act of 2009 (P.L. 110-329). The Retired Pay appropriation is scored as a mandatory appropriation in the budget process.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U. S. Coast Guard
Retired Pay**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
I. Retired Pay	-	\$ 1,164,480	-	\$ 1,236,745	-	\$ 1,361,245	-	\$ 124,500	-	\$ -	-	\$ 124,500
Subtotal, Enacted Appropriations and Budget Estimates	-	\$ 1,164,480	-	\$ 1,236,745	-	\$ 1,361,245	-	\$ 124,500	-	\$ -	-	\$ 124,500
Less Adjustments for Other Funding Sources:												
Net, Enacted Appropriations & Budget Estimates	-	\$ 1,164,480	-	\$ 1,236,745	-	\$ 1,361,245	-	\$ 124,500	-	\$ -	-	\$ 124,500

III. Current Services Program Description by PPA

**Department of Homeland Security
U. S. Coast Guard
Retired Pay
Program Performance Justification
(Dollars in Thousands)**

PPA: RETIRED PAY

	Perm Pos	FTE	Amount
2008 Actual	\$1,164,480
2009 Enacted	1,236,745
2010 Adjustments-to-Base			124,500
2010 Current Services	1,361,245
2010 Program Change
2010 Request	1,361,245
Total Change 2009-2010	124,500

The Coast Guard requests \$1.361 billion for this activity. This is an increase of \$124.500 million over the FY 2009 enacted.

CURRENT SERVICES PROGRAM DESCRIPTION:

Retired Pay (RP) will provide payments as identified under the Retired Serviceman's Family Protection and Survivor Benefits Plans and other retired personnel entitlements identified under the National Defense Authorization Act. It also provides payments for medical care of retired personnel and their dependents.

IV. Program Justification of Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
U. S. Coast Guard
Justification of Proposed Changes in Retired Pay
Appropriation Language**

For retired pay, including the payment of obligations otherwise chargeable to lapsed appropriations for this purpose, payments under the Retired Serviceman's Family Protection and Survivor Benefits Plans, payments for career status bonuses, concurrent receipts and combat related special compensation under the National Defense Authorization Act, and for payments for medical care of retired personnel and their dependents under chapter 55 of title 10, United States Code, [\$1,236,745,000] **\$1,361,245,000**.

B. FY 2009 to FY 2010 Budget

**Department of Homeland Security
U. S. Coast Guard
Retired Pay
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actual	-	-	1,164,480
2009 Enacted	-	-	1,236,745
Non-Pay Inflation	-	-	124,500
Total Increases	-	-	124,500
Total Adjustments-to-Base	-	-	124,500
2010 Current Services	-	-	1,361,245
Program Changes	-	-	-
Total Program Changes	-	-	-
2010 Request	-	-	1,361,245
2009 to 2010 Total Change	-	-	124,500

C. Summary of Requirements

Department of Homeland Security
U. S. Coast Guard
Retired Pay
Summary of Requirements
(Dollars in Thousands)

		2010 Request		
		Pos.	FTE	Amount
2008 Actual		-	-	1,164,480
2009 Enacted		-	-	1,236,745
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)				
Transfers		-	-	-
Increases		-	-	124,500
Decreases		-	-	-
Total Adjustments-to-Base		-	-	124,500
2010 Current Services		-	-	1,361,245
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)		-	-	-
2010 Total Request		-	-	1,361,245
2009 to 2010 Total Change		-	-	124,500

Estimates by Program/Project Activity	2009 Enacted		2010 Adjustments-to-Base		2010 Program Change		2010 Request		2009 to 2010 Total Change			
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
PPA I	-	-	1,236,745	-	-	-	-	-	-	-	-	1,361,245
Total Retired Pay	-	-	1,236,745	-	-	-	-	-	-	-	-	1,361,245

D. Summary of Reimbursable Resources

Not Applicable

F. Permanent Positions by Grade

Not Applicable

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications

Department of Homeland Security
U. S. Coast Guard
Retired Pay
PPA I
Funding Schedule
(Dollars in Thousands)

Retired Pay		2008 Actual	2009 Enacted	2010 Request	2009-2010 Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	976,000	1,045,047	1,142,847	97,800
21.0	Travel	-	-	-	-
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	-	-
25.2	Other services	-	-	-	-
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	188,480	222,347	218,398	(3,949)
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	-	-	-	-
31.0	Equipment	-	-	-	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total, Retired Pay		\$ 1,164,480	\$ 1,267,394	\$ 1,361,245	\$ 93,851
Full Time Equivalents		-	-	-	-

PPA Mission Statement

Retired Pay (RP) will provide payments as identified under the Retired Serviceman's Family Protection and Survivor Benefits Plans, payments for career status bonuses, concurrent receipts and combat related special compensation identified under the National Defense Authorization Act.

Summary Justification and Explanation of Changes

Salaries and Benefits

2008	2009	2010	2009-2010
Actual	Enacted	Request	Change
\$ 976,000	\$ 1,045,047	\$ 1,142,847	\$ 97,800

Requested increase accounts for cost-of-living adjustments for all retirement and most survivor annuities as well as entitlement benefits authorized by the National Defense Authorization Act.

Medical care

2008	2009	2010	2009-2010
Actual	Enacted	Request	Change
\$ 188,480	\$ 222,347	\$ 218,398	\$ (3,949)

Decrease accounts for slightly lower projections for medical benefits. Once a member becomes eligible for Medicare, the Medicare-Eligible Retiree Health Care Fund (HFC) is responsible for these benefits.

E. Summary of Requirements by Object Class

**Department of Homeland Security
U. S. Coast Guard
Retired Pay
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1 Full-time permanent	-	-	-	-
11.3 Other than full-time permanent	-	-	-	-
11.5 Other personnel compensation	-	-	-	-
11.7 Military personnel	-	-	-	-
11.8 Special service pay	-	-	-	-
12.1 Civilian personnel benefits	-	-	-	-
12.2 Military personnel benefits	-	-	-	-
13.0 Benefits-former	976,000	1,045,047	1,142,847	97,800
Total, Personnel Comp. & Benefits	\$ 976,000	\$ 1,045,047	\$ 1,142,847	\$ 97,800
Other Objects Classes:				
21.0 Travel	-	-	-	-
22.0 Transportation of things	-	-	-	-
23.1 GSA rent	-	-	-	-
23.2 Other rent	-	-	-	-
23.3 Communication, utilities, and misc charges	-	-	-	-
24.0 Printing and reproduction	-	-	-	-
25.1 Advisory and assistance services	-	-	-	-
25.2 Other services	-	-	-	-
25.3 Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4 Operation & maintenance of facilities	-	-	-	-
25.5 Research and development	-	-	-	-
25.6 Medical care	188,480	222,347	218,398	(3,949)
25.7 Operation and maintenance of equipment	-	-	-	-
25.8 Subsistence and support of persons	-	-	-	-
26.0 Supplies and materials	-	-	-	-
31.0 Equipment	-	-	-	-
32.0 Land and structures	-	-	-	-
41.0 Grants, subsidies and contributions	-	-	-	-
42.0 Insurance claims and indemnity	-	-	-	-
Total, Other Object Classes	\$ 188,480	\$ 222,347	\$ 218,398	\$ (3,949)
Total Direct Obligations	\$ 1,164,480	\$ 1,267,394	\$ 1,361,245	\$ 93,851
Unobligated balance, start of year	(10,409)	(30,649)	-	-
Unobligated balance, end of year	30,649	-	-	-
Total Requirements	\$ 1,184,720	\$ 1,236,745	\$ 1,361,245	\$ 124,500

I. Changes in Full-Time Equivalents

Not Applicable

Department of Homeland Security

United States Coast Guard

Boat Safety



Fiscal Year 2010

Congressional Justification

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U. S. Coast Guard
Boating Safety

I. Appropriation Overview.

A. Mission Statement for Boating Safety:

The Coast Guard anticipates a program level of \$130.589 million and 8 FTE in FY 2010, which is a decrease of \$2.963 million under the FY 2009 Enacted Budget of \$133.552 million. The Boating Safety (BS) program is designed, through preventive means, to minimize the loss of life, personal injury, property damage and environmental impact associated with the use of recreational boats. The program directly supports the Coast Guard's continuing and enduring role to ensure maritime safety while promoting safe and enjoyable use of public U.S. waterways.

In its role as the designated National Recreational Boating Safety (RBS) Program Coordinator, the Coast Guard is charged with managing dedicated user fee funding to support the National Recreational Boating Safety Program provided from the Sport Fish Restoration and Boating Trust Fund (formerly Aquatic Resources Trust Fund). Under the provisions of the Sportfishing and Recreational Boating Safety Act of 2005 (Subtitle A, Title X, P.L. 109-59), the Coast Guard receives a percentage distribution of total trust fund receipts from the preceding fiscal year (i.e. FY10 funding will be a percentage of FY09 trust fund receipts), as well as a portion of the funds drawn out of the Boat Safety Account of the trust fund.

B. Budget Activities:

Boat Safety supports our Marine Safety mission and the Coast Guard's enduring maritime safety role.

C. Budget Request Summary:

The FY 2010 budget provides the anticipated amount that would be available from the trust fund for boating safety based on current estimates of FY 2009 trust fund receipts from the Office of Tax Analysis at the Department of the Treasury (adjusted to reflect amendments of current law enacted in P.L. 109-59). The estimated total distribution from the trust fund for boating safety in FY 2010 is \$130.589 million. Of that amount, \$5.500 million is available for use by the Coast Guard to coordinate and execute new and enhanced National RBS Program activities. The balance is authorized for the State RBS Federal Financial Assistance Program established by 46 U.S.C. 13101, et seq., minus not more than five percent for national boating safety activities of national non-profit public service organizations, and not more than two percent for Coast Guard expense to administer State RBS programs. This represents a \$2.963 million decrease from the FY 2009 enacted.

Budget authority for personnel to conduct investigations and activities related to State recreational boating safety programs is not provided by regular, annual Coast Guard

appropriations. It is available or transferred to the Coast Guard from trust accounts in the Department of Treasury. While these amounts are available until expended, they are limited in purpose and amount.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U. S. Coast Guard
Boat Safety**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
I. Boat Safety	8	\$ 109,899	8	\$ 133,552	8	\$ 130,589	-	\$ (2,963)	-	\$ (3,004)	-	\$ 41
Subtotal, Enacted Appropriations and Budget Estimates	8	\$ 109,899	8	\$ 133,552	8	\$ 130,589	-	\$ (2,963)	-	\$ (3,004)	-	\$ 41
Less Adjustments for Other Funding Sources:												
Net, Enacted Appropriations & Budget Estimates	8	\$ 109,899	8	\$ 133,552	8	\$ 130,589	-	\$ (2,963)	-	\$ (3,004)	-	\$ 41

III. Current Services Program Description by PPA

**Department of Homeland Security
U. S. Coast Guard
Boat Safety
Program Performance Justification
(Dollars in Thousands)**

PPA I: BOAT SAFETY

	Perm Pos	FTE	Amount
2008 Actual	...	8	\$109,899
2009 Enacted	...	8	133,552
2010 Adjustments-to-Base	41
2010 Current Services	...	8	133,593
2010 Program Change	-3,004
2010 Request	...	8	130,589
Total Change 2009-2010	-2,963

The Coast Guard requests \$130.589 million for this activity. This is a decrease of \$2.963 million from the FY 2009 enacted.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Boating Safety program is designed, through preventive means, to minimize the loss of life, personal injury, property damage and environmental impact associated with the use of recreational boats in order to maximize safe use and enjoyment of public U.S. waterways. The program directly supports the Coast Guard's continuing and enduring role to ensure maritime safety. In its role as the designated National Recreational Boating Safety (RBS) Program Coordinator, the Coast Guard is charged with managing dedicated user fee funding to support the National Recreational Boating Safety Program provided from the Sport Fish Restoration and Boating Trust Fund (formerly Aquatic Resources Trust Fund). Under the provisions of the Sportfishing and Recreational Boating Safety Amendments Act of 2005 (Subtitle A, Title X, P.L. 109-74), the Coast Guard receives a percentage distribution of total trust fund receipts from the preceding fiscal year (i.e. FY09 funding will be a percentage of FY08 trust fund receipts), and a portion of the funds drawn out of the Boat Safety Account of the Trust Fund.

Significant accomplishments in FY 2008 include:

- Achieved the target performance goal of 4,112 casualties or fewer through the following measures:

- Conducted observation studies that measure life jacket utilization and initiatives to measure the effectiveness of awareness campaigns in increasing life jacket wear rates in specific targeted areas of the country.
- Conducted national outreach efforts in conjunction with states and the National Safe Boating Council to promote life jacket wear.
- Completed special test of the effectiveness of marketing strategies to increase voluntary life jacket usage in the Delta Region of California, in conjunction with the National Safe Boating Council, Boat U.S., the State of California, our marketing contractor (PCI) and John Snowe, Inc. (a grantee who is measuring the life jacket wear rates). If these strategies are not significantly successful, report this to the National Boating Safety Advisory Council (NBSAC) and consider initiating mandatory requirements for life jacket usage in high risk scenarios (i.e., operating boats less than 21 feet in length).
- Increased boating safety law enforcement, education and search and rescue efforts by the States through availability of additional recreational boating safety grant funds.
- Conducted approximately 2,000 recreational boat manufacturer factory visits to check compliance with manufacturing standards, thereby enhancing compliance and safety.
- Tested approximately 50 new recreational boats for compliance with flotation and capacity regulations, thereby enhancing compliance and safety.
- Revised and updated boat accident reporting requirements and related forms.
- Progressed in adopting regulations that: (1) require installation and wear of emergency cut-off devices (mechanical or wireless) on vessels under a certain length; (2) require operators to turn off the vessel when a swimmer in the water is in close proximity to the stern of the vessel; (3) revise and update requirements for state numbering systems and boat accident reporting.

FY 2009 planned accomplishments include:

- Achieve the target performance goal of 4,132 casualties or fewer through the following measures:
- Conduct national observation studies that measure life jacket wear.
- Measure the effectiveness of a U.S. Army Corps of Engineers project to mandate life jacket wear by all boaters aboard certain sized boats on USACE waters in southwest Pennsylvania and northern Mississippi. If this project results in a substantial increase in life jacket wear, and if the 2008 voluntary wear project in California is unsuccessful, work with National Boating Safety Advisory Council to consider initiating mandatory requirements for life jacket usage in high risk areas (i.e., operating boats less than 21 feet in length).
- Conduct national survey on recreational boating. Among other vital information, the survey will provide a participation rate denominator to utilize when measuring the performance goals of the National Recreational Boating Safety Program. That denominator will be exposure casualty hours, whereby the number of casualties will be compared in a ratio basis to the number of hours that people participate in boating activity and are exposed to risk.

- Increase boating safety law enforcement, education and search and rescue efforts by the States through availability of additional recreational boating safety grant funds. Particularly, work to have the Sport Fish Restoration and Boating Trust Fund reauthorized and to enhance parity to the funding provided to the National Recreational Boating Safety Program.
- Focus on assuring manufacturer compliance with boat construction standards (i.e., identifying boats and manufacturers whose boats are involved in accidents where carbon monoxide, flotation, capacity, or fuel systems are causal factors).
- Progress in promulgating regulations that: (1) require life jacket wear in high-risk recreational boating activities if voluntary measures fail to achieve an acceptable wear rate; (2) require installation and wear of emergency cut-off devices (mechanical or wireless) on vessels under a certain length; (3) require operators to turn off the vessel when a swimmer in the water is in close proximity to the stern of the vessel; (4) revise and update requirements for state numbering systems and boat accident reporting.
- Begin a Boating Under the Influence (BUI) initiative to reduce the number of casualties where the use of alcohol by a boat's occupants was a causal factor in an accident.
- Begin an operator compliance initiative to reduce deaths due to navigation rules violations (i.e., Reckless/Negligent Operation, Excessive Speed, Improper Lookout, Operator Inattention, and Rules of the Road).
- Development and implementation of State program approval systems (i.e., adequate enforcement/sufficient patrol, adequate education, numbering system, casualty reporting system).
- If marketing measures prove effective, continuation of additional elements of the national outreach and awareness initiative, "Boat Responsibly!".

FY 2010 funds requested will support:

- The target performance goal of 4,145 casualties or fewer through the following measures:
- Conduct national observation studies that measure life jacket wear.
- Continue to measure effectiveness of a U.S. Army Corps of Engineers project to mandate life jacket wear by all boaters aboard certain sized boats on USACE waters in SW Pennsylvania and northern Mississippi. If this project results in a substantial increase in life jacket wear, and if the 2009 voluntary wear project in California is unsuccessful, work with National Boating Safety Advisory Council to consider initiating mandatory requirements for life jacket usage in high risk areas (i.e., operating boats less than 21 feet in length).
- Continue the Boating Under the Influence (BUI) initiative to reduce the number of casualties where the use of alcohol by a boat's occupants was a cause of the accident.
- Conduct an operator compliance outreach initiative to reduce deaths due to navigation rules violations (i.e., Reckless/Negligent Operation, Excessive Speed, Improper Lookout, Operator Inattention, and Rules of the Road).

- Implement and monitor State program approval systems (i.e., adequate enforcement/sufficient patrol, adequate education, numbering system, casualty reporting system).
- Focus on assuring manufacturer compliance with boat construction standards (i.e., identifying boats and manufacturers whose boats are involved in accidents where carbon monoxide, flotation, capacity, or fuel systems are causal factors).
- Progress in promulgating regulations that: (1) require life jacket wear in high-risk recreational boating activities if voluntary measures fail to achieve an acceptable wear rate; (2) if enacted by proposed authorizing legislation, mandate recreational vessel operator education requirements; (3) require installation and wear of emergency cut-off devices (mechanical or wireless) on vessels under a certain length; (4) require operators to turn off the vessel when a swimmer in the water is in close proximity to the stern of the vessel; (5) revise and update requirements for state numbering systems and boat accident reporting.
- If marketing measures prove effective, continuation of additional elements of the national outreach and awareness initiative, “Boat Responsibly!”.

IV. Program Justification of Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not Applicable

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
U. S. Coast Guard
Boat Safety
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actual	-	-	109,899
2009 Enacted	8	8	133,552
Adjustments-to-Base			
Increases			
Annualization of FY 2009 pay raise	-	-	9
FY 2010 Pay Raise	-	-	32
Total Adjustments-to-Base	-	-	41
2010 Current Services	8	8	133,593
Program Changes			
Program Decrease	-	-	(3,004)
Total Program Changes	-	-	(3,004)
2010 Request	8	8	130,589
2009 to 2010 Total Change	-	-	(2,963)

C. Summary of Requirements

Department of Homeland Security
 U. S. Coast Guard
 Boat Safety
 Summary of Requirements
 (Dollars in Thousands)

	2010 Request	
	Pos.	FTE
2008 Actual	-	-
2009 Enacted	-	8
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)		
Transfers	-	-
Increases	-	41
Decreases	-	-
Total Adjustments-to-Base	-	133,593
2010 Current Services	-	8
Program Changes	-	(3,004)
2010 Total Request	-	8
2009 to 2010 Total Change	-	(2,963)

Estimates by Program/Project Activity	2009 Enacted		2010 Adjustments-to-Base		2010 Program Change		2010 Request		2009 to 2010 Total Change	
	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos.	FTE
PPA 1	-	8	-	-	-	-	-	8	-	-
Total Boat Safety	-	8	-	-	-	-	-	8	-	-

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
U. S. Coast Guard
Boat Safety
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	2008 Actual	2009 Budget	2010 Enacted	2009 - 2010 Change
11.1 Full-time permanent	647	719	750	31
11.3 Other than full-time permanent	11	10	10	-
11.5 Other personnel compensation	25	30	31	1
11.7 Military personnel	-	-	-	-
11.8 Special service pay	-	-	-	-
12.1 Civilian personnel benefits	206	227	236	9
12.2 Military personnel benefits	-	-	-	-
13.0 Benefits-former	-	-	-	-
Total, Personnel Comp. & Benefits	\$ 889	\$ 986	\$ 1,027	\$ 41
Other Objects Classes:				
21.0 Travel	220	217	135	(82)
22.0 Transportation of things	2	3	2	(1)
23.1 GSA rent	-	-	-	-
23.2 Other rent	-	-	-	-
23.3 Communication, utilities, and misc charges	-	-	-	-
24.0 Printing and reproduction	-	-	-	-
25.1 Advisory and assistance services	874	541	520	(21)
25.2 Other services	8,876	14,137	9,580	(4,557)
25.3 Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4 Operation & maintenance of facilities	-	-	-	-
25.5 Research and development	-	-	-	-
25.6 Medical care	-	-	-	-
25.7 Operation and maintenance of equipment	-	-	-	-
25.8 Subsistence and support of persons	-	-	-	-
26.0 Supplies and materials	504	250	155	(95)
31.0 Equipment	-	-	-	-
32.0 Land and structures	-	-	-	-
41.0 Grants, subsidies and contributions	98,534	163,507	119,170	(44,337)
42.0 Insurance claims and indemnity	-	-	-	-
Total, Other Object Classes	\$ 109,010	\$ 178,655	\$ 129,562	\$ (49,052)
Total Direct Obligations	\$ 109,899	\$ 179,641	\$ 130,589	\$ (49,052)
Unobligated balance, start of year	(21,384)	(46,089)	-	-
Unobligated balance, end of year	46,089	-	-	-
Total Requirements	\$ 134,604	\$ 133,552	\$ 130,589	\$ (2,963)

Note: Total direct obligations does not include advances and reimbursements.

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
Boating Safety - Civilian
Permanent Positions by Grade**

Grade	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
	Pos.	Pos.	Pos.	Pos.
Total, SES	-	-	-	-
Total, EX	-	-	-	-
GS-15	-	-	-	-
GS-14	3	3	3	-
GS-13	4	4	4	-
GS-12	-	-	-	-
GS-11	-	-	-	-
GS-10	-	-	-	-
GS-9	-	-	-	-
GS-8	-	-	-	-
GS-7	1	1	1	-
GS-6	-	-	-	-
GS-5	-	-	-	-
GS-4	-	-	-	-
GS-3	-	-	-	-
GS-2	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
Total Permanent Positions	8	8	8	-
Unfilled Positions EOY	-	-	-	-
Total Perm. Employment (Filled Positions) EOY	8	8	8	-
FTE	8	8	8	-
Headquarters	8	8	8	-
U.S. Field	-	-	-	-
Foreign Field	-	-	-	-
Total Permanent Positions	8	8	8	-
<u>Position Data:</u>				
Average Personnel Costs, ES Positions	n/a	n/a	n/a	n/a
Average Personnel Costs, GS Positions	\$120,137.50	\$122,050.00	\$126,812.50	\$ 4,762.50
Average Grade, GS Positions	12.63	12.63	12.63	0.00

The average personnel costs shown above include basic/locality pay, lump sum payments, awards, overtime, benefits such as retirement, health care and life insurance, and other compensation such as holidays, Sundays, hazardous duty, reemployment annuitant and severance pays, night differential, non foreign Cost-of-Living Allowance, premium compensation for firefighters. Civilian FTP is presented as a count of full time positions, vice full time employees.

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications

Department of Homeland Security
U. S. Coast Guard
Boat Safety
PPA I
Funding Schedule
(Dollars in Thousands)

Boat Safety		2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
Object Classes					
11.1	Full-time permanent	647	719	750	31
11.3	Other than full-time permanent	11	10	10	-
11.5	Other personnel compensation	25	30	31	1
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	206	227	236	9
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	220	217	135	(82)
22.0	Transportation of things	2	3	2	(1)
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	874	541	520	(21)
25.2	Other services	8,876	14,137	9,580	(4,557)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	504	250	155	(95)
31.0	Equipment	-	-	-	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	98,534	163,507	119,170	(44,337)
42.0	Insurance claims and indemnity	-	-	-	-
Total, Boat Safety		\$ 109,899	\$ 179,641	\$ 130,589	\$ (49,052)
Full Time Equivalents		8	8	8	-

PPA Mission Statement

The Boating Safety program is designed, through preventive means, to minimize the loss of life, personal injury, property damage and environmental impact associated with the use of recreational boats in order to maximize safe use and enjoyment of public U.S. waterways. The program directly supports the Coast Guard's continuing and enduring role to ensure maritime safety. In its role as the designated National Recreational Boating Safety (RBS) Program Coordinator, the Coast Guard is charged with managing dedicated user fee funding to support the National Recreational Boating Safety Program provided from the Sport Fish Restoration and Boating Trust Fund (formerly Aquatic Resources Trust Fund). Under the provisions of the Sportfishing and Recreational Boating Safety Act of 2005 (Subtitle A, Title X, P.L. 109-59), the Coast Guard receives a percentage distribution of total trust fund receipts from the preceding fiscal year (i.e. FY10 funding will be a percentage of FY09 trust fund receipts), and a portion of the funds drawn out of the Boat Safety Account of the trust fund.

Summary Justification and Explanation of Changes

Salaries and Benefits

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 889	\$ 986	\$ 1,027	\$ 41

The FY 2010 request includes funding for the proposed pay raise (2.0% for civilians), medical benefits, other mandatory personnel entitlements.

Travel

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 220	\$ 217	\$ 135	\$ (82)

Transportation funds cover the travel costs of Coast Guard employees, while in an authorized travel status, either directly or by reimbursing the traveler. Decreased funding in FY 2010 is a result of less Coast Guard personnel traveling for the Recreational Boating Safety Program (RBS) activities.

Transportation of things

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 2	\$ 3	\$ 2	\$ (1)

Transportation of things includes all costs of the care of such things while in process of being transported and other services incident to the transportation of things. Decreased funding in FY 2010 is a result of shifts in project funding for technology demonstrations, testing and evaluations and their progress.

Advisory and assistance services

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 874	\$ 541	\$ 520	\$ (21)

Decreased funding in FY 2010 request for advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government.

Other Services

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 8,876	\$ 14,137	\$ 9,580	\$ (4,557)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Decreased funding in FY 2010 will result in reduced RBS Program activities.

Supplies and materials

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 504	\$ 250	\$ 155	\$ (95)

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Decreased funding in FY 2010 is a result of reduced supplies and materials for the National Recreational Boating Safety (RBS) Program activities.

Grants, Subsidies and Contributions

2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
\$ 98,534	\$ 163,507	\$ 119,170	\$ (44,337)

Under the provisions of the Sportfishing and Recreational Boating Safety Act of 2005 (Subtitle A, Title X, P.L. 109-59), the Coast Guard receives a percentage distribution of total trust fund receipts from the preceding fiscal year (i.e. FY10 funding will be a percentage of FY09 trust fund receipts), and a portion of the funds drawn out of the Boat Safety Account of the trust fund.

I. Changes in Full-Time Equivalents

Department of Homeland Security
U. S. Coast Guard
Boat Safety
Changes in Full-Time Equivalents

	FY 2008	FY 2009	FY 2010
BASE: Start of Year (SOY) FTE levels	0	8	8
INCREASES			
Increase #1: BS personnel management.	8	0	0
Description: Management and oversight of AC&I projects.			
Subtotal, Increases:	8	0	0
DECREASES:			
Decrease #1:	0	0	0
Description:			
Subtotal, Decreases:	0	0	0
Year-end Enacted / Estimated FTEs	8	8	8
Net Change from prior year SOY base to budget year estimate:	8	0	0

*The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

Department of Homeland Security

United States Coast Guard

Oil Spill Recovery



Fiscal Year 2010

Congressional Justification

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U. S. Coast Guard
Oil Spill Liability Trust Fund

I. Trust Fund Account Overview

A. Mission Statement for Oil Spill Liability Trust Fund:

The Coast Guard projects \$91.000 million for federal response costs, compensation to claimants suffering damages related to oil spills, and annual funding for the Oil Spill Recovery Institute in FY 2010. This is a decrease of \$58.095 million from the FY 2009 enacted level of \$149.095 million.

The Oil Spill Liability Trust Fund provides a source of funds for federal response to oil spills under section 311 of the Clean Water Act. In accordance with sections 1012(a)(1) and 6002 of the Oil Pollution Act of 1990 (OPA 90), the President may make available up to \$50.000 million annually from the Trust Fund for Clean Water Act response to oil spills or threats.

OPA 90 provides in section 1012(a)(4) that the Trust Fund is available to compensate claims for removal costs and damages resulting from oil spills, or substantial threats of a spill, into navigable waters of the U.S, the adjoining shorelines and the waters of the exclusive economic zone. Government entities, the private sector or the general public may submit claims for: uncompensated removal costs; damage to real or personal property; loss of profits and earning capacity; loss of government revenues; and increased cost of public services resulting from an oil spill.

Federal, state, and Indian tribe trustees may also present claims for natural resource damages. Claimants may include otherwise liable OPA 90 responsible parties if they can establish an OPA 90 defense to liability, i.e. that the spill or costs and damages were caused solely by an “act of God,” “act of war” or “sole fault of a third party.” OPA 90 also provides that responsible parties (RPs) are liable up to express limits, with unlimited liability in some exceptional circumstances. RPs may also submit limit-of-liability claims, in which the RP demonstrates that the OPA 90 liability limit applies and the RP seeks reimbursement for costs and damages paid or incurred in excess of the applicable limit .

Pursuant to OPA 90 section 5006 interest on certain amounts in the Trust Fund derived from legacy transfers from the defunct Trans-Alaska Pipeline Liability Fund are paid annually to the Prince William Sound Oil Spill Recovery Institute by the Coast Guard National Pollution Funds Center.

B. Budget Activities:

The trust fund directly supports our Marine Environmental Protection mission.

C. Budget Request Summary:

The Coast Guard estimates that expenditures from the Oil Spill Liability Trust Fund will total \$91.000 million in FY 2010, a decrease of \$58.095 million under the FY 2009 enacted level. These estimated expenditures consist of a \$50.000 million expenditure transfer for Federal oil spill response, an estimated \$1.100 million payment to the Oil Spill Recovery Institute, and \$39.900 million for payment of oil spill removal costs and damages claims, including natural resource damages claims.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U. S. Coast Guard
Oil Spill Recovery**
Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
I. Oil Spill Recovery	-	\$ 91,069	-	\$ 149,095	-	\$ 91,000	-	\$ (58,095)	-	\$ -	-	\$ (58,095)
Subtotal, Enacted Appropriations and Budget Estimates	-	\$ 91,069	-	\$ 149,095	-	\$ 91,000	-	\$ (58,095)	-	\$ -	-	\$ (58,095)
Less Adjustments for Other Funding Sources:												
Net, Enacted Appropriations & Budget Estimates	-	\$ 91,069	-	\$ 149,095	-	\$ 91,000	-	\$ (58,095)	-	\$ -	-	\$ (58,095)

III. Current Services Program Description by PPA

**Department of Homeland Security
U. S. Coast Guard
Oil Spill Liability Trust Fund
Program Performance Justification
(Dollars in Thousands)**

PPA I: OIL SPILL LIABILITY TRUST FUND

	Perm Pos	FTE	Amount
2008 Actual	91,069
2009 Enacted	149,095
2010 Adjustments-to-Base			(58,095)
2010 Current Services	91,000
2010 Program Change
2010 Request	91,000
Total Change 2009-2010	(58,095)

The Coast Guard requests \$91.000 million for this activity. This is a decrease of \$58.095 million from the FY 2009 enacted level.

CURRENT SERVICES PROGRAM DESCRIPTION:

- Title I of the Oil Pollution Act of 1990 (OPA), as amended, provides for the use of the Oil Spill Liability Trust Fund (OSLTF) to pay for federal response to oil spills and claims for uncompensated removal costs and damages resulting from such spills. In Section Seven of Executive Order 12777, the President delegated management responsibility for these uses of the OSLTF to the Secretary of the Department in which the Coast Guard is operating. Upon re-delegation by the Secretary, the Commandant of the Coast Guard delegated responsibility to the National Pollution Funds Center (NPFC), which oversees the OSLTF.
- OPA section 5006(b) directs the NPFC to make annual payments to the Prince William Sound Oil Spill Recovery Institute of the interest on a portion of the OSLTF balance.

Accomplishments for FY 2008 include:

- Provided funding for federal response to 500 oil spills at a cost of \$64.548 million.
- Paid an estimated \$1.095 million to the Oil Spill Recovery Institute.
- Paid \$25.426 million in claims for uncompensated removal costs and damages, including natural resource damages, resulting from oil spills.

Planned accomplishments for FY 2009 include:

- Provide funding for federal response to 500 oil spills at a cost of \$50.000 million.
- Pay an estimated \$1.100 million to the Oil Spill Recovery Institute.

- Pay \$97.995 million in claims for uncompensated removal costs and damages, including natural resource damages, resulting from oil spills.

Planned accomplishments for FY 2010 include:

- Provide funding for federal response to 500 oil spills at a cost of \$50.000 million.
- Pay an estimated \$1.100 million to the Oil Spill Recovery Institute.
- Pay \$39.900 million in claims for uncompensated removal costs and damages, including natural resource damages, resulting from oil spills.

IV. Program Justification of Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not Applicable

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
U. S. Coast Guard
Oil Spill Recovery
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actual	-	-	91,069
2009 Enacted	-	-	149,095
Decreases	-	-	(58,095)
Total Adjustments-to-Base	-	-	(58,095)
2010 Current Services	-	-	91,000
Program Changes			
Total Program Changes	-	-	-
2010 Request	-	-	91,000
2009 to 2010 Total Change	-	-	(58,095)

C. Summary of Requirements

Department of Homeland Security
 U. S. Coast Guard
 Oil Spill Recovery
 Summary of Requirements
 (Dollars in Thousands)

	2010 Request		
	Pos.	FTE	Amount
2008 Actual	-	-	91,069
2009 Enacted	-	-	149,095
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	-	-	-
Increases	-	-	-
Decreases	-	-	(58,095)
Total Adjustments-to-Base	-	-	(58,095)
2010 Current Services	-	-	91,000
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)			
2010 Total Request	-	-	91,000
2009 to 2010 Total Change	-	-	(58,095)

Estimates by Program/Project Activity	2009 Enacted		2010 Adjustments-to-Base		2010 Program Change		2010 Request		2009 to 2010 Total Change						
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE				
PPA 1	-	-	149,095	-	-	(58,095)	-	-	-	-	-	91,000	-	-	(58,095)
Oil Spill Recovery	-	-	149,095	-	-	(58,095)	-	-	-	-	-	91,000	-	-	(58,095)

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object Class

**Department of Homeland Security
U. S. Coast Guard
Oil Spill Recovery
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1 Full-time permanent	-	-	-	-
11.3 Other than full-time permanent	-	-	-	-
11.5 Other personnel compensation	-	-	-	-
11.7 Military personnel	-	-	-	-
11.8 Special service pay	-	-	-	-
12.1 Civilian personnel benefits	-	-	-	-
12.2 Military personnel benefits	-	-	-	-
13.0 Benefits-former	-	-	-	-
Total, Personnel Comp. & Benefits	\$ -	\$ -	\$ -	\$ -
Other Object Classes:				
21.0 Travel	-	-	-	-
22.0 Transportation of things	-	-	-	-
23.1 GSA rent	-	-	-	-
23.2 Other rent	-	-	-	-
23.3 Communication, utilities, and misc charges	-	-	-	-
24.0 Printing and reproduction	-	-	-	-
25.1 Advisory and assistance services	-	-	-	-
25.2 Other services	91,069	172,390	91,000	(81,390)
25.3 Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4 Operation & maintenance of facilities	-	-	-	-
25.5 Research and development	-	-	-	-
25.6 Medical care	-	-	-	-
25.7 Operation and maintenance of equipment	-	-	-	-
25.8 Subsistence and support of persons	-	-	-	-
26.0 Supplies and materials	-	-	-	-
31.0 Equipment	-	-	-	-
32.0 Land and structures	-	-	-	-
41.0 Grants, subsidies and contributions	-	-	-	-
42.0 Insurance claims and indemnity	-	-	-	-
Total, Other Object Classes	\$ 91,069	\$ 172,390	\$ 91,000	\$ (81,390)
Total Direct Obligations	\$ 91,069	\$ 172,390	\$ 91,000	\$ (81,390)
Unobligated balance, start of year	(20,256)	(23,295)	-	23,295
Unobligated balance, end of year	23,295	-	-	-
Total Requirements	\$ 94,108	\$ 149,095	\$ 91,000	(58,095)

Note: Total direct obligations does not include advances and reimbursements.

F. Permanent Positions by Grade

Not Applicable

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications

**Department of Homeland Security
U. S. Coast Guard
Oil Spill Recovery
PPA I
Funding Schedule
(Dollars in Thousands)**

Oil Spill Recovery		2008 Actual	2009 Enacted	2010 Request	2009-2010 Change
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	-	-	-	-
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	-	-
25.2	Other services	91,069	172,390	91,000	(81,390)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	-	-	-	-
31.0	Equipment	-	-	-	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
Total, Oil Spill Recovery		\$ 91,069	\$ 172,390	\$ 91,000	\$ (81,390)
Full Time Equivalent		-	-	-	-

PPA Mission Statement

The Oil Spill Recovery fund will provide a source of funds for removal costs and damages resulting from oil spills, or the substantial threat of a spill, into navigable waters of the U.S. In accordance with the provisions of the Oil Pollution Act of 1990, the President may make available up to \$50 million annually from the Fund for oil spill removal activities. The Fund also pays all valid claims for removal costs and damages resulting from oil spills.

Summary Justification and Explanation of Changes

Other services

2008	2009	2010	2009-2010
Actual	Enacted	Request	Change
\$ 91,069	\$ 172,390	\$ 91,000	\$ (81,390)

The FY 2010 Oil Spill Recovery request represents a reduction from FY 2009 as a result of a projected decrease in anticipated claims.

I. Changes in Full-Time Equivalents

Not Applicable

Department of Homeland Security

United States Coast Guard

Miscellaneous Funds



Fiscal Year 2010

Congressional Justification

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U. S. Coast Guard
Miscellaneous Funds

I. General Gift Fund Overview

A. Mission Statement for General Gift Fund

The Coast Guard General Gift Fund is authorized under Section 2601 of Title 10 USC provisions for such funds within the Department of Defense and the Coast Guard. The General Gift Fund is a vehicle that authorizes the Commandant of the Coast Guard to accept gifts and donations for the benefit of activities such as museums, chapels, and other organizations under the jurisdiction of the Coast Guard. A recent change also authorizes the Coast Guard to accept gifts to be used for the benefit of service members who are wounded, injured or taken ill while in the line of duty, as well as for those members' dependents and survivors. The Coast Guard estimates \$80.000 thousand in bequests in FY 2010.

B. Budget Activities:

The General Gift Fund enables the Coast Guard to accept gifts and donations which are deposited into the General Treasury. These gifts and donations are devised and bequests to support the Coast Guard, its institutions, and its qualifying service members and dependents.

C. Budget Bequest Summary:

The Coast Guard estimates \$80.000 thousand in bequests from various sources to the General Gift Fund in FY 2010.

U.S. Coast Guard General Gift Fund
(Dollars in Thousands)

	<u>Amount</u>
2008 Actual	\$1,987
2009 Enacted	80
2010 Estimated Bequests	80
Total Change 2009-2010	-

U. S. Coast Guard
Miscellaneous Funds

II. Yard Fund Overview

A. Mission Statement for Yard Fund

The Yard Fund is a revolving account supported by the Coast Guard's Operating Expenses (OE) and Acquisition, Construction & Improvements (AC&I) appropriations to pay for FTE and materials required for Coast Guard projects and work orders completed by the Coast Guard Yard, located in Curtis Bay, Maryland.

B. Budget Activities:

Through their completion of mission-essential logistics and engineering support (e.g., cutter drydocking), Coast Guard Yard personnel contribute to all Coast Guard missions: Search and Rescue (SAR); Marine Safety; Aids to Navigation (AtoN); Ice Operations; Marine Environmental Protection (MEP); Living Marine Resources (LMR); Drug Interdiction; Migrant Interdiction; Other Law Enforcement; Ports, Waterways and Coastal Security (PWCS); and Defense Readiness.

C. Budget Request Summary:

Not applicable.

U. S. Coast Guard
Miscellaneous Funds

II. Supply Fund Overview

A. Mission Statement for Supply Fund

The Supply Fund, in accordance with 14 U.S.C. 650, finances the procurement of uniform clothing, commissary provisions, general stores, technical material, and fuel for vessels over 180 feet in length. The fund is normally financed by reimbursements from the sale of goods.

B. Budget Activities:

The Supply Fund enables the Coast Guard to fund the cost of uniforms, commissary provisions, stores, material, and fuel.

C. Budget Request Summary:

Not applicable.

III. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
U. S. Coast Guard
Gift Fund**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Estimated Bequests		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
I. General Gift Fund	-	\$ 1,987	-	\$ 80	-	\$ 80	-	\$ -	-	\$ -	-	\$ -
Subtotal, Enacted Appropriations and Budget Estimates	-	\$ 1,987	-	\$ 80	-	\$ 80	-	\$ -	-	\$ -	-	\$ -
Less Adjustments for Other Funding Sources:												
Net, Enacted Appropriations & Budget Estimates	-	\$ 1,987	-	\$ 80	-	\$ 80	-	\$ -	-	\$ -	-	\$ -

IV. Current Services Program Description by PPA

Not Applicable

V. Program Justification of Changes

Not Applicable

VI. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not Applicable

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
U. S. Coast Guard
Gift Fund
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actual	-	-	1,987
2009 Enacted	-	-	80
Adjustments-to-Base			
Total Adjustments-to-Base	-	-	-
2010 Estimated Bequests	-	-	80
Program Changes			
Program Increases/(Decreases)	-	-	-
Total Program Changes	-	-	-
2010 Requests	-	-	80
2009 to 2010 Total Change	-	-	-

C. Summary of Requirements

Not Applicable

D. Summary of Reimbursable Resources (applies only to Yard Fund)

**Department of Homeland Security
U. S. Coast Guard
Yard Fund**

Summary of Reimbursable Resources
(Dollars in Thousands)

Collections by Source	FY 2008 Actual		2009 Enacted		2010 Request		Increase/Decrease	
	Pos.	FTE Amount	Pos.	FTE Amount	Pos.	FTE Amount	Pos.	FTE Amount
U.S. Coast Guard	585	513 91,609	586	507 91,609	606	517 91,609	-	-
Total Budgetary Resources	585	513 91,609	586	507 91,609	606	517 91,609	20	10

E. Summary of Requirements by Object Class

Not Applicable

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
CG Yard Fund - Military
Permanent Positions by Grade**

Grade	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
	Pos.	Pos.	Pos.	Pos.
O-10	-	-	-	-
O-9	-	-	-	-
O-8	-	-	-	-
O-7	-	-	-	-
O-6	1	1	1	-
O-5	2	2	2	-
O-4	2	2	2	-
O-3	3	3	3	-
O-2	1	1	1	-
O-1	-	-	-	-
CWO4	3	3	3	-
Cadet	-	-	-	-
E-10	-	-	-	-
E-9	-	-	-	-
E-8	-	-	-	-
E-7	-	-	-	-
E-6	-	-	-	-
E-5	-	-	-	-
E-4	-	-	-	-
E-3	-	-	-	-
E-2	-	-	-	-
E-1	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
Total Permanent Positions	12	12	12	-
Unfilled Positions EOY	7	-	-	-
Total Perm. Employment EOY	5	12	12	-
FTE*	10	12	12	-
Headquarters	-	-	-	-
U.S. Field	12	12	12	-
Foreign Field	-	-	-	-
Total Permanent Positions	12	12	12	-
<u>Position Data:</u>				
Average Salary, Officer Positions**	\$102,885.27	\$111,803.25	\$117,293.58	\$5,490.33
Average Grade, Officer Positions	3	3	3	-
Average Salary, Enlisted Positions**	\$67,441.50	\$0.00	\$0.00	\$0.00
Average Grade, Enlisted Positions	7	-	-	-

*The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

**The military pay and allowances averages include the costs associated with all pay and allowances paid to a particular paygrade, including: Basic Pay, Basic Allowance for Housing, Basic Allowance for Subsistence, Federal Insurance Contributions, Incentive/Special Pays, Clothing Allowances, Cost-of-Living Allowances and Selective Re-enlistment Bonus payments. The term "Officer" includes Chief Warrant Officers, Cadets and Officer Candidates.

F. Permanent Positions by Grade

**Department of Homeland Security
U. S. Coast Guard
CG Yard Fund - Civilian
Permanent Positions by Grade**

Grade	2008	2009	2010	2009 to 2010
	Actual Pos.	Enacted Pos.	Request Pos.	Change Pos.
Total, SES	-	-	-	-
Total, EX	-	-	-	-
GS-15	1	1	1	-
GS-14	4	3	3	-
GS-13	15	6	8	2
GS-12	27	25	27	2
GS-11	20	28	35	7
GS-10	-	-	-	-
GS-9	6	9	10	1
GS-8	2	1	5	4
GS-7	9	10	14	4
GS-6	2	-	-	-
GS-5	3	6	6	-
GS-4	-	2	2	-
GS-3	1	-	-	-
GS-2	-	-	-	-
Other Graded Positions	483	483	483	-
Ungraded Positions	-	-	-	-
Total Permanent Positions	573	574	594	20
Unfilled Positions EOY	57	63	63	-
Total Perm. Employment (Filled Positions) EOY	516	511	531	20
FTE	503	495	505	10
Headquarters	-	-	-	-
U.S. Field	573	574	594	20
Foreign Field	-	-	-	-
Total Permanent Positions	573	574	594	20
Position Data:				
Average Personnel Costs, ES Positions	n/a	n/a	n/a	n/a
Average Personnel Costs, GS Positions	\$91,767.44	\$89,014.29	\$90,292.79	\$1,278.51
Average Grade, GS Positions	11	10	10	(0)

note: the CG Yard's workload and personnel are predominantly funded from other Coast Guard appropriations.

The average personnel costs shown above include basic/locality pay, lump sum payments, awards, overtime, benefits such as retirement, health care and life insurance, and other compensation such as holiday, Sunday, hazardous duty, reemployment annuitant and severance pays, night differential, non foreign Cost-of-Living Allowance, premium compensation for firefighters. Civilian FTP is presented as a count of full time positions, vice full time employees.

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications by Object Class

Not Applicable

I. Changes in Full-Time Equivalents

Not Applicable

U. S. COAST GUARD
Fiscal Year 2010
STRATEGIC CONTEXT

A. MISSION AND DESCRIPTION

The U. S. Coast Guard is the principal Federal agency responsible for maritime **safety, security and stewardship**. As such, we help protect vital U.S. economic and security interests throughout the maritime environment including the personal safety and security of the maritime public, our natural and economic resources, and the integrity of our maritime borders. We are trained to address all threats and all hazards, in a manner consistent with the law and in alignment with the Department of Homeland Security's (DHS) goals and objectives, throughout the maritime domain including in U.S. ports and inland waterways, along the coasts, on the high seas and in other regions where our maritime equities are at stake.

The Coast Guard delivers value to the public through its roles and missions that provide maritime **safety, security and stewardship**. These roles and missions are *enduring* – long-standing responsibilities accrued over two centuries of service.

<u>Major Commands:</u>	
Atlantic Command – Portsmouth, VA	
Pacific Command – Alameda, CA	
1 st District – Boston, MA	
5 th District – Portsmouth, VA	
7 th District – Miami, FL	
8 th District – New Orleans, LA	
9 th District – Cleveland, OH	
11 th District – Alameda, CA	
13 th District – Seattle, WA	
14 th District – Honolulu, HI	
17 th District – Juneau, AK	
Coast Guard Headquarters – Washington, D.C.	
<u>Employees:</u>	
Military	41,775
Civilian	6,775
Selected Reserves	8,100
Auxiliary	28,986
<u>Major Assets:</u>	
Major Cutters	42
Patrol Boats	112
Icebreakers	13
Buoy Tenders	76
Helicopters	144
Fixed Wing Aircraft	59
Boats	1,700

Since the terrorist attacks of September 11th and Hurricane Katrina our missions have taken on new dimensions and significance:

- Our enduring efforts and expertise in marine safety reinforce new initiatives and standards for vessel and facility security.
- Our waterways management capacity and expertise are essential to maritime preparedness and port resilience, poised to rapidly restore commerce and economic stability after an attack or disaster.
- Our efforts with Ports, Waterways and Coastal Security systemically couple with supporting Coast Guard missions and operations to enhance Maritime Domain Awareness (MDA) and reinforce our layered defense against terrorism and other threats and hazards.
- Our missions to protect the marine environment and resources are complemented by our safety and security missions; ensuring access to our waters and resources is balanced and sustainable.
- Our enforcement of laws and treaties protects the nation's maritime borders from drugs, contraband, weapons, illegal immigration and terrorist mobility and exploitation.
- In moments of national crisis the Coast Guard serves as the lead Maritime Operational Threat Response (MOTR) Forces component for DHS and readily and seamlessly operates with other military forces, as well as Federal, state and local partners and stakeholders.

U. S. COAST GUARD
Fiscal Year 2010
STRATEGIC CONTEXT

- In moments of international crisis, the Coast Guard can flow unique and complementary war-fighting and capacity-building capabilities to the Department of Defense and the Department of State.
- As a member of the Intelligence Community (IC), and in support of the National Strategy for Maritime Security, the Coast Guard collects, fuses and shares critical intelligence, data and information through the Global Maritime Intelligence Integration (GMII) and Global Maritime Situational Awareness (GMSA) programs.
- Most importantly, our multi-mission flexibility ensures all Coast Guard forces can respond to incidents of national significance, scaling quickly up to a Katrina and/or a 9/11-level response when our nation is in peril.

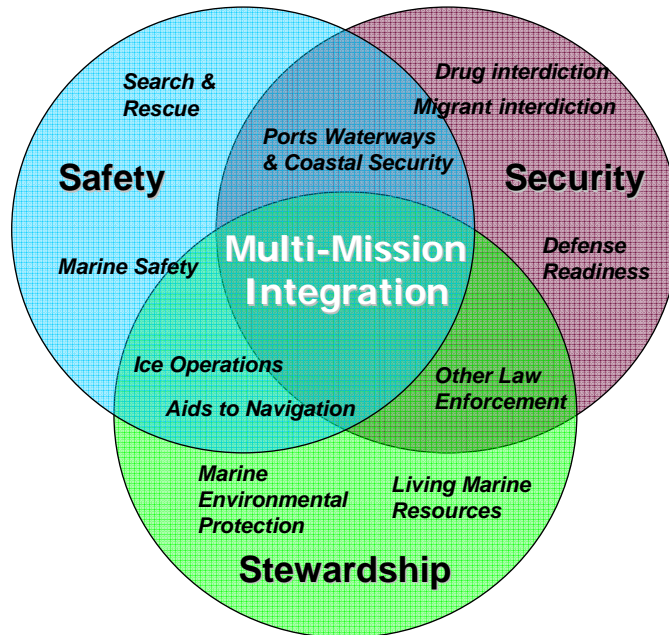
There are eleven specific statutorily-mandated Coast Guard mission-programs outlining the Coast Guard’s primary roles of safety, security and stewardship.¹ While each of the Coast Guard’s mission-programs has a direct linkage to one of these three roles, many also overlap to support others. Table 1 below shows the primary alignment of Coast Guard mission-programs with these roles.

B. MAJOR ACTIVITIES AND KEY STRATEGIC ISSUES

Major Activities and Performance

Table 1

Protecting America’s Maritime Interests



¹ The term “mission-program” is used by the Coast Guard to identify one of its 11 statutorily mandated missions that guide Coast Guard budget presentations as well as strategic planning, programming and performance.

U. S. COAST GUARD
Fiscal Year 2010
STRATEGIC CONTEXT

Aids to Navigation (AtoN): In FY 2008, our AtoN mission-program achieved the 98.3% Federal Short-Range Aids to Navigation Signal Availability rate for reliable visual aids to navigation systems. Our Inland River Buoy and Construction Tenders and our AtoN teams played a critical role opening waterways to commerce after major flooding events throughout Mississippi River System. The events disturbed over 2,200 miles of Federal waterways, displaced more than 3,500 buoys, and destroyed over 330 fixed AtoN structures. We also played a critical part in rapidly restoring the Houston Ship Channel and other Gulf ports to full operation after Hurricanes Ike and Gustav closed the ports and caused more than 1,200 AtoN discrepancies.

In FY 2009, we continue to decrease our backlog for waterways short-range aids (SRA) improvements and focus on projects that are critical to safe and efficient maritime transportation. Funding for this program improves transportation safety on U.S. waterways through new construction, improvements or refurbishment of existing infrastructure. Waterway infrastructure projects respond to requirements from expanded U.S. Army Corps of Engineers (ACOE) activity or replace critical aging/damaged AtoN structures. Our program is improving the Nation's AtoN system and safeguarding maritime commerce.

Defense Readiness: In FY 2008, our defense readiness mission-program is well below 100% readiness – declining readiness and training levels in our aging legacy fleet limited asset availability to Combatant Commanders. Although the Coast Guard's readiness level increased slightly, we expect this trend will not improve dramatically until we begin fielding Deepwater assets. In FY 2009 and FY 2010, Coast Guard assets and personnel will continue to deploy and provide support to DoD commands. The Coast Guard provides Combatant Commanders with resources and platform capabilities that can join forces with regional partners and provide maritime law enforcement and other expertise and capability throughout multiple areas of responsibility. The Coast Guard serves as a force provider to Combatant Commanders in support of overseas contingency operations, OPERATION IRAQI FREEDOM, OPERATION ENDURING FREEDOM, and other planned military operations.

Drug Interdiction: In FY 2008, our drug interdiction mission-program exceeded its performance target, seizing a record 367,926 pounds of cocaine despite a significant shift in conveyance methods, namely the introduction of Self-Propelled Semi-Submersibles (SPSS). We continue to leverage international, inter-department and inter-agency cooperation and coordination, such as the deployment of Coast Guard Law Enforcement and Airborne Use of Force detachments aboard U.S. Navy and allied warships, to maximize enforcement effectiveness. In FY 2009, the Coast Guard transitioned to a new measure, the Consolidated Counter-Drug Database, to assess cocaine flow rate, allowing for a more timely evaluation of Coast Guard illegal drug interdiction performance. In FY 2010, our enforcement efforts will continue to improve when the full capacity and capability of the Atlantic Area Deployment Center's ten MH-65C helicopters are reached through the addition of required training and standardization resources.

Domestic Ice Operations: In FY 2008, our ice operations mission-program successfully met its performance target by providing ice breaking services that resulted in no critical waterways closure days on the Great Lakes and the average total economic value of cargo transported on the Great Lakes during that period was \$2.5 billion. The Coast Guard has long maintained an icebreaking capability in

U. S. COAST GUARD
Fiscal Year 2010
STRATEGIC CONTEXT

the Great Lakes and in northeastern ports and waterways in support of national interests. America's waterways support commerce that in some regions face the challenge of shortened seasons due to ice coverage. Currently, the Coast Guard's domestic icebreaking program supports 11 distinct trade routes and breaks ice jams, providing flood control as an ancillary public benefit. Thus far in FY 2009, commercial traffic was down 30% for December 2008 as compared to last year. However, demand for Coast Guard icebreaking services remains high because fewer transits in waterways, such as the St. Mary's River, fosters track refreezing between transits. The trend in icebreaking hours thus far indicates the Coast Guard could exceed the 6,100 hours needed to meet the mission last year. The Coast Guard's assets for Domestic Icebreaking (WTGB 140' Icebreaking Tug and WYTL 65' Small Harbor Tug) are at or past their estimated service life and are experiencing unexpected maintenance, leading to increased operational cost and lost operational days. As such, during FY2009 and 2010 the Coast Guard will assess the best and most effective ways to meet current and future needs of communities reliant upon year-round waterborne commerce.

Living Marine Resources (Domestic Fisheries) and Other Law Enforcement (Foreign Fisheries): In FY 2008, the Coast Guard did not meet its performance target for our foreign and domestic fisheries mission-program but did meet the performance target in foreign fishery enforcement efforts. The Coast Guard was notably successful in detecting 81 incursions by foreign fishing vessels into the U.S. Exclusive Economic Zone (EEZ). The Coast Guard also participated in the 2008 multi-national High Seas Drift Net (HSDN) enforcement campaign, Operation North Pacific Watch where the Coast Guard interdicted two Chinese-flagged HSDN vessels and facilitated their seizure by Chinese officials. In FY 2008, the Coast Guard leveraged enhanced coordination with agency partners and increased use of available maritime domain awareness tools but fell short of domestic fisheries targets. In FY 2009 and 2010, performance in both mission-programs will be temporarily affected by the reduction in available patrol boats as these assets are taken out of service to undergo Mission Effectiveness Program enhancements. These effects are short-term set-backs that will provide more sustained long-term performance as the legacy patrol boats return to service. Moreover, as new Maritime Patrol Aircraft become operational, these assets provide added capabilities that will contribute to this and other missions.

Marine Environmental Protection (MEP): In FY 2008, the Coast Guard did meet its performance target for the MEP mission-program. The Coast Guard developed and executed a Concept of Operations for implementation of the National Response Framework, the national all-hazards, incident management, and emergency response architecture. The Coast Guard also incorporated lessons learned from the M/V COSCO BUSAN Incident Specific Preparedness Report (ISPR) into an approved policy that better aligns response planning at local, state and Federal levels. In FY 2009 and 2010, the Coast Guard is developing a national mandatory Ballast Water Management (BWM) program towards the implementation of a discharge standard. The purpose of the BWM program is to prevent new aquatic species which may be dangerous or harmful to the environment from entering U.S. and international waterways.

Marine Safety: In FY 2008, the Coast Guard Marine Safety mission-program met its performance targets for a decline in Commercial Mariner Safety and Recreational Boating Safety but not for Commercial Passenger Safety. The Coast Guard's Marine Safety program ensures the safe operation and navigation of over 20,000 U.S. and foreign flagged vessels, inspects over 70,000 domestic vessels annually, and carries out over 11,000 port state control (foreign vessel) examinations annually. In FY

U. S. COAST GUARD
Fiscal Year 2010
STRATEGIC CONTEXT

2008 nearly 400,000 people successfully completed approved boating safety courses, improving mariner competency which is attributable to reducing death and injuries in the Boating Safety community. In FY 2008, the Coast Guard established two Centers of Expertise to improve competency and enhance communication with the maritime industry. In FY 2009 and 2010, the Coast Guard continues to reduce maritime casualties and improve service to mariners, industry and public. In FY 2009 the Coast Guard intends to hire marine inspectors and investigators to address industry growth, improve inspector training, and bolster career paths for personnel with marine science and engineering backgrounds.

Ports, Waterways, and Coastal Security (PWCS): In FY 2008, Coast Guard PWCS mission-program did meet its performance target. This is attributable to improvements in regime and marine domain awareness activities, security and response operations led a reduction in terrorism-related maritime risk the Coast Guard is able to influence. The Coast Guard's International Port Security (IPS) program helped reduce risk to the U.S. by verifying effective anti-terrorism measures are in place in foreign ports and imposing conditions of entry requiring vessels to take additional security actions in cases where measure are lacking. The IPS Program has conducted visits in over 500 ports in more than 135 countries. Conditions of entry have been imposed on vessels arriving from seven countries as a result of these countries' inadequate security standards.

Undocumented Migrant Interdiction: In FY 2008, the Coast Guard saw a 32% decrease in the number of known migrants attempting to enter the U.S. via maritime routes when compared to FY 2007. In FY 2008 the Coast Guard doubled-crew its 110-ft patrol boats in the Seventh District (Florida and the Caribbean) to increase its patrol boat hours. The resulting increase in performance will be sustained in FY 2009 by the continued roll-out of at-sea biometric identification capability to enable better processing of repeat migrant offenders, the continuation of double crewing 110-ft patrol boats in the Seventh District and improved border surveillance capability through integration and cooperation with other DHS components and their programs such as Customs and Border Protection's Secure Border Initiative (SBI). Since the maritime biometric identification proof-of-concept began in the Mona Pass in November of 2006, the Coast Guard has observed a 40 percent reduction in the flow of migrants from the Dominican Republic. Continued progress on the Deepwater Mission Effectiveness Project (MEP) for WMEC's and WPB's is delivering upgraded operational and communications capabilities on legacy assets necessary for all mission responsibilities. The Coast Guard expects to improve interdiction of undocumented migrants through performance improvements gained with additional asset availability during the expected Initial Operational Capability standup of the Response Boat, Medium (RB - M).

Search and Rescue (SAR): In FY 2008, the SAR mission-program did not meet its performance target. The significant drop in cases closely mirrors the economic downturn and may be a result of fewer mariners on the water. In FY 2008, the ability to detect and locate persons in distress was enhanced through technology improvements such as Rescue 21 that now covers 23,149 miles of the Nation's coastline. In FY 2008, SAR mission performance benefited from the installation of improved technologies, such as the 406 mega-Hertz direction finders on more aircraft and Digital Selective Calling capability onboard additional Cutters and small boats. To further capitalize on improved capabilities available in the field the addition of SAR and exercise planning into HSPD-8's National Maritime Security Plan will provide the professional expertise necessary to boost national SAR

U. S. COAST GUARD
Fiscal Year 2010
STRATEGIC CONTEXT

performance. These efforts will carry into FY 2009, during which the majority of SAR related technology upgrades will be completed resulting in an expected improvement in performance.

Key Strategic Issues

The President's FY 2010 Budget Request maintains a mission-focused Coast Guard capable of answering the Nation's call. Events such as the 9/11 terrorist attacks and Hurricane Katrina, Gustav, and Ike demonstrated the emergence of a complex threat situation and our nation's growing vulnerability. While the U.S. capacity to save lives in the aftermath of these tragedies was exceptional, more can be done to prepare for and respond to the next major disaster. The Coast Guard faces the following five major challenges:

Recapitalizing Aging Infrastructure: The Coast Guard faces an increasing need to replace aging shore infrastructure, vessels and aircraft. The cost of maintaining and operating the Coast Guard's assets is continually increasing, while operational availability is decreasing. In addition to the vessels and aircraft, the vital shore infrastructure required to maintain our front line assets is in critical need of renovation to avoid negative operational impacts. Finally, housing shortages and lack of adequate barracks affect quality of life for our service members. Ultimately, the future operational success of the Coast Guard is dependant upon successful execution of a recapitalization plan that addresses not only the front line assets but the support and shore infrastructure as well.

Enhancing Marine Safety and Security: Coast Guard partnerships with maritime industry enable the continual improvement of integrated safety and security programs. The goal in preventing or responding to a major safety or security incident in our ports and waterways is the same; save lives, property and protect the environment. We recognized the threat posed to our nation by al-Qaeda and other radical extremists and took substantial action to help fortify our ports, waterways, coastal areas and maritime infrastructure. With maritime security needs better addressed, we are again continuing our long-standing efforts to enhance marine safety. Specifically, among other initiatives, we are hiring additional marine inspectors and investigating officers, improving inspector training and competency. This is the continuation of a long-term effort to ensure our regulatory functions meet the needs of the maritime community while providing for the safety of commercial transport in the maritime domain.

Improve Command and Control: The maritime environment continues to grow in complexity in a flatter, more economically interdependent global marketplace. To meet this challenge, the Coast Guard faces a critical need to update its command and control capability to better identify and classify potential threats in the maritime realm in a real-time environment. Offshore sensors and joint-service personnel to staff command and intelligence centers enhance our capability to protect crucial coastal resources and port infrastructure. Information sharing and secure communications capability improves Coast Guard's ability to identify potential terrorists while still at-sea. Maritime Domain Awareness projects such as Long Range Identification and Tracking leverage technology, increase the flow of information and unify efforts across all levels of government. Lessons-learned and expanded capabilities identified through cooperative efforts such as the Joint Harbor Operations Centers with the U.S. Navy (i.e., including the newly established facility in Seattle, WA) and Project SeaHawk with the Departments of Justice and State as well as local authorities from Charleston, SC; demonstrate the benefits of expanding information-sharing and interagency command center operations nationwide. Such interagency efforts address the requirements of the SAFE Port Act to provide operational

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commanders and National-level decision-makers with a continuous flow of port-level information and will tie-in with the DHS Common Operating Picture (COP) to provide increased command and control capability at all levels of government.

Data Center Migration: The data center migration funding will be used to continue ongoing system and application migration to the two existing DHS Enterprise Data Centers. The Data Center consolidation efforts will standardize IT resource acquisitions across components, streamline maintenance and support contracts, resulting in an enhanced DHS IT security posture, improved information sharing with stakeholders, and increased operational efficiencies over time. The funding will also support the transition of disaster recovery/backup/COOP (Continuity of Operations) capability to DHS Data Centers.

Modernize Business Practices: Achieving excellence in financial management is critical to the Coast Guard's ability to support and sustain mission execution. The Coast Guard's strategic approach to financial management transformation has four over-arching objectives: hardening the control environment, improving organizational competency and capability, modernizing budget formulation and execution, and memorializing the governance structure. Meeting these objectives will improve financial processes, systems, and internal control mechanisms significantly, while reducing the workload on front-line units. Coast Guard leadership is firmly committed to resolving its material weaknesses through financial management transformation, transparency and good stewardship of taxpayer dollars.

C. RESOURCES REQUESTED AND PERFORMANCE IMPACT

The Coast Guard continues modernizing its command and control structures, support systems and business intelligence practices to make it more agile and responsive to the Nation's threats and challenges in the 21st century. This strategic modernization is funded primarily from within our base in FY 2007 through FY 2010.

The Coast Guard will complete implementation of the Headquarters office of the Deputy Commandant for Mission Support (DCMS). DCMS consolidates the responsibilities for developing and overseeing policies and programs for Coast Guard human resources management, acquisitions, engineering and logistics support of operating forces and shore infrastructure; as well as the technical aspects of the information systems utilized to carry out Coast Guard operations. This enables more effective acquisition governance and oversight while mitigating current challenges with programs such as Deepwater. DCMS utilizes standardized maintenance processes and lead to strict configuration control across the enterprise, providing single-point accountability for life-cycle management of assets and human resource management. In turn, DCMS will further relieve operational commands of support obligations, enabling them to fully focus on Coast Guard mission execution.

In addition, the Coast Guard will continue to improve fiscal business practices with the addition of \$20M to enhance financial management competencies and capacities. The Coast Guard's strategic service-wide modernization will improve global resource allocation, force generation, and overall risk management, and enhance the Service's unity of effort within the Department of Homeland Security and at all levels of government. It will result in stronger Headquarters and Field alignment, improved readiness management, and greatly enhanced mission execution across all Coast Guard operations.

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The Coast Guard also intends to create efficiencies that shift resources to support new Deepwater assets scheduled for delivery in FY 2010. These efficiencies are proposed to include the termination of FY 2009 one-time \$32.7 million costs and the decommissioning of four Coast Guard aircraft at a savings of \$11.2 million and 53 FTEs. In addition, the Coast Guard will terminate the Loran-C system, saving \$36 million and 181 FTEs. Replacing legacy assets with more capable Deepwater cutters and aircraft will improve overall performance levels.

D. HOW COAST GUARD PROGRAMS AND THEIR PERFORMANCE GOALS ALIGN TO AND SUPPORT THE DHS GOALS AND OBJECTIVES

The 11 Coast Guard mission-programs and their long-term performance goals are listed below, followed by the DHS strategic objective(s) they support.

Aids to Navigation – The Coast Guard’s long-term goal is to eliminate collisions, allisions and groundings by vessels on our Nation’s oceans and waterways. A resilient Aids to Navigation program ensures the rapid recovery of the maritime transportation system following attacks or disasters.

Goal 3 – Protect Critical Infrastructure

Objective 3.4 – Protect Transportation Sectors.

Goal 4 – Strengthen Our Nation’s Preparedness and Emergency Response Capabilities

Objective 4.2: Strengthen Response and Recovery.

Defense Readiness – The Coast Guard’s long-term goal is to improve our national security and military strategies by ensuring assets are at the level of readiness required by the Combatant Commander.

Goal 1 –Protect the Nation from Dangerous People

Objective 1.1: Achieve Effective Control of Our Borders.

Goal 3 – Protect Critical Infrastructure

Objective 3.1: Protect and Strengthen the Resilience of the Nation’s Critical Infrastructure and Key Resources.

Goal 4 – Build a nimble, effective emergency response system and a culture of preparedness

Objective 4.1: Ensure Preparedness.

Drug Interdiction – The Coast Guard’s long-term goal is to reduce the flow of illegal drugs entering the U.S. via non-commercial maritime shipping sources.

Goal 1 –Protect the Nation from Dangerous People

Objective 1.1: Achieve Effective Control of Our Borders.

Ice Operations – The Coast Guard’s long-term goal is to maintain operational channels for navigation, limiting channel closures to two days (during average winters) and eight days (during severe winters).

Goal 3 – Protect Critical Infrastructure

Objective 3.4 – Protect Transportation Sectors.

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Living Marine Resources (LMR) – The Coast Guard’s long-term goal is to improve fisheries regulation compliance on our Nation’s oceans.

Goal 3 – Protect Critical Infrastructure

Objective 3.1: Protect and Strengthen the Resilience of the Nation’s Critical Infrastructure and Key Resources.

Marine Environmental Protection (MEP) – The Coast Guard’s long-term goal is to eliminate oil spills and chemical discharge incidents.

Goal 3 – Protect Critical Infrastructure

Objective 3.1: Protect and Strengthen the Resilience of the Nation’s Critical Infrastructure and Key Resources.

Goal 4 – Build a nimble, effective emergency response system and a culture of preparedness

Objective 4.1: Ensure Preparedness.

Objective 4.2: Strengthen Response and Recovery.

Marine Safety – The Coast Guard’s long-term goal is to eliminate maritime fatalities and injuries on our Nation’s oceans and waterways.

Goal 3 – Protect Critical Infrastructure

Objective 3.4 – Protect Transportation Sectors.

Undocumented Migrant Interdiction – The Coast Guard’s long-term goal is to eliminate the flow of undocumented migrants via maritime routes to the U.S.

Goal 1 –Protect the Nation from Dangerous People

Objective 1.1: Achieve Effective Control of Our Borders.

Other Law Enforcement – The Coast Guard’s long-term goal is to reduce the number of vessel incursions into the United States Exclusive Economic Zone (EEZ).

Goal 1 –Protect the Nation from Dangerous People

Objective 1.1: Achieve Effective Control of Our Borders.

Ports, Waterways, and Coastal Security (PWCS) – The Coast Guard’s long-term goal is to reduce homeland security risk in the maritime domain.

Goal 1 –Protect the Nation from Dangerous People

Objective 1.1: Achieve Effective Control of Our Borders.

Goal 2 –Protect the Nation from Dangerous Goods

Objective 2.1: Prevent and Detect Radiological/Nuclear Attacks.

Objective 2.2: Prevent, Detect, and Protect Against Biological Attacks.

Goal 3 – Protect Critical Infrastructure

Objective 3.1: Protect and Strengthen the Resilience of the Nation’s Critical Infrastructure and Key Resources.

Objective 3.4 – Protect Transportation Sectors.

Search and Rescue – The Coast Guard’s long-term goal is to save mariners in imminent danger on our Nation’s oceans and waterways.

Goal 4 – Build a nimble, effective emergency response system and a culture of preparedness

Objective 4.2: Strengthen Response and Recovery.

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E. PERFORMANCE-BASED BUDGET HIGHLIGHTS BY PROGRAM

The Coast Guard's Mission Cost Model (MCM) is a flexible and agile tool that enables the Coast Guard to use historical expenditures to allocate direct, indirect and support costs across mission-programs and strategic goals and objectives. Historical cost trends are then used to predict general future year mission cost allocations. As a result, greater transparency is possible between resources consumed and results achieved by our mission-programs. The MCM's performance based budget projection is key to the Coast Guard's budget process as well as other related macro-level policies and initiatives, such as the President's Management Agenda (PMA) initiative of Budget and Performance Integration, the OMB Program Assessment Rating Tool (PART) reviews, and the Government Performance and Results Act. The following tables provide program-specific information that shows the relationship between budgetary funding and personnel resources, and the lead outcome performance goals that have been established for each of the Coast Guard's 11 mission-programs.

Program: Defense Readiness						
Performance Goal: Improve our national security and military strategies by ensuring assets are at the level of readiness required by the combatant commander.						
DHS strategic objectives supported and % allocation of activities: 1.1 - 99%, 3.1 - 1%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$612,554	\$509,691	\$803,950	\$664,384	\$720,198	\$705,750
FTE	2,942	2,076	2,087	2,103	2,143	2,177

Performance Plan Measures

Measure: Defense readiness of patrol boats.						
Description of Measure: This measure is the percent of time that the number of units called for in combatant commander operational plans are ready at Status of Resources and Training Systems (SORTS) category 2 or better.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	100%	100%	100%	100%	22.8%
Actual:	None	100%	100%	95%	N/A	N/A

Measure: Defense readiness of Port Security Units (PSUs).						
Description of Measure: This measure is the percent of time that the number of units called for in combatant commander operational plans are ready at Status of Resources and Training Systems category 2 or better.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	100%	100%	100%	100%	75%
Actual:	None	less than 1%	4.52%	24.45%	N/A	N/A

Measure: Percent of time that U.S. Coast Guard assets included in the Combatant Commander Operational Plans are ready at a Status of Resources and Training System (SORTS) rating of 2 or better.						
Description of Measure: Through the Defense Readiness program, the Coast Guard is prepared						

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to provide core competencies such as Maritime Interception Operations; Port Operations Security and Defense; Military Environmental Response Operations; Peacetime Engagement; Coastal Sea Control Operations; and Theater Security Cooperation when requested by the Department of Defense. Selected Coast Guard forces participate in the Navy Status of Readiness and Training System assessment program and participate in combatant commander operations.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	100%	100%	100%	100%	100%	48%
Actual:	69%	62%	50.66%	56%	N/A	N/A

Additional Measures

Measure: Defense Readiness of High Endurance Cutters						
Description of Measure: This measure is the percent of time that the number of units called for in combatant commander operational plans are ready at SORTS category 2 or better.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	100%	100%	100%	100%	46.1%
Actual:	None	84.2%	47.45%	47%	N/A	N/A

Measure: USCG Defense Program Efficiency						
Description of Measure: "Units" are those incorporated into Combatant Commander plans, including 378' and 110' cutters, and Port Security Units. "C2" is a readiness measure denoting the unit's ability to carry out assigned missions. This measure is the program's performance divided by the program's cost, expressed as "Percent SORTs Readiness per M". During Non - Wartime, the target is 2.5% SORTs readiness or better per M. During Wartime, the target is .15% SORTs readiness or better per M.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	.15%/ M or 2.5%/ M	.22%/ M or 2.5%/ M	.24%/ M or 2.5%/ M	.22%/ M or 2.55%/ M	.21%/ M or 2.6%/ M
Actual:	None	.12%/ M	.07% / M during wartime	.14%	N/A	N/A

Program: Drug Interdiction						
Performance Goal: Reduce the flow of illegal drugs entering the United States via non - commercial maritime shipping sources.						
DHS strategic objectives supported and % allocation of activities: 2.4 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$1,017,478	\$1,243,683	\$1,358,931	\$1,344,784	\$1,420,292	\$1,395,021
FTE	4,662	6,333	6,268	6,459	6,415	6,512

Performance Plan Measures

Measure: Cocaine Removal Rate / Operating Expenses of the Drug Interdiction Program						
Description of Measure: "Removal Rate" is the percentage of cocaine shipped through maritime routes that was intended to enter the U.S., but did not because of the efforts of the U.S. Coast						

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Guard. The Cocaine Removal Rate reflects the amount of cocaine lost to the smuggler through seizures (documented in the DEA administered Federal - wide Drug Seizure System), jettison, burning, and other non - recoverable events (vetted through the Inter Agency Consolidated Counter - Drug Database) divided by the non - commercial maritime cocaine flow through the transit zone (documented in Defense Intelligence Agency's annual Interagency Assessment of Cocaine Movement report). Operating expenses of the Drug Interdiction Program are the actual OE expenditures, as calculated through the Coast Guard's Mission Cost model, of the Drug Interdiction program. This measure shows the rate of cocaine removed per 100 million dollars of program operating expenditures.

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	3.2% Removal Rate per 100 Million of program Operationa l Expenditur es	3.6% Removal Rate per 100 Million of program Operationa l Expenditur es	3.7% Removal Rate per 100 Million of program Operationa l Expenditur es	3.2% Removal Rate per 100 Million of program Operationa l Expenditur es	3.2% Removal Rate per 100 Million of program Operationa l Expenditur es
Actual:	None	None	2.4%	not available until late summer 09	N/A	N/A

Measure: Metric Tons of Cocaine Removed						
Description of Measure: Metric tons of cocaine seized by the Coast Guard, and cocaine jettisoned, scuttled, or destroyed by smugglers as a result of Coast Guard law enforcement action.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	130	130	134	138
Actual:	None	None	161.7	166.9 Metric Tons	N/A	N/A

Measure: Percent Non - Commercial Maritime Conveyance						
Description of Measure: The percent of world cocaine flow toward the U.S. by Non - Commercial Maritime conveyance. As noted by the Office of National Drug Control Policy's 2007 strategy, four consecutive record - setting years of illicit drug seizures in the transit zone have forced narcotics traffickers to adjust from well - established routes and methods to those they believe will be less susceptible to interdiction. Therefore, a downward trend in this measure would reflect success of enforcement efforts within the areas that the Coast Guard influences in the transit zone.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	88%	87%	86%	85%
Actual:	None	None	None	86.2%	N/A	N/A

Program: Living Marine Resources
Performance Goal: Achieve sustained fisheries regulation compliance on our Nations Oceans.

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DHS strategic objectives supported and % allocation of activities: 3.1 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$720,113	\$765,909	\$856,224	\$839,471	\$943,982	\$910,290
FTE	4,022	4,208	4,231	4,332	4,332	4,398

Performance Plan Measures

Measure: Percent of U. S. Coast Guard boardings at sea in which no significant violations are detected when domestic fisheries regulations apply						
Description of Measure: This measure reflects the percent of boardings at sea by the U.S. Coast Guard during which no significant violations of domestic fisheries regulations are detected. The Living Marine Resources (LMR) program's mission is to provide at - sea enforcement that advance national goals for the conservation and management of living marine resources (LMR) and their environments through enforcement of federal regulations that provide stewardship of living marine resources and their environments. The Coast Guard is the lead federal agency for "at - sea" enforcement of U.S. fisheries and marine protected species regulations. The LMR program's primary focus is to compel compliance with federal fisheries and other LMR regulations on domestic fishing vessels.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	97	97%	97%	97%	97%	97%
Actual:	96.4%	96.6%	96.2% observed compliance rate	95.3%	N/A	N/A

Additional Measures

Measure: LMR Compliance Rate/Operating Expenses of the LMR Program						
Description of Measure: This measure shows the percentage of U.S. Coast Guard - boarded domestic fishing vessels without significant Federal regulation violations per 10 million of program operating expenses as calculated by the Coast Guard's Mission Cost Model. "Compliance Rate" is the percent of fishermen complying with federal regulations. Operating expenses of the LMR Program are the actual OE expenditures, as calculated through the Coast Guard's Mission Cost model, of the LMR program.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	2.1% Compliance Rate per 10 million dollars of program operational expenditures	2.1% Compliance Rate per 10 million dollars of program operational expenditures	2.1% Compliance Rate per 10 million dollars of program operational expenditures	2.0% Compliance Rate per 10 million dollars of program operational expenditures	1.9% Compliance Rate per 10 million dollars of program operational expenditures
Actual:	None	2.1 % Compliance / 10M	1.04%	1.64%	N/A	N/A

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Program: Marine Environmental Protection (MEP)						
Performance Goal: Reduce oil spills and chemical discharge incidents and mitigate impacts when they occur.						
DHS strategic objectives supported and % allocation of activities: 3.1 - 29%, 4.2 - 71%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$255,124	\$336,631	\$341,678	\$406,340	\$381,827	\$352,416
FTE	1,460	1,356	1,374	1,372	1,418	1,439

Performance Plan Measures

Measure: Five - year average number of chemical discharge incidents per 100 million short tons shipped						
Description of Measure: This measure is a lagging indicator of Coast Guard Marine Environmental Protection Program impact on the long - term trend of chemical discharge incidents. It is a simple moving average of Coast Guard investigated chemical discharge incidents into navigable waters of the United States for the current and four previous fiscal years , divided by the 5 - year average annual foreign and domestic short tons (100 million) of Chemical and Chemical Products shipped in U.S. waters.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	<=26.6	<=25.9	<=22.8
Actual:	None	None	None	19.7	N/A	N/A

Measure: Five - year average number of oil spills per 100 million short tons shipped						
Description of Measure: This measure is a lagging indicator of Coast Guard Marine Environmental Protection Program impact on the long - term trend of significant oil spills. It is a simple moving average of Coast Guard investigated oil spills greater than 100 gallons discharged into navigable waters of the United States for the current and four previous fiscal years, divided by the 5 - year average annual foreign and domestic short tons (100 million) of Oil and Oil Products shipped in U.S. waters.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	<=13.5	<=13.0	<=12.1
Actual:	None	None	None	12.7	N/A	N/A

Measure: Percent of oil removed or otherwise mitigated as compared to the amount of oil released for reported spills of 100 gallons or more						
Description of Measure: This measure takes into account all methods used to remediate an oil spill from impacting the environment and thus includes the total amount on - board, amount lightered which did not impact the water/environment, the amount that did enter the water/environment, the amount of oil mechanically removed from both the water and shore, dispersed, in situ burned, or evaporated. This is a new measure that will be baselined starting the second quarter of FY 2009 when the mechanisms are in place to properly collect the data. Since collection points for all data sets will not be available until then, the targets for FY 2008 and FY 2009 are estimates only and will be refined once sufficient trend data can be analyzed.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	15%	16%	16%
Actual:	None	None	None	Not Available	N/A	N/A

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Additional Measures

Measure: Marine environmental protection long - term efficiency ratio						
Description of Measure: This measure is the ratio of performance changes to cost changes. A value greater than 1.000 indicates performance efficiency - - that is performance gains more favorable than cost changes. A value of 1.050, for example, would indicate a performance gain of about 5.0% more favorable than cost changes.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	0.97	1.00	1.00
Actual:	None	None	None	1.083	N/A	N/A

Program: Marine Safety						
Performance Goal: Reduce maritime fatalities and injuries on our Nation's oceans and waterways.						
DHS strategic objectives supported and % allocation of activities: 3.4 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$613,843	\$786,051	\$701,389	\$802,423	\$777,609	\$769,833
FTE	5,528	4,012	3,982	3,984	4,189	4,253

Performance Plan Measures

Measure: Five - year average number of commercial mariner deaths and injuries						
Description of Measure: This is a measure of the long - term performance trend of the Coast Guard Marine Safety Program impact on commercial Mariner fatalities and injuries.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	n/a	<=501	<=529	<=520
Actual:	None	None	None	479	N/A	N/A

Measure: Five - year average number of commercial passenger deaths and injuries						
Description of Measure: This is a measure of the long - term performance trend of the Coast Guard Marine Safety Program impact on commercial Passenger fatalities and injuries.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	n/a	<=225	<=251	<=248
Actual:	None	None	None	244	N/A	N/A

Measure: Five - year average number of recreational boating deaths and injuries						
Description of Measure: This is a measure of the long - term performance trend of the Coast Guard Marine Safety Program impact on Recreational Boating fatalities and injuries.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	4,252	<=4,252	<=4,248	<=4,184
Actual:	None	None	None	4,070	N/A	N/A

Additional Measures

Measure: Marine Safety Efficiency Ratio
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Description of Measure: This efficiency measure is an indicator of the relative change in long - term Marine Safety Program performance versus the relative change in long - term average cost. It is the prior period to current period ratio of the 5 - year average annual number of Mariner, Passenger, and Boating Deaths and Injuries divided by the current period to prior period ratio of 5 year operating expense (OE) for the program. A value greater than 1.000 less the average rate of inflation indicates performance efficiency performance gains greater than real cost changes.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	0.98	1.06	1.00	1.00	1.00
Actual:	None	.83	1.03	1.118	N/A	N/A

Measure: Recreational Boating Deaths Injuries						
Description of Measure: This measure is an indicator of Coast Guard Marine Safety Program impact on the annual number of Recreational Boating fatalities and injuries. There is no denominator.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	n/a	n/a	n/a	4,076	4,184	4,184
Actual:	n/a	None	None	3,658	N/A	N/A

Program: Migrant Interdiction						
Performance Goal: Eliminate the flow of undocumented migrants via maritime routes to the United States.						
DHS strategic objectives supported and % allocation of activities: 1.1 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$548,675	\$503,949	\$523,056	\$558,494	\$567,827	\$561,380
FTE	3,065	2,467	2,547	2,630	2,630	2,670

Performance Plan Measures

Measure: Percent of undocumented migrants who attempt to enter the U.S. via maritime routes that are interdicted						
Description of Measure: The Coast Guard has been charged through Executive Orders and Presidential Decision Directive to enforce the Immigration and Nationality Act. Performance is measured by the percent of undocumented migrants of all nationalities who are interdicted while attempting to enter the U.S., its possessions, or territories via maritime routes. The measure is computed by dividing the number of successful landings by the number of migrants who attempt illegal immigration. Subtracting this percentage from 100% gives the migrant interdiction rate. Migrant interdictions and landings are reported by Coast Guard units and other law enforcement agencies.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	67%	65%	69.9%	70.5%
Actual:	None	None	65.2%	62.7%	N/A	N/A

Additional Measures

Measure: Migrant Interdiction rate / Operating Expenses of Migrant Interdiction Program						
Description of Measure: This measure shows the percentage of all nationalities of undocumented migrants who are interdicted by Federal entities while attempting to enter the U.S.						

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via maritime routes per 10 million of program operating expenses as calculated by the Coast Guard's Mission Cost Model. This measure is the percent of all nationalities of undocumented migrants who are interdicted while attempting to enter the U.S. via maritime routes, divided by the operational expense of the program. Migrant interdictions and landings are reported by USCG units other law enforcement agencies. Operational expenses are determined through the Coast Guard's Mission Cost Model. This measure will help gauge program efficiency by comparing aggregate spending to aggregate performance, and is not intended to directly correlate discrete performance against discrete funding levels.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	88%	3.3%	2.4%	2.2%	2.3%	2.2%
		Deterrence Interdiction Rate per 10 million in Program Operating Expenses	Interdiction Rate per 10 million in Program Operating Expenses	Interdiction Rate per 10 million in Program Operating Expenses	Interdiction Rate per 10 million in Program Operating Expenses	Interdiction Rate per 10 million in Program Operating Expenses
Actual:	85.5%	2.5%/ 10M	1.8%	1.70%	N/A	N/A

Program: Other LE (law enforcement)						
Performance Goal: Reduce the number of illegal vessel incursions into the U.S. Exclusive Economic Zone.						
DHS strategic objectives supported and % allocation of activities: 1.1 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$94,642	\$107,742	\$160,408	\$161,263	\$161,363	\$147,637
FTE	445	703	815	827	880	894

Performance Plan Measures

Measure: Number of incursions into the U.S. Exclusive Economic Zone						
Description of Measure: This program's mission is to provide effective and professional at - sea enforcement to advance national goals for the conservation and management of living marine resources (LMR) and their environments. The program has both a maritime security and stewardship nexus. The program's primary focus is to prevent illegal encroachment of the U.S. Exclusive Economic Zone by foreign fishing vessels thereby protecting U.S. sovereignty from foreign fishing encroachment.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	200	199	199	< 195	< 195	< 190
Actual:	171	164	119 incursions	81	N/A	N/A

Additional Measures

Measure: Interdiction rate for foreign fishing vessels that are detected violating the U.S. Exclusive Economic Zone						
Description of Measure: This measure is the percentage of detected illegal foreign fishing vessel incursions into the U.S. Exclusive Economic Zone that are interdicted by the U.S. This						

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measures shows the U.S. Coast Guard's pursuit of enforcement activities (i.e. vessel seizure or demarche) vice simply detecting incursions. As this rate increases, a deterrent effect is expected, along with a reduction in the total number of vessel incursions.

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	11	12	9%	9%	9%	9%
Actual:	None	None	19.2%	16%	N/A	N/A

Measure: Interdiction Rate/Operating Expenses of the Other LE Program						
Description of Measure: This measure shows the rate of Coast Guard - interdicted illegal foreign fishing vessels per 10 million of program operating expenses as calculated by the Coast Guard's Mission Cost Model. "Interdiction rate" is the percentage of time a completed interdiction process results in a successful endgame. A successful endgame includes seizure and/or prosecution, or sufficient documentation of an incursion to allow the vessel's flag state to take action. Operating expenses of the LMR Program are the actual OE expenditures, as calculated through the Coast Guard's Mission Cost model, of the Other LE program.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	0.9% Interdiction Rate per 10 million in Program Operating Expenses	1.1% Interdiction Rate per 10 million in Program Operating Expenses	1.2% Interdiction Rate per 10 million in Program Operating Expenses	1.2% Interdiction Rate per 10 million in Program Operating Expenses	1.2% Interdiction Rate per 10 million in Program Operating Expenses
Actual:	None	1.3% Interdiction Rate per 10 million in Program Operating Expenses	.55%	1.9%	N/A	N/A

Program: Ports, Waterways and Coastal Security (PWCS)						
Performance Goal: Manage terror - related risk in the U.S. Maritime Domain to an acceptable level.						
DHS strategic objectives supported and % allocation of activities: 1.1 - 11%, 1.3 - 1%, 2.1 - 1%, 2.2 - 1%, 2.3 - 1%, 3.1 - 62%, 3.4 - 17%, 4.2 - 6%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$1,625,391	\$1,610,087	\$1,848,870	\$1,988,218	\$2,060,284	\$2,274,312
FTE	12,268	12,906	13,028	13,332	13,494	13,696

Performance Plan Measures

Measure: Critical infrastructure required visit rate						
Description of Measure: This measure is the accomplishment rate of required visits to maritime critical infrastructure.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	100% of	100% of	100% of	100% of	100% of

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		required visits	required visits	required visits	required visits	required visits
Actual:	None	73%	67%	69%	N/A	N/A

Measure: High capacity passenger vessel required escort rate						
Description of Measure: This measure is the accomplishment rate of required escorts of high capacity passenger vessels.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	100% of required escorts	100% of required escorts	100%	100%	100%
Actual:	None	59%	58%	58%	N/A	N/A

Measure: Percent reduction in the maritime terrorism risk over which the U.S. Coast Guard has influence						
Description of Measure: This is a risk - based outcome measure that begins with an assessment (by maritime security representatives) of likely high - consequence maritime terrorist attack scenarios. Threat, vulnerability, and consequence levels are estimated for each scenario, which generates a proxy (index) value of "raw risk" that exists in the maritime domain. Next, Coast Guard interventions (security and response operations, regime and awareness activities) for the fiscal year are scored against the scenarios with regard to the decreases in threat, vulnerability and consequence that each has been estimated to have afforded. (The analysis then focuses on those areas within the Coast Guard's roles and strategic mandates.) The resulting measure is a proxy measure of performance.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	Full implementation of planned activities geared towards lowering the risk due to terrorism in the maritime domain.	14%	15%	15%	21%	28%
Actual:	3.4%	17%	15%	20%	N/A	N/A

Measure: Percent risk reduction for the transfer of a terrorist meta - scenario.						
Description of Measure: This measure is an estimate of the percent of terrorist - related maritime risk reduction in the transfer of a terrorist(s) through the maritime domain (as a percent of the risk that the Coast Guard has the ability to impact). This is a risk - based measure that involves the scoring (by maritime security representatives) with respect to threat, vulnerability and consequence of the transfer of a terrorist(s) into the United States with intent and capability to carry out terror attacks within the United States where vessels en route from foreign countries are						

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used as a means of conveyance. Such scoring generates an index of "raw risk" that exists in the maritime domain. Next, Coast Guard incremental interventions (awareness, operational and regulatory - based) that have taken place throughout the fiscal year are scored with regard to the effectiveness that each has been estimated to have afforded.

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	21%	21%	29%
Actual:	None	None	21%	29%	N/A	N/A

Measure: Percent risk reduction for the transfer of a weapon of mass destruction meta - scenario.

Description of Measure: This measure is an estimate of the percent of terrorist - related maritime risk reduction in the transfer of a Weapon of Mass Destruction (WMD)/ materials into the United States through the maritime domain (as a percent of the risk that the Coast Guard has the ability to impact). This is a risk - based measure that involves the scoring (by maritime security representatives) with respect to threat, vulnerability and consequence of the transfer of a WMD/materials into the United States to support ongoing terrorist operations where vessels en route from foreign countries are used as a means of conveyance. Scoring generates an index of "raw risk" that exists in the maritime domain. Coast Guard incremental interventions (awareness, operational and regulatory - based) that have taken place throughout the fiscal year are scored with regard to the effectiveness that each has been estimated to have afforded.

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	4%	3%	12%
Actual:	None	None	4%	12%	N/A	N/A

Measure: Risk reduction due to consequence management.

Description of Measure: This measure indicates the estimated percent of terrorist - related maritime risk reduction due to consequence management (as a percent of the risk that the Coast Guard has the ability to impact.) This is a risk - based outcome measure that involves the scoring (by maritime security representatives) of likely high - consequence maritime terrorist attack scenarios with respect to threat, vulnerability, and consequence. Scoring generates an index of "raw risk" that exists in the maritime domain. Coast Guard incremental interventions (both operational and regulatory - based) that have occurred throughout the fiscal year are scored against the attack scenarios with regard to the percent decrease in threat, vulnerability and consequence that each has been estimated to have afforded. The resultant measure shows the change in "raw risk" (due, in large part, to things outside of the Coast Guard's ability to control) and the reduction in total risk the Coast Guard estimates that it has affected.

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	4.2%	4.1%	6%	6%	5%
Actual:	None	6%	4.2	5%	N/A	N/A

Additional Measures

Measure: MTSA Annual Required Inspection Rate

Description of Measure: This measure is the percent of required annual MTSA security plan compliance inspections conducted (for inspected vessels only)

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	100%	100%	100%	100%	100%
Actual:	None	100%	100%	100%	N/A	N/A

Measure: Risk Reduction Due to Threat Management

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Description of Measure: Estimated percent of terrorist - related maritime risk reduction due to threat management. (As a percent of the risk that the Coast Guard has the ability to impact.) This is a risk - based outcome measure that involves the scoring (by maritime security representatives) of likely high - consequence maritime terrorist attack scenarios with respect to threat, vulnerability, and consequence. Such scoring generates an index of "raw risk" that exists in the maritime domain. Next, Coast Guard incremental interventions (both operational and regulatory - based) that have taken place throughout the fiscal year are scored against the attack scenarios with regard to the percent decrease in threat, vulnerability and consequence that each has been estimated to have afforded. The resultant measure shows the change in "raw risk" (due, in large part, to things outside of the Coast Guard's ability to control) and the reduction in total risk the Coast Guard estimates that it has affected.

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	3.7%	4.7%	1%	2%	8%
Actual:	None	2%	1.1	DHS needs to delete this measure per various emails	N/A	N/A

Measure: USCG PWCS Program Efficiency (Outcome Performance/Program Cost)

Description of Measure: This measure is the program's annual percent risk reduction outcome performance divided by the program's annual cost. Efficiency is expressed as the annual percent risk reduction per billion.(This measure was baselined in FY 2005)

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	11.2% risk reduction per B	12.1% risk reduction per B	13.0% risk reduction per B	15.9% risk reduction per B	20.1% risk reduction per B
Actual:	None	14.2% risk reduction per B	6.6% risk reduction per Billion	14.9%	N/A	N/A

Program: Search and Rescue (SAR)

Performance Goal: Save people in imminent danger on our Nations oceans and waterways.

DHS strategic objectives supported and % allocation of activities: 4.2 - 100%

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$910,887	\$832,089	\$922,769	\$961,030	\$1,110,923	\$945,620
FTE	4,136	4,652	4,720	4,786	4,781	4,852

Performance Plan Measures

Measure: Percent of people in imminent danger saved in the maritime environment

Description of Measure: The percentage of people who were in imminent danger on the oceans and other waterways, and whose lives were saved by the Coast Guard. The number of lives lost before and after the Coast Guard is notified, and the number of persons missing at the conclusion of search operations are factored into this percentage. Several factors compound the difficulty of

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successful responses, including untimely notification to the USCG of distress, incorrect reporting of the distress site location, severe weather conditions at the distress site, and distance to the scene. The number of lives saved is the best outcome measure for search and rescue because it includes lives lost before and after the USCG is notified and persons missing, thereby encouraging the USCG to invest in supporting systems, like awareness or communication systems and safe boater programs, that increase the possibility that a search and rescue mission will end with lives saved.

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	76%	76%	76%
Actual:	None	None	None	76.8%	N/A	N/A

Additional Measures

Measure: % Lives Saved/Operating Expenses of the SAR Program

Description of Measure: This measure shows the percent of lives saved divided by the operating expenses of the SAR Program. Targets are based on outcome measure targets divided by projected OE funding per the Fiscal Year 2009 - 2014 RAP.

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	.09% lives saved / 1 million	.16% lives saved / 1 million	.15% lives saved / 1 million	.16% lives saved / 1 million	.16% lives saved / 1 million
Actual:	None	.13% lives saved / 1 million	.09% lives saved / 1 million	.12%	N/A	N/A

Measure: Percent of mariners in imminent danger saved.

Description of Measure: The percentage of mariners who were in imminent danger on our Nations oceans and waterways, and whose lives were saved by the Coast Guard. The number of lives lost before and after the Coast Guard is notified is factored into this percentage. Several factors compound the difficulty of successful responses, including untimely notification to the USCG of distress, incorrect reporting of the distress site location, severe weather conditions at the distress site, and distance to the scene. The number of lives saved is the best outcome measure for search and rescue because it includes lives lost both before and after the USCG is notified and persons missing, thereby encouraging the USCG to invest in supporting systems, like awareness or communication systems and safe boater programs, that increase the possibility that a search and rescue mission will end with lives saved.

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	86% lives saved	86%	86%	87%	87%	87%
Actual:	86.10%	85.27%	85.4%	83.5%	N/A	N/A

Measure: Percent of property "in danger of loss" saved.

Description of Measure: Prevent the loss of at least 80% of the property that is at risk of destruction. To calculate this measure we use the equation: $PS / (PL+PS)$ Where: PS = "property saved" and PL = "property lost" as defined and input into the Marine Information for Safety and Law Enforcement (MISLE) database.

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	80%	80%	80%	80%
Actual:	None	None	None	will be	N/A	N/A

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				available FY09		
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Measure: Percent of Search and Rescue assets on scene within two hours.						
Description of Measure: Time on scene is calculated from time of notification of the Coast Guard until the time of arrival on scene of an SRU, based on moderate environmental conditions which allow for operation of the SRUs at their top cruise speeds, and including 30 minutes of preparation time (i.e. a total of 90 minutes from underway to on scene) that provides for underway preparations such as engine warm - ups, completion of underway checklist, risk management checks, and mission planning. The measure is calculated by dividing the number of times any one response unit on a SAR sortie arrives on scene within 90 minutes of notification by the number of times any one response unit on a SAR sortie arrives on scene within 90 minutes of notification plus the number of times anyone response unit on a SAR sortie arrives on scene more than 90 minutes after notification.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	85%	85%	85%	85%
Actual:	None	None	None	will be available FY09	N/A	N/A

Program: Waterways Management: Aids to Navigation						
Performance Goal: Minimize disruptions to the movement of goods and people, while maximizing recreational enjoyment and environmentally sound use of our navigable waters.						
DHS strategic objectives supported and % allocation of activities: 3.4 - 98%, 4.2 - 2%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$1,152,794	\$1,155,749	\$1,141,330	\$1,293,321	\$1,390,450	\$1,452,617
FTE	6,985	7,526	7,621	7,617	7,502	7,615

Performance Plan Measures

Measure: Federal Short - Range Aids to Navigation Availability						
Description of Measure: This measure indicates the hours that short range Aids to Navigation are available. The aid availability rate is based on an international measurement standard established by the International Association of Marine Aids to Navigation and Lighthouse Authorities (IALA) (Recommendation O 130) in December 2004. A short range Aid to Navigation is counted as not being available from the initial time a discrepancy is reported until the time the discrepancy is corrected. Aids to Navigation prevent adverse navigation outcomes that can result in disruptions to maritime commerce.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	97.5	97.5	97.5	97.5
Actual:	None	None	None	98.3%	N/A	N/A

Measure: Five - year average number of Collisions, Allisions, and Groundings (CAG)						
Description of Measure: This measure evaluates the long - term trend of Coast Guard Waterways Management Program in preventing Collisions, Allisions (vessels striking fixed objects), and Groundings three adverse outcomes involving the navigation of commercial vessels that can result in disruptions to maritime commerce. In a generalized sense, collisions tend to be						

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more sensitive to the Marine Transportation Systems component of the Program, allisions to the Bridge Administration component, and groundings to the Navigation Systems component.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	1,831 or fewer	1,748	1,664	<=1,756	<=1,871	<=1,858
Actual:	1825	1,765	1823	1,857	N/A	N/A

Program: Waterways Management: Ice Operations						
Performance Goal: Limit disruption of maritime commerce due to ice.						
DHS strategic objectives supported and % allocation of activities: 1.1 - 57%, 3.4 - 43%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$185,926	\$111,025	\$148,552	\$187,553	\$193,026	\$151,604
FTE	1,149	906	1,111	1,116	1,146	1,164

Performance Plan Measures

Measure: Number of days critical waterways are closed due to ice						
Description of Measure: This measure is an indicator of Coast Guard Icebreaking impact on preventing disruptions to maritime commerce due to ice. The measure tallies the annual number of days critical Great Lakes waterways are closed with the St. Marys River as the reference point. A closure is a period of 24 or more hours during which a waterway is closed by a Vessel Traffic Service or Captain of the Port, or blocked by a beset vessel. Closure day targets are negotiated with Great Lakes Marine Transportation System stakeholders, and are relative to winter severity. Those standards are 2 days in an average winter, and 8 days in a severe winter.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	2(avg), 8 (severe)	2(avg), 8 (severe)	2(avg), 8 (severe)	2(avg), 8 (severe)	2(avg), 8 (severe)	2(avg), 8 (severe)
Actual:	0 Closures	0 Closures	0 closures	0 closure days	N/A	N/A

Department of Homeland Security

United States Secret Service



Fiscal Year 2010

Overview

Congressional Justification

i. Summary of FY 2010 Budget Estimates by Appropriation

**Department of Homeland Security
United States Secret Service**
Summary of FY 2010 Budget Estimates by Appropriation
Total Appropriations
(Dollars in Thousands)

Budget Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Salaries and Expenses	6,528	\$1,426,414	6,736	\$1,408,729	7,055	\$1,481,569	319	\$72,840	3	\$40,000	246	\$36,880
Uniformed Division Modernization	---	---	---	---	---	4,040	---	(4,040)	---	(4,040)	---	---
Acquisition, Construction, Improvements, and Related Expenses	---	4,672	---	4,225	---	3,975	---	(250)	---	---	---	(250)
Mandatory	---	225,145	---	225,000	---	220,000	---	(5,000)	---	---	---	(5,000)
Subtotal, Enacted Appropriations and Budget Estimates	6,528	\$1,656,231	6,736	\$1,637,954	7,055	\$1,709,584	319	\$63,550	3	\$35,960	246	\$31,630
Less: Adjustments for Other Funding Sources:		(26,735)										
Net, Enacted Appropriations and Budget Estimates	6,528	\$1,629,496	6,736	\$1,637,954	7,055	\$1,709,584	319	\$63,550	3	\$35,960	246	\$31,630

Ominibus	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Salaries and Expenses			70	\$87,270								
Acquisition, Construction, Improvements, and Related Expenses			---	12,730								
Total			70	\$100,000								

ii. Homeland and Non-Homeland Allocation

**Department of Homeland Security
United States Secret Service**
Homeland and Non-Homeland Allocation by Appropriation
(Dollars in Thousands)

Budget Activity	2008 Actual						2009 Enacted						2010 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Salaries and Expenses	6,095	\$1,350,964	433	\$75,450	6,528	\$1,426,414	6,308	\$1,317,735	498	\$90,994	6,806	\$1,408,729	6,526	\$1,382,072	529	\$99,497	7,055	\$1,481,569
Uniformed Division Modernization	---	---	---	---	---	---	---	---	---	---	---	---	---	4,040	---	---	---	4,040
Acquisition, Construction, Improvements, and Related Expenses (Rowley Training Center)	---	4,392	---	280	---	4,672	---	3,972	---	253	---	4,225	---	3,751	---	224	---	3,975
Mandatory	---	---	---	225,145	---	225,145	---	---	---	225,000	---	225,000	---	---	---	220,000	---	220,000
Total Direct Appropriations and Budget Estimates	6,095	\$1,355,356	433	\$300,875	6,528	\$1,656,231	6,308	\$1,321,707	498	\$316,247	6,806	\$1,637,954	6,526	\$1,389,863	529	\$319,721	7,055	\$1,709,584

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

**Department of Homeland Security
United States Secret Service**

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2008	At least quarterly	Report – 110-497, Div. E. page 53.	The Secret Service is directed to brief the Committees on Appropriations at least quarterly on its budget execution, specifically detailing any modifications to appropriated program, project and activity levels.	This information is provided to the Department monthly and is then submitted to the Committees on Appropriations.
2008	1-Jan-09	Report – 110-497, Div. E. page 53.	The Secret Service is directed to brief the Committees on Appropriations before January 1, 2009 on the number of agency employees who exceed \$35,000 in annual overtime payments during fiscal year 2008.	This briefing has been completed.
2008	Provide as part of the fiscal year 2009 budget justification	Report – 110-497, Div. E. page 54.	The Secret Service is directed to explain to the Committees on Appropriations as part of its fiscal year 2009 budget justification the allocation of mail screening responsibilities and budgetary resources between the Secret Service and the Executive Office of the President, as detailed in the House report.	An explanation has been provided to the Committees on Appropriations.
2008	Provide as part of the fiscal year 2009 budget justification	Report – 110-497, Div. E. page 54.	The Committees on Appropriations direct the Secret Service to submit a report, developed jointly with the relevant agencies and delivered concurrently with the fiscal year 2009 budget, on the agency’s plan for improving the security and aesthetic conditions of E Street, as detailed in the House report.	The report was submitted to the Committees on Appropriations on May 6, 2008.
2008	Within 90 days of passage of the House Bill on FY 2008 appropriations	Report – 110-497, Div. E. page 54.	The Secret Service is directed to provide a briefing to the Committees on Appropriations on Federal costs incurred by fiscal year since 1997 for all Secret Service-requested helicopter deployments, as detailed in the House report.	Members of the House Appropriations Committee staff were briefed on January 29, 2008. Members of the Senate Appropriations Committee staff were invited to this briefing but chose not to attend.

iv. Schedule of Authorized/Unauthorized Appropriations by PPA

**Department of Homeland Security
United States Secret Service**

Schedule of Authorized/Unauthorized Appropriations by Program/Project/Activity¹
(Dollars in Thousands)

Budget Activity	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2010 Request
	2009	Amount	Amount	Amount
Salaries and Expenses				
- Protection of persons and facilities	N/A	N/A	N/A	\$ 759,561
- Protective intelligence activities	N/A	N/A	N/A	67,824
- National special security event fund	N/A	N/A	N/A	1,000
- Presidential candidate nominee protection	N/A	N/A	N/A	-
- White House mail screening	N/A	N/A	N/A	25,315
- Headquarters, management and administration	N/A	N/A	N/A	221,045
- Rowley training center	N/A	N/A	N/A	54,360
- Domestic field operations	N/A	N/A	N/A	260,892
- International field office administration, operations and training	N/A	N/A	N/A	30,705
- Electronic crimes special agent program and electronic crimes task forces	N/A	N/A	N/A	56,541
- Forensic support and grants to NCMEC	N/A	N/A	N/A	8,366
Total, Salaries and Expenses				\$ 1,485,609
Acquisition, Construction, Improvements, and Related Expenses (Rowley Training Cen	N/A	N/A	N/A	\$ 3,975
Total Direct Authorization/Appropriation				\$ 1,489,584

1/ Authorization Cites

The Secret Service is established in 18 U.S.C. 3056 and 18 U.S.C. 3056A. 18 U.S.C. 1029 and 1030 specifically authorize the Service to investigate offenses under those sections.

Department of Homeland Security

United States Secret Service

Salaries and Expenses



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

UNITED STATES SECRET SERVICE SALARIES AND EXPENSES

I. Appropriation Overview

A. Mission Statement for Salaries and Expenses

The United States Secret Service (USSS) performs two critical homeland security missions: protection and criminal investigations. USSS protects the President and Vice President, their families, visiting heads-of-state/government, and other designated individuals, such as the Secretary of Homeland Security; investigates threats against these protectees; protects the White House, Vice President's Residence, Foreign Missions and other designated buildings within the Washington, DC area; and designs, coordinates, and implements operational security plans for designated National Special Security Events (NSSEs). The USSS investigates violations of laws relating to counterfeiting of obligations and securities of the United States; financial crimes such as access device fraud, financial institution fraud, identity theft, and computer fraud; computer-based attacks on our nation's financial, banking, and telecommunications infrastructure; and provides critical forensic support for associated investigations of cases involving missing and exploited children.

In order to accomplish both its protective and investigative missions, the USSS has offices located throughout the United States and in 22 foreign countries. The Service is requesting that \$1,485,609,000 in discretionary funding be provided to support this dual mission. Included in this budget is funding for 7,055 FTE comprised primarily of special agents, uniformed officers, and support personnel.

B. Budget Activities

Protection

In FY 2008, the Secret Service provided protection to 116 heads of state/government, and 58 spouses, as well as domestic protectees at the 63rd United Nations General Assembly in New York City. The Secret Service continues to constantly adapt security plans to meet the protective needs for the ever-changing number of protectees and to mitigate emerging threats.

In addition, the Secret Service successfully provided protection to protectees during more than 7,535 foreign and domestic travel stops during FY 2008.

Protection of Persons and Facilities - The primary purpose of the Secret Service's domestic protection activity is to protect our nation's leaders. To accomplish this, this program operates to ensure protectees' personal safety, and to protect the buildings and grounds where these individuals reside and work (e.g., the White House Complex and the Vice President's residence). Since the September 11, 2001 attacks, there has been a significant increase in the number of protectees receiving varying levels of protection from the Secret Service. Currently, the Service

provides protection to 32 protectees: 24 permanent protectees are authorized under 18 USC § 3056; 8 provisional protectees are authorized pursuant to Presidential Memoranda. The Secretary of the Department of Homeland Security (DHS) is being protected, and is included in the above totals. Also, the Secretary of the Treasury, on a reimbursable basis is receiving protection. The Service estimates that 7,904,400 hours of protection for persons and facilities will be worked during FY 2010.

Part of the protection of persons and facilities program is the protection of foreign heads-of-state/government visiting the United States. Foreign dignitary protection includes: 1) protection for visiting heads-of-state/government and their spouses, as well as other distinguished visitors to the U.S. as directed by the President; and 2) external security for foreign diplomatic embassies and missions in the Washington, DC area (and other limited areas consistent with statute). The Secret Service provides protection to these individuals and foreign missions by strategically placing human and physical assets (agents, tactical support, technical security, explosives detection and weapons-of-mass destruction detection and countermeasures) at these foreign missions and using these assets during foreign dignitary visits to the United States. All efforts are directed toward ensuring that foreign dignitaries and foreign missions receive the optimal level of protection.

The foreign dignitaries who visit the U.S. often are high-profile individuals and deemed to have medium to high threat levels. Today's environment necessitates the implementation of complex security operations that involve multiple jurisdictions and functions.

The Service has the sole statutory authority to provide a dedicated police presence and response to foreign embassies, chanceries and residences. When a "surge" in protective responsibilities in this area occurs, the Secret Service turns to other entities (i.e., Metropolitan Police Department) for assistance in dealing with such issues as demonstration control. Currently, the Secret Service protects 534 missions located in the Washington, DC area.

Protective Intelligence Activities - The Service's protective intelligence program is responsible for overseeing the investigation and evaluation of all protective intelligence subjects and for the receipt, analysis, and dissemination of all protective intelligence information. This mission is accomplished by the review, coordination, control and referral of information about individuals, groups and activities that pose a potential threat to persons and property protected by the Secret Service.

National Special Security Events (NSSEs) - By statute and Presidential Decision Directive-62 (PDD-62), the Secret Service is designated as the lead agency for designing, coordinating, and implementing operational security plans for NSSEs. As with campaign events, special agents coordinate with the military and federal, state, county, local, and international law enforcement organizations to ensure the success of security operations for NSSEs.

The Secret Service plans and implements security designs for designated NSSEs to ensure the physical protection of the President, the public and other Secret Service protectees who participate in NSSEs.

The events of September 11th, 2001 demonstrated that our adversaries are capable of attacking our nation on a grand scale and employing extensive research and surveillance methodologies,

acquiring substantial skills and instruction, and striking their targets without warning. Funding to protect our leaders and communities is critical.

Presidential Candidate/Nominee Protection – The Secret Service provides protection to major presidential and vice presidential candidates. It also provides protection to their spouses within 120 days of a general presidential election. Protective details are activated only after established criteria are considered. Campaign protection is a mandatory workload increase, and funding is needed for these presidential campaigns three out of every four fiscal years. The Service has no base budget funding for this activity. All campaign funding is non-recurred from the base budget following a presidential campaign and inauguration.

White House Mail Screening - The Secret Service screens White House mail to ensure it is free of harmful toxins or other dangerous materials.

Due to discoveries of anthrax being mailed in letters to political leaders as well as to members of the press, the Secret Service initiated a program to provide additional screening for mail destined for the White House Complex. This program is indicative of the close partnership the Service maintains with the White House regarding the implementation of security measures. Mail is now being delivered to a facility where it is put through a series of tests and is analyzed to ascertain if any chemical, biological, radiological contamination or explosive material is present. Currently, additional shifts are required due to significant increase in mail volume.

Headquarters, Management and Administration: The Headquarters, Management and Administration program develops and administers Secret Service-wide policies, plans, and procedures in budget, finance, accounting, financial systems, statements, and relocation and travel services. It exercises accountability over the collection and disposition of the Secret Service's financial resources and examines and processes documents for payment of contracts, purchase orders, invoices and recurring expenses, including reservations and payments for travel and relocation services. Administration also provides management and program analysis support to all operational and administrative programs involving studies of organizational structuring, workflow efficiencies, and staffing allocations. It maintains organization charts and functional responsibility statements for all Secret Service offices. In addition, it establishes, develops, implements, and manages the strategic planning process for the Secret Service and coordinates Secret Service participation in all DHS and government-wide management improvement and evaluation programs. These tasks serve to assist the Service's leadership in formulating the vision and direction of the Secret Service.

This program also purchases goods via procurement services within the scope of the law and provides value-added procurement solutions to ensure that government assets and resources are managed wisely.

The program promotes fairness, consistency, and efficiency in the utilization of staffing, scheduling, and travel logistics through the Service's Logistics Resource Center. It analyzes staffing needs and travel logistics alternatives to provide for more informed decision-making by balancing cost considerations with operational needs.

The Administrative Operations Division (AOD) plans, develops, and administers policies and procedures, and performs related activities for a variety of real and personal property

management areas in support of the USSS Headquarters and field elements. AOD functions include space and facilities management, personal property and supply management, vehicle fleet management, mail distribution and screening and printing management. AOD acts as the single acquisition agent between the USSS and the General Services Administration (GSA) and the Department of State (DOS) for the acquisition, construction and renovation of USSS owned or leased real property.

In addition, AOD organizes and coordinates facilities and property management support activities in support of the Secret Service's protective activities and designated NSSes; manages and coordinates administrative operations and services functions related to the planning, preparation, establishment, and deactivation of permanent and temporary protective sites; plans, develops, and administers policies and procedures for environmental management, energy conservation and other related programs for the USSS; and provides building maintenance management and general repairs and limited labor services support to all Headquarters offices.

Rowley Training Center - This program encompasses personnel at the Service's James J. Rowley Training Center (JJRTC), including instructors, tactical and weapons systems specialists, curricula design staff, computer and web-based faculty/technicians, executive training advisors, administrative support, and maintenance staff. The Service has a separate appropriation, the Acquisition, Construction, Improvements and Related Expenses account which is used to maintain the facility.

The Service's current Strategic Plan provides the following primary objectives with regard to future mission-driven training protocols:

- Enhance JJRTC to provide an academic environment that promotes in-depth critical thinking and innovative strategies in the areas of physical protection, site event security, threat/risk assessments, protection intelligence/counterterrorism techniques, emergency preparedness, criminal investigations, protection of critical financial infrastructure, and executive/management development.
- Maximize training opportunities by using emerging technologies, such as 3-D modeling, computer-generated simulation training, and distance learning.
- Develop and implement training programs consistent with the Secret Service's core mission for federal, state, and local law enforcement partners in the areas of electronic crimes, counterterrorism/protection, cyber/counterfeit investigations, threat/risk assessment, and operational security for National Special Security Events.
- Establish partnerships with academic institutions and professional associations to assess, confirm, and ensure innovative training methodologies.

The Rowley Training Center supports both protection and criminal investigation missions, the two critical homeland security missions mandated for the Secret Service.

Domestic Field Operations - In order to accomplish its investigative responsibilities, the Secret Service maintains a network of 142 field offices nationwide. Agents assigned to these domestic offices are responsible for investigating violations of laws relating to counterfeiting of

obligations and securities of the United States (currency, treasury checks, etc.), and to financial crimes that include, but are not limited to, access device fraud, financial institution fraud, identity theft, computer fraud, as well as investigating computer-based attacks on our nation's financial, banking, and telecommunications infrastructure.

International Field Administration and Operations - The Secret Service maintains a total of 22 foreign field offices and one domicile office in 18 countries. Similar to their domestic counterparts, agents assigned to these offices are responsible for investigating violations of criminal statutes falling under the Secret Service's investigative mission. Because they do not have arrest authority, agents liaise with their foreign law enforcement counterparts in order to meet their investigative responsibilities. Additionally, these agents augment any protective mission falling within their geographic area of responsibility. Relationships established in foreign countries from conducting criminal investigations greatly enhance the Secret Service's ability to provide a safe and secure environment for the people it protects while they travel overseas.

Electronic Crimes Special Agent Program (ECSAP) and Electronic Crimes Task Forces (ECTF) - In response to the emerging trends involving the use of computers and their peripheral devices, the Secret Service established the Electronic Crimes Special Agent Program, or ECSAP. Special Agents involved with the ECSAP are computer investigative specialists, qualified to conduct examinations on many types of electronic evidence, including computers, personal data assistants, telecommunications devices, electronic organizers, and other electronic media. Currently, more than 1,200 special agents have received at least one of the three levels of ECSAP training.

In addition to the ECSAP, the Secret Service has established a domestic network of 24 Electronic Crimes Task Forces (ECTFs). The concept of the ECTF model is truly unique since it brings together not only federal, state and local law enforcement officials from a specific region, but also prosecutors, as well as individuals from private industry and academia. These task forces provide a productive framework and collaborative crime-fighting environment in which the resources of its participants are combined to effectively and efficiently make a significant impact in preventing and detecting electronic crimes.

Support for Missing and Exploited Children – Funding for missing and exploited children includes a \$6,000,000 grant and \$2,366,000 for Secret Service forensic and related support of investigations involving missing and exploited children.

C. Budget Request Summary

The U.S. Secret Service requests 7,057 positions, 7,055 FTE, and \$1,485,609,000 for FY 2010; an increase of \$76,880,000 and 249 FTE from the FY 2009 enacted budget. This level of funding is required for and includes the following:

- Additional program increases for information integration and transformation (\$33,960,000, 3 FTE), cyber infrastructure protection (\$2,000,000) and protective countermeasures (\$4,040,000).

- Adjustments to the base include increases for 2nd year funding for positions to be hired in FY 2009 (\$883,000, 33 FTE), 2nd year funding for the positions to be hired in FY 2009 (\$40,000,000, 213 FTE) via Omnibus (P.L. 111-8), expected cost increases (\$33,679,000), and decreases for non-recurred funding for White House mail facility equipment (-\$11,600,000), and the 2008 Presidential Campaign (-\$26,082,000).

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
United States Secret Service
Salaries and Expenses**

Summary of FY 2010 Budget Estimates by Program/Project/Activity
(Dollars in Thousands)

Program/Project/Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Protection of persons and facilities	3,348	\$706,598	3,546	\$705,918	3,800	\$759,562	199	\$53,643		\$4,040	199	\$49,603
National special security events		1,000		1,000		1,000						
Presidential candidate nominee protection	375	112,416	120	41,082			(120)	(41,082)			(120)	(41,082)
Protective intelligence activities	463	53,104	476	59,761	535	67,824	44	8,063			44	8,063
White House mail screening		16,252		33,701		25,315		(8,386)				(8,386)
Headquarters, management and administration	340	180,895	328	182,104	331	221,045	3	38,941	3	33,960		4,981
Rowley training center	272	54,349	273	53,189	273	54,360		1,171				1,171
Domestic field operations	1,358	223,371	1,597	241,772	1,705	260,892	108	19,120			108	19,120
International field office administration, operations and training	76	26,364	73	30,000	74	30,705	1	705			1	705
Electronic crimes special agent program and electronic crimes task forces	276	43,961	303	51,836	317	56,541	14	4,705		2,000	14	2,705
Support for missing and exploited children	20	8,104	20	8,366	20	8,366						
Subtotal, Enacted Appropriations and Budget Estimates	6,528	\$1,426,414	6,736	\$1,408,729	7,055	\$1,485,609	249	\$76,880	3	\$40,000	246	\$36,881
Less: Adjustments for Other Funding Sources:		(\$27,143)										
Net, Enacted Appropriations and Budget Estimates	6,528	\$1,399,271	6,736	\$1,408,729	7,055	\$1,485,609	249	\$76,880	3	\$40,000	246	\$36,881

Ominbus	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Salaries and Expenses			70	\$87,270								
Total				\$87,270								

II. Summary of FY 2009 Budget Estimates by Program/Project Activity (PPA) (Mandatory)

**Department of Homeland Security
United States Secret Service
Salaries and Expenses - Mandatory**

Summary of FY 2010 Budget Estimates by Program/Project/Activity
(Dollars in Thousands)

Program/Project/Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Subtotal, Enacted Appropriations and Budget Estimate	-	\$225,145	-	\$225,000	-	\$220,000	-	(\$5,000)	-	-	-	(\$5,000)
Less: Adjustments for Other Funding Sources:	-	1,355	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates	-	\$226,500	-	\$225,000	-	\$220,000	-	(\$5,000)	-	-	-	(\$5,000)

III. Current Services Program Description by PPA

Department of Homeland Security
United States Secret Service
Salaries and Expenses
Program Performance Justification
(Dollars in thousands)

PROTECTION

	Perm Pos.	FTE	Amount
2008 Actual	4,240	4,186	\$889,370
2009 Enacted	4,172	4,212	\$841,462
Non-Recur	0	0	(\$11,600)
2010 Adjustments-to-Base	283	243	\$60,880
Campaign Labor Adjustment	(120)	(120)	(\$15,000)
Current Services Adjustment	0	0	(\$26,082)
2010 Current Services	4,335	4,335	\$849,660
2010 Program Change	0	0	\$4,040
2010 Request	4,335	4,335	\$853,700
Total Change 2009-2010	163	123	\$12,238

*The table above excludes FY 2009 Omnibus funding of \$100 million provided in P.L. 111-8. USSS requests \$853.7 million and 4,335 FTE for this activity. This is an increase of \$12.2 million from the FY 2009 enacted budget.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Service is authorized by law to protect:

- 1) The President, the Vice President, (or other individuals next in order of succession to the Office of the President), the President-elect and Vice President-elect;
- 2) The immediate families of the above individuals;
- 3) Former Presidents and their spouses for their lifetimes, except when the spouse remarries; (In 1997, legislation was passed limiting Secret Service protection to former Presidents for a period of not more than 10 years from the date the former President leaves office and applies to all former Presidents after President Clinton.) and former Vice Presidents for up to 6 months after term expiration;
- 4) Children of former presidents until age 16;
- 5) Visiting heads-of-state/government and their spouses traveling with them, other distinguished foreign visitors to the United States, and official representatives of the United States performing special missions abroad; and
- 6) Major Presidential and Vice Presidential candidates. Protection is also provided for their spouses within 120 days of a general presidential election.

The functional organization of the Secret Service accommodates its dual mission; permanent protective details dedicated to protection, as well as a worldwide network of field offices to carry out their investigative responsibilities. However, these field offices are not only responsible for investigations but also routinely provide agents to support the protective mission. That is, agents assigned to these offices spend significant time traveling away from their field office augmenting the Secret Service's permanent and temporary protective details. This is a very efficient way to provide protection, as it allows for additional resources when protective mission requirements demand them. Also, agents trained to be good investigators come with these skills when doing protection which is important to the success of the protection mission.

The Secret Service provides protection in two ways; one for permanent protectees and the other for temporary protectees. Permanent protectees, such as the President and the First Lady, have details of special agents assigned to them with additional support, as needed, from field special agents. Temporary protectees, such as candidates and foreign dignitaries, have details of special agents on temporary assignment from Secret Service field offices. The Secret Service does not discuss methods or means in any detail; however, generally speaking, an advance team surveys each site to be visited. From these surveys, the team members determine staffing, equipment requirements, and the location of hospitals and evacuation routes for emergencies. Fire, rescue, and other public service personnel in the community are alerted. A command post is established with full communications facilities. The assistance of the military, federal, state, county, and local law enforcement organizations is a vital part of the entire security operation.

Before the protectee's arrival, the lead advance agent coordinates the security planning with all law enforcement representatives participating in the visit. Personnel are posted and are alerted to specific problems associated with the visit. Intelligence information is discussed, identification specified, and emergency options outlined. Prior to the arrival of the protectee, checkpoints are established and access to the secured area is limited.

PPA: Protection of Persons and Facilities

	Perm Pos.	FTE	Amount
2008 Actual	3,514	3,348	\$706,598
2009 Enacted	3,800	3,601	\$705,918
2010 Adjustments-to-Base	0	199	\$49,603
2010 Current Services	3,800	3,800	\$755,522
2010 Program Change	0	0	\$4,040
2010 Request	3,800	3,800	\$759,561
Total Change 2009-2010	0	199	\$53,644

*The table above excludes Omnibus funding of \$100 million provided in P.L. 111-8. The Secret Service requests \$759.6 million and 3,800 FTE for this activity. This is an increase of \$53.6 million to the FY 2009 enacted budget. This includes adjustments to the base of \$49.6 million for position annualization, other cost increases and a program change of \$4 million to fund Uniformed Division modernization efforts.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Secret Service secures the physical safety of the President, Vice President, their families, and other individuals as designated by statute, and of facilities under Secret Service protection from all threats. The Service also secures the physical safety of visiting heads-of-state/government, and their spouses, and other distinguished visitors to the United States as directed by the President. In addition, USSS provides external security to foreign diplomatic embassies and missions in the Washington, DC area (and other limited areas, consistent with statute).

In order to protect our nation's leaders, the Secret Service operates to ensure protectees' physical safety and to protect the buildings and grounds where they reside and work. The requested amount addresses the strategic challenges facing the Service including terrorists' sustained motivation to attack U.S. interests (including its leaders) and the increasing technological sophistication of the threat environment.

Uniformed Division

The USSS Uniformed Division (UD) began as the White House Police, and was originally created as a separate and distinct organization by Public Law 67-300, approved September 14, 1922. The White House Police came under the direct supervision of USSS in 1930. The mandate of the White House Police, incorporated in Title 3 of the U.S. Code, involves duties in connection with the protection of the Executive Mansion and grounds in the District of Columbia; any building in which White House offices are located; and the President and members of his immediate family.

The members of the UD assigned to the White House Branch perform many functions that thrust them into the public light. These officers process thousands of staff members, other workers, members of the press and those individuals with appointments into the White House Complex on a daily basis. Officers assigned to this Branch provide protection to the White House Complex through the effective use of fixed posts, foot beats, bicycle patrols and police cruisers. Technicians assigned to the Counter Sniper Unit, Canine Unit and the Emergency Response Team also provide their expertise to our mission on a daily basis in and around the White House Complex. The Special Operations Section of the UD is an additional unit responsible for tours of the White House Mansion and for the coordination of special events such as the Easter Egg Roll, Presidential Receptions, and Inaugural events. The White House Vehicle Inspection Team and the Counter Surveillance Unit also help achieve the UD goal of providing a safe and protected environment.

The Uniformed Division provides a safe and secure environment for the President, his immediate family, the Vice President, their staff members and myriad other White House employees that work there each day. In addition to these responsibilities, personnel assigned to the White House Branch perform similar functions at the Treasury Building, the New Executive Office Building, the Eisenhower Executive Office Building, and other locations which house Presidential Offices. In addition to the White House Branch, other publicly visible components of the UD are the Naval Observatory Branch and Foreign Missions Branch.

Significant accomplishments in FY 2008 included the following:

- Provided protection to protectees while they made over 7,535 domestic and foreign travel stops.

- Provided protection to 116 foreign heads-of-state/government at the 63rd United Nations General Assembly.
- Completed the design, planning, and construction of the Joint Operations Center (JOC), relocated to USSS Headquarters.

Significant accomplishments in FY 2009 include the following:

- Continue to provide protection to protectees while they make domestic and foreign stops.
- Provide protection to foreign heads-of-state/government at the 64th United Nations General Assembly.
- Open operations at the newly relocated JOC in August 2009.
- Continue to implement operational security for designated NSSEs.

Significant planned accomplishments in FY 2010 include the following:

- Continue to provide protection for the President and Vice President, their families, visiting heads-of-state/governments, other designated individuals, the White House and other buildings within the Washington, DC area.
- Continue to implement operational security for designated NSSEs.

PPA: Protective Intelligence Activities

	Perm		
	Pos.	FTE	Amount
2008 Actual	476	463	\$53,104
2009 Enacted	535	491	59,761
2010 Adjustments-to-Base	0	44	8,063
2010 Current Services	535	535	\$67,824
2010 Program Change	0	0	\$0
2010 Request	535	535	\$67,824
Total Change 2009-2010	0	44	\$8,063

*The table above excludes Omnibus funding of \$100 million provided in P.L. 111-8. The Secret Service requests \$67.8 million and 535 FTE for this activity. This is an increase of \$8.1 million to the FY 2009 enacted budget. Adjustments to the base include position annualization and other cost increases.

CURRENT SERVICES PROGRAM DESCRIPTION:

Subjects (individuals and groups) and activities that pose threats to protectees and protected events are investigated. The Secret Service analyzes threats, investigates threats, and conducts intelligence advances in order to minimize the risk of harm to protected persons, property, and events. The requested amount funds these activities in a strategic environment characterized by terrorists' sustained motivation to attack these targets, and by the increasingly technological sophistication of the threat environment.

PPA: National Special Security Events

	Perm Pos.	FTE	Amount
2008 Actual	0	0	\$1,000
2009 Enacted	0	0	\$1,000
2010 Adjustments-to-Base	0	0	\$0
2010 Current Services	0	0	\$1,000
2010 Program Change	0	0	\$0
2010 Request	0	0	\$1,000
Total Change 2009-2010			

The Secret Service requests continued funding of \$1 million for this activity.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Secret Service plans and implements security designs for designated National Special Security Events (NSSEs). In addition, the Secret Service ensures the physical protection of the President, the public, and other Service protectees who participate in NSSEs.

Security at NSSEs is strategically crucial to homeland security in that NSSEs, by definition, involve persons, institutions, and landmarks that are integral to the governance of the nation, vital to national and/or global economic stability, or symbolically important to American citizens. The requested amount provides funding for the design, planning, and implementation of operational security plans for NSSEs.

PPA: Presidential Candidate/Nominee Protection

	Perm Pos.	FTE	Amount
2008 Actual	250	375	\$112,416
2009 Enacted	120	120	\$41,082
Non-Recur (2008 Campaign)	0	0	(\$26,082)
Campaign Labor Adjustment	(120)	(120)	(\$15,000)
2010 Current Services	\$0	\$0	\$0
2010 Program Change	0	0	\$0
2010 Request	\$0	\$0	\$0
Total Change 2009-2010	(120)	(120)	(\$41,082)

The Secret Service requests \$0 for FY 2010. This is a decrease of \$41.1 million from the FY 2009 enacted budget. \$26.1 million is non-recurred from the base budget for the 2008 Presidential Campaign. In addition, this request shifts \$15 million and 120 FTE to the investigative activity as no staffing requirements remain in FY 2010 for presidential candidate/nominee protection.

CURRENT SERVICES PROGRAM DESCRIPTION:

In FY 2007, equipment required for candidate protective details was purchased, the Secret Service began to shift required staffing resources, and candidate/nominee protection began for the 2008 Presidential Campaign. Secret Service personnel traveled to Washington, DC to receive candidate/nominee protective detail and operations training needed to mitigate myriad threats. The Service sent instructors to regional training centers to provide protective detail support training. The Service also trained 2,000 Transportation Security Administration and Immigration and Customs Enforcement agents to assist with campaign protection support.

Significant accomplishments in FY 2008 included the following:

- Began candidate/nominee protection earlier than for any previous presidential campaign.
- Provided protection to qualifying presidential candidates/nominees, their spouses, and children.
- Provided security at the major political conventions and debates.
- Screened over 1,785,000 people through magnetometers at political events and conventions.
- Provided security for over 1,600 campaign trips encompassing more than 5,900 sites.

Significant planned accomplishments in FY 2009 include the following:

- Provided protection of candidates/nominees, spouses and children during the final portion of campaigning.
- Provided protection of the post-election President and Vice President-elect along with security for the Inaugural events.

PPA: White House Mail Screening

	Perm		
	Pos.	FTE	Amount
2008 Actual	0	0	\$16,252
2009 Enacted	0	0	\$33,701
2010 Adjustments-to-Base	0	0	\$3,214
Non-Recur	0	0	(\$11,600)
2010 Current Services	0	0	\$25,315
2010 Program Change	0	0	\$0
2010 Request	0	0	\$25,315
Total Change 2009-2010	0	0	(\$8,386)

The Secret Service requests \$25.3 million for FY 2010. This is a decrease of \$8.4 million from the FY 2009 enacted budget. Adjustments to the base include a \$3.2 million increase for GSA rent and a decrease of \$11.6 million for non-recurred funding for White House mail facility equipment.

CURRENT SERVICES PROGRAM DESCRIPTION:

Due to the heightened potential of biological and chemical threats, the Secret Service implemented a security program to screen all incoming mail, equipment, supplies, and agricultural products destined for the White House Complex. The goal of this security enhancement is to identify lethal threats at a remote location away from the White House Complex, and contain, mitigate, and investigate any vulnerability posed by these threats.

At the present time, the Secret Service is utilizing temporary facilities and personnel provided by the U.S. Army to assist in the screening. Once the mail and other items are transported to the screening facility by the Executive Office of the President (EOP), security personnel and technical specialists at the facility utilize strict protocols to sample the mail for contamination and monitor the environment for potentially hazardous substances. Any items containing unknown substances are subjected to analysis at an on-site laboratory and are quarantined at the facility until any potential hazards have been positively identified and subjected to appropriate mitigation procedures. Following a determination that the screened items pose no security risks to the White House Complex and Secret Service protectees, they are released to the EOP for administrative processing and distribution.

The Secret Service and GSA have received funding to design and construct a permanent White House Mail facility. In March of 2008, the groundbreaking ceremony for this facility was held to mark the commencement of construction on the new facility. The Secret Service continues to work with GSA, the design-build construction team, and numerous technical experts to ensure that the new building meets all safety and operational requirements.

Significant accomplishments in FY 2008 included the following:

- Held periodic construction coordination and design meetings with Balfour Beatty Construction, GSA, Edgewood Chemical Biological Center, and technical consultants.
- Broke ground for the new White House mail facility on March 14, 2008.
- Developed personnel requirements for facility management staff and identified critical knowledge, skills, and abilities for each position.
- Under the oversight of the Secret Service and GSA, contractors completed the underground support structure, installed underground piping and electrical services, and poured the majority of the first floor concrete for the new facility.

Significant planned accomplishments in FY 2009 include the following:

- Complete construction of building's structural components and install the building's primary electrical and mechanical systems.
- Procure all government-furnished, contractor-installed equipment.
- Install and perform on-site checks of nuclear, biological, chemical (NBC) filtration units and screening systems.
- Procure chemical, biological, radiological, nuclear and explosives (CBRNE) detection equipment.
- Procure laboratory equipment.
- Perform an assessment of incident response capabilities, develop incident response agreements, and devise facility internal incident response procedures.
- Develop facility standard operating procedures.

- Develop interagency agreements for secondary support (i.e., mask fit testing, waste disposal, second-tier laboratory support, etc.).
- Develop a materials tracking system for facility waste to meet local environmental standards.

Significant planned accomplishments in FY 2010 include the following:

- Complete building commissioning and system checkouts.
- Certify all chemical and biological processing fume hoods.
- Install CBRNE detection equipment and verify operations.
- Install laboratory analysis equipment and develop laboratory protocols.
- Implement a materials tracking system.
- Finalize interagency agreements/contracts for secondary support.
- Develop incident response agreements and conduct facility incident response exercises.
- Validate and finalize facility operating procedures.
- Transition operations from the temporary location to the new facility.

ADMINISTRATION

PPA: Headquarters, Management and Administration

	Perm		
	Pos.	FTE	Amount
2008 Actual	328	340	\$180,895
2009 Enacted	328	328	\$182,104
2010 Adjustments-to-Base	0	0	\$4,981
2010 Current Services	328	328	\$187,085
2010 Program Changes	5	3	\$33,960
2010 Request	333	331	\$221,045
Total Change 2009-2010	5	3	\$38,941

USSS requests \$221 million and 331 FTE for this activity. This is an increase of \$38.9 million to the FY 2009 enacted budget. This includes adjustments to the base of \$5 million for position annualization and other cost increases. Program changes include an additional \$33.96 million and 3 FTE to fund information integration and transformation initiatives.

CURRENT SERVICES PROGRAM DESCRIPTION:

Administration is responsible for:

- (1) Tracking, monitoring, executing, and reporting the financial activities of the Secret Service;
- (2) Improving the efficiency and productivity of personnel;
- (3) Conducting analyses of program objectives and strategies to examine operational and cost factors impacting the continued viability of ongoing activities and the feasibility of proposed initiatives;
- (4) Procuring quality goods and services in a timely fashion; and

- (5) Administering the design, construction, acquisition, assignment, maintenance, and disposal of Service properties.

Administrative Operations Division (AOD):

The AOD plans, develops and administers policies and procedures and performs related activities for a variety of real and personal property management areas in support of the USSS Headquarters and field offices.

AOD functions include Protective and Investigative Facilities Management; JJRTC Facilities Management; Mail and Print Operations Management; Property Management; Warehouse and Disposal Management; Fleet Management; and Financial Programs Management.

AOD acts as the primary acquisition agent between the Secret Service and GSA; Department of State; the U.S. Army Corps of Engineers and other Federal Government and Department of Defense organizations for the acquisition, construction and renovation of Secret Service owned or leased real property.

AOD organizes and coordinates facilities and property management activities in support of the Secret Service's protective missions as well as designated NSSEs; and manages and coordinates administrative operations and services functions related to the planning, preparation, establishment, and deactivation of permanent and temporary protective sites. AOD provides building maintenance management, general repairs, engineering, architectural and design services, as well as labor services in support of all USSS Memorial Headquarters Directorates and Divisions.

Significant accomplishments in FY 2008 included the following:

- Opened new office in Beijing, China.
- Performed scheduled and necessary upgrades to USSS Headquarters building.
- Completed the Annual Physical Inventory within the prescribed timeframe of three months.
- Initiated preparation and delivery of operational support and resources for Campaign 2008 and required facility infrastructure in Colorado and Minnesota through coordination with GSA, United States Navy, United States Air Force, and United States Postal Service..
- Supported the preparation and support of security for campaign protectees' residences.
- Coordinated safe mail screening program for USSS Headquarters' and key protectees.

Significant planned accomplishments in FY 2009 include the following:

- Continue division support for the close-out of Campaign 2008 and UN General Assembly (UNGA-63) major event support sites.
- Establish and close out residence Command Posts for selected protectees impacted by the transition of the Administrations.
- Initiate site preparation and provide operational support resources for the Inauguration and G-20 Economic Summit major event support site

- Support the transition site renovations for Former President Bush and Former Vice President Cheney sites, as well as the close-out of residential security sites for campaign candidates Senator McCain and Governor Palin.

Significant planned accomplishments in FY 2010 include the following:

- Initiate planning and preparation to provide major event infrastructure support for the next annual UN General Assembly (UNGA-64) and other events as announced.

Enterprise Financial Systems Division (EFS):

The Enterprise Financial Systems (EFS) Division is responsible for systems development in specific business areas including core financial accounting and reporting; travel and relocation management; property management; and procurement management. EFS develops appropriate interfaces between these and other administrative systems, as EFS supports system users through training, communications, user procedures, and technical support services.

Significant accomplishments in FY 2008 included the following:

- Provided system support for closing the financial books within required DHS timeframes.
- Provided 100% system availability during the Democratic and Republican National Conventions and the United Nations General Assembly #63.
- Improved customer satisfaction by improving system integration, streamlining business processes.

Significant planned accomplishments in FY 2009 include the following:

- Support the implementation of a web-based time and labor distribution system.

Significant planned accomplishments in FY 2010 include the following:

- Provide the infrastructure to integrate time and labor with the enterprise financial application. This will support the improved financial reporting required by Congress, the Office of Management and Budget and the Secret Service.

Management and Organization Division (MNO)

MNO continued to actively participate in DHS planning and performance measurement processes, including (DHS) Strategic Plan revision, Risk Steering Committee Tier III (and associated working group) meetings, Performance Improvement Officer Council meetings, and the Performance Team working group and associated activities. MNO continued to coordinate Secret Service submission of timely responses to quarterly reporting requirements for the President's Management Agenda (PMA), and facilitated the Service's achievement of scores above the DHS average throughout FY 2008. MNO contributed to managing organizational change initiatives by continuously monitoring and coordinating the regular update and publication of official Secret Service policy directives.

Significant accomplishments in FY 2008 include the following:

- Designed and completed a Gap Analysis of the Secret Service's five major lines of business, which identified the current state of operations, the desired future state, and the gaps that need to be filled in order to achieve the desired future state. This tool will serve as a key factor in identifying the priorities for future budget requests.
- Actively participated in working groups of the DHS Risk Steering Committee.
- Conducted comprehensive reviews and updates of policy and procedure to fulfill external accreditation requirements. Success of these efforts contributed to renewal of accreditation of Forensic Services Division laboratory facilities by the American Society of Crime Lab Directors (ASCLD); and reaccreditation of the Rowley Training Center by the Federal Law Enforcement Training Accreditation (FLETA) organization.
- Improved accessibility of forms by converting them to a format available to all USSS employees via the Secret Service intranet.
- Completed an assessment of records storage capabilities to maintain federally-mandated records storage protocols.

Significant planned accomplishments in FY 2009 include the following:

- Continue to refine the conceptual framework, formal process, and required resources for conducting meaningful program evaluations.
- Implement and institutionalize a new process for developing a Secret Service Concept of Operations (CONOPS), integral to the strategic planning process.
- Reconfigure MNO's current process for data transfer between Secret Service IT systems, in order to realize increased efficiency and substantial cost savings.
- Continue to participate in the activities of the DHS Risk Steering Committee, including development of the DHS Risk Assessment Process for Informed Decision-making (RAPID) tool.
- Modify hard copy distribution protocols for agency directives and forms, and greater reliance on intranet-based libraries, in order to achieve greater efficiency in printing and reproduction.
- Take steps to ensure Records Management in the Secret Service is understood and tools are in place to facilitate effective and efficient records management, in order to pave the way for deployment of an Enterprise Records Management System (ERMS) to help manage records electronically.

TRAINING

PPA: Rowley Training Center

	Perm Pos.	FTE	Amount
2008 Actual	273	272	\$54,349
2009 Enacted	273	272	\$53,189
2010 Adjustments-to-Base	0	0	\$1,171
2010 Current Services	273	273	\$54,360
2010 Program Change	0	0	\$0
2010 Request	273	273	\$54,360
Total Change 2009-2010	0	0	\$1,171

*The table above excludes Omnibus funding of \$100 million provided in P.L. 111-8. The Secret Service requests \$54.4 million and 273 FTE for this activity. This is an increase of \$1.2 million from the FY 2009 enacted budget. Adjustments to the base include position annualization and other cost increases.

CURRENT SERVICES PROGRAM DESCRIPTION:

The James J. Rowley Training Center (JJRTC) is responsible for:

- (1) Developing, administering, and coordinating training programs for Secret Service employees, and for other federal law enforcement agencies and law enforcement officials from various state and local police departments;
- (2) Providing all basic, in-service, and specialized skills training for special agents, Uniformed Division officers, special officers and other professional personnel;
- (3) Providing training for the executive, managerial, supervisory, administrative support, cyber/IT solutions, and foreign language needs for all Secret Service components;
- (4) Providing specialized operational training for the Service's tactical elements (counter-assault, counter-sniper, and emergency response teams), which include the core components of the protective methodology;
- (5) Evaluating, selecting, and training all Secret Service explosive detection canines/tactical canines;
- (6) Administering and coordinating fitness, control tactics, vehicle operation training, emergency medicine, and water safety programs;
- (7) Conducting research and testing of munitions, and related equipment technology; and
- (8) Administering the acquisition, storage, maintenance, and issuance of firearms, operational weapons and ammunition to all Secret Service personnel.

Significant accomplishments in FY 2008 included the following:

- Provided all basic, in-service, and specialized skills training for special agents, Uniformed Division officers, special officers and other professional personnel.
- Provided training for the executive, managerial, supervisory, administrative support, cyber/IT solutions, and foreign language needs for all Secret Service components.
- Provided training for in-service personnel in preparation for the 2008 Presidential Campaign.

Significant planned accomplishments in FY 2009 include the following:

- Continue to provide all basic and in-service training and specialized operational skills training for special agents, Uniformed Division officers, special officers, and other professional personnel.
- Continue to provide training for executive, supervisory, administrative, cyber/IT solutions, and foreign language training for all Service components.
- Substantially increase in-service training to Secret Service Field Offices on a regional basis. This initiative will provide a substantial increase in the number of available training opportunities to Secret Service employees and allow for enhanced training with other local, state and federal law enforcement agencies.

Significant planned accomplishments in FY 2010 include the following:

- Continue to provide all basic and in-service training and specialized operational skills training for special agents, Uniformed Division officers, special officers, and other professional personnel.
- Continue to provide training for executive, supervisory, administrative, cyber/IT solutions, and foreign language training for all Service components.
- Substantially increase in-service training to Secret Service Field Offices on a regional basis. This initiative will provide a substantial increase in the number available training opportunities to Secret Service employees and allow for enhanced training with other local, state and federal law enforcement agencies.

INVESTIGATIONS

	Perm Pos.	FTE	Amount
2008 Actual	1,859	1,730	\$301,800
2009 Enacted	1,996	1,993	\$331,974
2010 Adjustments-to-Base	0	3	\$7,530
Campaign Labor Adjustment	120	120	\$15,000
2010 Current Services	2,116	2,116	\$354,504
2010 Program Change	0	0	\$2,000
2010 Request	2,116	2,116	\$356,504
Total Change 2009-2010	120	123	\$24,530

USSS requests \$356.5 million and 2,116 FTE for this activity. This is an increase of \$24.5 million from the FY 2009 enacted budget.

CURRENT SERVICES PROGRAM DESCRIPTION:

The functional organization of the Secret Service accommodates its dual mission; permanent protective details dedicated to protection, as well as a worldwide network of field offices to carry out the investigative responsibilities. However, these field offices are not only responsible for investigations but also routinely provide agents to support the protective mission. That is,

agents assigned to these offices spend significant time traveling away from their field office augmenting the Secret Service's permanent and temporary protective details. This is a very efficient way to provide protection as it allows for additional resources when protective mission requirements demand them. Also, agents trained to be good investigators come with these skills when doing protection which is important to the success of the protection mission.

The Secret Service is mandated by statute and executive order to carry out criminal investigations. The Secret Service was established as a law enforcement agency in 1865, with an original mandate to investigate the counterfeiting of U.S. currency. This activity:

- (1) Exercises broad investigative jurisdiction over a wide variety of financial crimes;
- (2) Has a long history of protecting American consumers and industry from financial fraud;
- (3) Has primary authority for the investigation of access device fraud, including credit and debit card fraud, and parallel authority with other law enforcement agencies in identity crime cases.
- (4) Has experienced an expansion of its investigative mission since the early 1990s to include concurrent jurisdiction with the United States Department of Justice (DOJ) for financial institution fraud; and
- (5) Has assumed additional responsibilities relative to computer crime as the Internet and use of personal computers became mainstream, and economies of scale made this technology affordable to even the most common criminals.

The combination of the information revolution and the effects of globalization have caused the investigative mission of the Secret Service to change dramatically. As a result, the Secret Service has evolved into an agency that is recognized worldwide for its expertise in investigating all types of financial crimes; and its efforts to detect, investigate and prevent financial crimes are aggressive, innovative, and comprehensive.

PPA: Domestic Field Office Operations

	Perm <u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actual	1,480	1,358	\$223,371
2009 Enacted	1,597	1,597	\$241,772
Campaign Labor Adjustment	108	108	\$13,500
2010 Adjustments-to-Base	<u>0</u>	<u>0</u>	<u>\$5,620</u>
2010 Current Services	1,705	1,705	\$260,892
2010 Program Change	<u>0</u>	<u>0</u>	<u>\$0</u>
2010 Request	1,705	1,705	\$260,892
Total Change 2009-2010	108	108	\$19,120

The Secret Service requests \$260.9 million and 1,705 FTE for this activity. This is an increase of \$19.1 million from the FY 2009 enacted budget. Adjustments to the base include position annualization and cost increases. \$13.5 million and 108 FTE are reallocated to this program from Presidential Candidate/Nominee Protection for the 2008 Presidential Campaign.

CURRENT SERVICES PROGRAM DESCRIPTION:

USSS investigates violations of laws relating to counterfeiting of obligations and securities of the United States, and financial crimes that include, but are not limited to, financial institution fraud, identity theft, access device fraud, money laundering and electronic crimes. Domestic field resources are focused on achieving the DHS strategic objective of economic security. The requested amount funds field offices nationwide in a strategic context which addresses the spread of the Internet and other consumer-friendly technologies that facilitate electronic commerce, and the increasing criminal exploitation of those technologies.

Significant accomplishments in FY 2008 included the following:

- **Financial Crimes Investigations:**

- In early July 2008, fraud investigators with a major U.S. financial institution passed information to the Orlando Field Office regarding a possible “Ponzi” or pyramid scheme operation. Examination of bank records revealed suspicious transactions similar to fraudulent activity identified in previous investigations involving digital advertising ventures.

Investigation by Orlando agents revealed the subject company was engaging in questionable business practices that operated on a pyramid scheme principle. The basis of fraud in a pyramid scheme derives from the need to generate continuous investment input from new customers in order to meet the rates of return promised to earlier investors. Subsequent undercover operations conducted by Orlando agents acting as new investors provided agents an inside view of the subject business’ operations which revealed no true attempts to establish legitimate business relationships or transactions.

Based on this evidence, Orlando agents moved quickly to target and seize potential profits and/or proceeds derived from violations of Title 18, United States Code, Section 1343 (Wire Fraud). On August 5, 2008, Orlando and Tallahassee agents executed a series of federal search and seizure warrants on business locations, residences, and bank accounts linked to a “Ponzi.” Pursuant to the seizure proceedings, agents have identified and frozen assets currently exceeding \$93.5 million. The Secret Service is currently coordinating with DOJ to identify victims that may be entitled to a portion of the seized proceeds.

Indictments in this case are pending.

- **Data Breach/Network Intrusion Investigations:**

- Agents of the Pittsburgh Field Office launched an undercover Internet-based investigation targeting online suspects involved in various illegal activities to include the purchase, sale, and exploitation of various financial instruments and personnel identification information and documents.

In conjunction with this investigation, Pittsburgh agents were able to establish an online relationship with an individual known to them as “Iceman.” Iceman was

associated with Internet sites known for illegal carding activity, and he was identified as the owner and administrator of CardersMarket, a notorious carding website. In furtherance of the investigation, undercover agents and confidential informants under the control of the Secret Service conducted online transactions with Iceman and purchased stolen access device numbers.

In coordination with the Service’s Criminal Investigations Division (CID), the Pittsburgh Field Office was able to identify Iceman as Max Butler of San Francisco, California. On September 5, 2007, agents from Pittsburgh, San Francisco, CID, and Computer Emergency Response Team (CERT) executed arrest and search warrants upon Butler and his residence, recovering a voluminous amount of evidence tied to his illegal activities. Due to extensive encryption utilized by Butler, this evidence was initially beyond the reach of law enforcement.

Subsequent efforts by agents and personnel assigned to CERT led to the decryption of Butler’s files. Computer forensics revealed Butler’s extensive hacking activities targeted over 35 banks, 40 corporations, and 100 point of sale platforms. Additional analysis uncovered various malware, child pornography, and 1.6 million stolen credit card numbers.

Significant planned accomplishments in FY 2009 include the following:

- Maintain current investigative operations while continuing to pursue efficiencies within program areas.

Significant planned accomplishments in FY 2010 include the following:

- Maintain current investigative operations while continuing to pursue efficiencies within program areas.

PPA: International Field Administration and Operations

	Perm		
	Pos.	FTE	Amount
2008 Actual	70	76	\$26,364
2009 Enacted	74	73	\$30,000
2010 Adjustments-to-Base	0	1	\$705
2010 Current Services	74	74	\$30,705
2010 Program Change	0	0	\$0
2010 Request	74	74	\$30,705
Total Change 2009-2010	0	1	\$705

The Secret Service requests \$30.7 million and 74 FTE for this activity. This is an increase of \$.7 million to the FY 2009 enacted budget. Adjustments to the base include position annualization and other cost increases.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Secret Service provides a comprehensive, internationally coordinated response to new threats to the integrity of U.S. currency and other transnational crimes.

International field resources are focused on achieving DHS' strategic objective of economic security (e.g. combating foreign counterfeiting of U.S. currency). The requested amount funds 22 international offices in 18 countries in a strategic context of the worldwide spread of the Internet and other consumer-friendly technologies that facilitate electronic commerce, the increasing criminal exploitation of those technologies, and dollarization.

Significant accomplishments in FY 2008 included the following:

- The The San Diego, Miami, and Boston Field Offices, in close coordination with the Headquarters Divisions, initiated an investigation that eventually led to the identification and indictment of perpetrators involved in the hacking of nine major U.S. retailers and the theft and sale of more than 40 million credit and debit card numbers. The defendants in this case are from Estonia, the People's Republic of China, Belarus, and the United States.

This three-year investigation revealed that the eleven defendants successfully obtained the credit and debit card numbers by "wardriving" and hacking into the wireless computer networks of nine major retailers. Once inside the networks, they installed "sniffer" programs that would capture card numbers, as well as password and account information, as they moved through the retailers' credit and debit processing networks.

After they collected the data, the conspirators concealed the data in encrypted computer servers that they controlled in Eastern Europe and the United States. They sold some of the credit and debit card numbers, via the Internet, to other criminals in the United States and Eastern Europe. The stolen numbers were "cashed out" by encoding card numbers on the magnetic strips of blank cards. The defendants then used these cards to withdraw tens of thousands of dollars at a time from ATMs. The defendants were able to conceal and launder their fraudulent proceeds by using anonymous Internet-based currencies both within the United States and abroad, and by channeling funds through bank accounts in Eastern Europe.

As a result of this investigation, on August 5, 2008, the defendants were charged with computer fraud, wire fraud, access device fraud, aggravated identity theft, and conspiracy.

This case is the largest and most complex case of its type in U.S. history and achieves the Department of Homeland Security's strategic objective of protecting our nation's critical financial infrastructure from transnational criminal groups.

It is notable to report that in using the estimation methodology of limiting each credit card to a potential value of \$500 per instrument, it can be estimated that the Secret Service prevented the potential loss of \$20 billion dollars. When looking at the ratio of our appropriation for cyber investigations to the amount of loss prevented to the public, the return on investigation/investment of taxpayer dollars is significant.

Significant planned accomplishments in FY 2009 include the following:

- Maintain current investigative operations while continuing to pursue efficiencies within program areas.

Significant planned accomplishments in FY 2010 include the following:

- Maintain current investigative operations while continuing to pursue efficiencies within program areas.

PPA: Electronic Crimes Special Agent Program/Electronic Crimes Task Forces

	Perm		
	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actual	289	276	\$43,961
2009 Enacted	305	303	\$51,836
2010 Adjustments-to-Base	0	2	\$1,205
Campaign Labor Adjustment	12	12	\$1,500
2010 Current Services	317	317	\$54,541
2010 Program Change	0	0	\$2,000
2010 Request	317	317	\$56,541
Total Change 2009-2010	12	14	\$4,705

The Secret Service requests \$56.5 million and 317 FTE for this activity. This is an increase of \$4.7 million to the FY 2009 enacted budget. Adjustments to the base include position annualization and other cost increases. \$1.5 million and 12 FTE are reallocated to this program from Presidential Candidate/Nominee Protection for the 2008 Presidential Campaign. Program changes include an additional \$2 million to fund Electronic Crimes Task Forces (ECTF).

CURRENT SERVICES PROGRAM DESCRIPTION:

Through the Electronic Crimes Special Agent Program (ECSAP), the Service trains special agents to detect network intrusions and conduct examinations on all types of electronic evidence, including computers, personal data assistants, telecommunications devices, electronic organizers, scanners, and other electronic equipment. Through Electronic Crimes Task Forces (ECTF), the Service forms partnerships with private industry, academia, other federal law enforcement, and state and local law enforcement to prevent, detect, mitigate, and aggressively investigate attacks on our nation's financial infrastructures.

The ECSAP and ECTFs combat those who seek to defraud financial institutions, private industry, or individuals through electronic or digital media. The requested amount funds these entities in a strategic environment characterized by a rise in electronic financial transactions and associated criminal activity.

Significant accomplishments in FY 2008 included the following:

- Electronic Crimes Special Agent Program (ECSAP):

This program seeks to mitigate vulnerabilities to the nation's infrastructure and sensitive communications networks by training special agents and state/local law enforcement partners on computers, PDAs, telecommunications devices, and other electronic media to obtain forensic data and investigative leads on organized criminal groups operating domestically and abroad, using new technologies. The Secret Service has been instrumental in the establishment of the National Computer Forensic Institute (NCFI) in Hoover, AL. This facility has enabled USSS to train state and local law enforcement officials, district attorney's, and judges in computer forensic and judicial strategies.

Since opening on May 19, 2008, the National Computer Forensic Institute has provided the following training to our law enforcement partners:

- Three Basic Investigation of Computer Crimes (BICEP) classes; 67 state and local law enforcement officials attended these classes.
- Three Network Intrusion (NITRO) classes; 48 state and local law enforcement officials attended these classes.
- Two Basic Recovery of Computer Evidence (BCERT) classes; 48 state and local law enforcement officials attended these classes.
- One Advanced Forensics Training (AFT) class; 24 state and local law enforcement officials attended this class.
- Two classes for prosecutors (CFC-P); 48 state and local prosecutors attended.
- One class for judges (CFC-J); 24 state and local judges attended.
- From May 19, 2008 to August 28, 2008, the USSS held 12 classes, trained 259 state and local police officials, prosecutors, and judges from 43 states.

Significant planned accomplishments in FY 2009 include the following:

- Complete ECSAP training for 180 new agents.
- Continue to expand the training provided by the NCFI to our state and local partners.
- Maintain current investigative operations while continuing to pursue efficiencies within program areas.

Significant planned accomplishments in FY 2010 include the following:

- Continue to foster exceptional relationships with other federal, state, and local law enforcement agencies by building on proven investigative techniques and expanding methodologies that have already been developed and deployed.
- Maintain current investigative operations while continuing to pursue efficiencies within program areas.

PPA: Support for Missing and Exploited Children

	Perm		
	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actual	20	20	\$8,104
2009 Enacted	20	20	\$8,366
2010 Adjustments-to-Base	<u>0</u>	<u>0</u>	<u>\$0</u>
2010 Current Services	20	20	\$8,366
2010 Program Change	<u>0</u>	<u>0</u>	<u>\$0</u>
2010 Request	20	20	\$8,366
Total Change 2009-2010	0	0	\$0

The Secret Service requests \$8.4 million and 20 FTE for FY 2010.

CURRENT SERVICES PROGRAM DESCRIPTION:

Language contained in the Violent Crime Reduction Trust Fund legislation in 1995 directed the U.S. Secret Service to provide forensic support to the National Center for Missing and Exploited Children. Since that time, forensic support has included polygraph examinations, handwriting examinations, voiceprint comparisons, audio and video enhancements, age progressions/regressions, and fingerprint research and identification.

Requested funding provides state of the art forensics support for investigations involving missing and exploited children and grant funds for activities related to the investigations of missing and exploited children. In a strategic context characterized by predators determined to abuse the nation's children, the Secret Service's technologies provide critical support to associated investigations.

IV. Program Justification of Changes

**Department of Homeland Security
United States Secret Service
Salaries and Expenses
Justification of Program Changes
(Dollars in Thousands)**

Program Increase 1: Information Integration & Transformation Program

Strategic Goal(s) & Objective(s):

3.1: Protect and Strengthen the Resilience of the Nation's
Critical Infrastructure and Key Resources

3.2: Ensure Continuity of Government Communications
and Operations

PPA: Headquarters, Management and Administration

Program Increase: Positions 5 FTE 3 Dollars \$33,960

Funding Profile: FY 2008 \$63,210; FY 2009 \$64,014

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							170	170	\$64,014
Program Increase							5	3	\$33,960
Budget Request	170	170	\$63,210	170	170	\$64,014	175	173	\$97,974

Description of Item

In order to meet its protective and investigative mission tempo, USSS must completely transform its information infrastructure. The network and mainframe system used today struggles to support basic operations, and is incapable of handling emerging “real-time” mission intelligence and decision-support requirements. Current systems are functionally unable to meet a host of new information policy mandates from DHS and the Office of the Director of National Intelligence (ODNI). The current infrastructure is incompatible with current federal guidelines for information sharing, enterprise architecture, and privacy protection, and cannot be configured to support the growing technology requirements of the agency. USSS’ protective and investigative missions will be functionally unable to respond to the increasing volume of threats without additional investment.

The information integration and transformation program will establish a new Secret Service Information Technology (IT) infrastructure. This new infrastructure is necessary in order for the Secret Service to address four critical vulnerabilities which constitute major mission threats:

- Mission Threat 1: Inability to understand & counteract cyber-terrorist attacks.
- Mission Threat 2: Inability to communicate during a crisis.
- Mission Threat 3: Insufficient network security & successful hacker attack.
- Mission Threat 4: Secure investigations compromised by stolen information.

History has indicated that these issues cannot be addressed by program realignment or incremental change. The stark reality is that the without a major infrastructure overhaul, Secret Service faces the prospect of near-term mission failure and must execute a major information technology transformation to ensure the agency's ability to fulfill its mission.

To meet this challenge, USSS has conducted across-the-board requirements analyses and program reviews within internal offices to ensure replacement systems will be right-sized and scalable for future years. The plan addresses inequities in a rational and programmatic approach that will leverage DHS resources and partner capabilities. Currently, the diagram of this analysis is Secret Service architecture sensitive and under security classification review. The information integration and transformation request includes four primary components to address the mission threats faced by the Secret Service:

- Build multiple-level security into the new infrastructure.
- Enable the enterprise to meet new information-sharing mandates.
- Enable the resources to conduct secure investigations.
- Ensure parity with critical White House communications systems.

The systems planned for the infrastructure transformation program will also bring the Secret Service into compliance with a wide variety of Presidential, national, and DHS cyber-related mandates and initiatives.

This transformation effort includes replacing the brittle and outmoded mainframe IT system with a modern, web-server-based environment. Such an agile, mission-centric, integrated IT environment will provide the Secret Service with a flexible platform for a cost-effective, service oriented architecture and web services implementation. The new architecture will enable across-the-board, multi-level security and will eliminate technology-related issues that prevent USSS from exchanging terrorist intelligence and critical information with DHS, the intelligence community, and law enforcement communities.

The new infrastructure will provide secure communications for inter-agency protective operations and investigations. Most importantly, the infrastructure will close a dangerous gap in interoperability with the Presidential communications systems of the White House Communications Agency (WHCA) and White House Executive Office of the President (WHEOP).

Justification

Database Architecture & Maintenance - \$ 4.0 million

Achieving the commitments in the National Security Strategy (NSS) requires a fundamental change in the way information technology is provided and managed by USSS. The Service cannot transform its data operations to support the DHS Enterprise Data Management Directive 103.01 and the Homeland Security Act 2002 by merely maintaining the status quo. The

Service's data environment is fragile and cannot sustain the tempo of current or future operational missions.

Data engineering and architecture will augment data competencies and tools to improve information sharing across a multitude of domains. This will include making data more visible, accessible, understandable, trusted, and interoperable. The Service must implement user tools or capabilities that act as directed information retrieval tools and information filters for the special agents. These enablers will discover, interpret, and sort the data according to designated parameters to eliminate unwanted data and present high-priority data first. Funding will be used to procure contract services to perform data discovery, data asset interoperability assessments, data security marking, and establish context metadata and pedigree metadata, resulting in improved data quality.

Information Assurance - \$ 2.4 million

Achieving the commitments in the NSS requires a fundamental change in the way information technology is protected and secured by USSS. The Service cannot transform its information operations to support the Congressional and DHS Information Assurance (IA) initiatives by maintaining the status quo. The Service is vulnerable and at risk for professional-grade cyber attacks while our ability to share multi-level information across the enterprise is minimal. Also, the following additional requirements recognize the importance of information security to the economic and national security interests of the United States. Title III of the E-Government Act, Federal Information Security Management Act (FISMA), HSPD-12 Common Identification Standard for Federal Employees and Contractors, HSPD-7 Protection of Critical Infrastructure, and Federal Information Processing Standard 140-2 certification emphasize the need for USSS to develop, document, and implement an enterprise program to provide information security for the systems that support the missions of the USSS.

With this funding, the Service's IA program will enable a dynamic, information-sharing environment that delivers secure information at the right time, to the right recipient, and in the right format under every circumstance. This environment must be securely managed and protected enterprise-wide from threats posed by adversaries. Providing enterprise-wide protection of the dynamic information-sharing environment requires a cohesive, integrated approach to IA that will provide policies, procedures, technologies, and training. Funding will be used to procure contract services and tools.

Information Technology Infrastructure - \$ 14.86 million, 5 positions (3 FTE)

The Service's infrastructure framework is in a degraded state and adversely impacting critical operational missions. This request includes funding for five additional professional positions.

The Service's information technology infrastructure (ITI) program will provide rapid network access to the right information at the right time in a form that is immediately useful, thus giving the Service mission critical operations information and decision superiority. The information technology infrastructure will be re-engineered to include the development of requirements, guidelines, and new programs and technologies as an immediate and critical need. Network and server competencies will be strengthened by adding commercial services and the government staff will be trained and educated to support the transformation.

This funding request includes the operations/maintenance of data center functions to include servers, networks, U.S. and foreign circuits, wide area network (WAN) connectivity, network operating system software, network and information security monitoring systems, technology refresh, and update and/or replacement of legacy/aging equipment or software. In addition, the request includes optimization and performance monitoring, such as establishing and baselining infrastructure performance, establishing periodic reporting for identifying and reacting to trends, changes and issues, and training ITI staff to build competencies in IT performance management.

Cyber Security - \$ 6.4 million

Achieving the President's National Cyber Security Strategy requires a fundamental change in the way the Secret Service is protected and secured. The Service must transform its cyber operations to support Presidential, Congressional and DHS cyber initiatives. Additionally, Title III of the E-Government Act, Federal Information Security Management Act (FISMA), HSPD-23 Cyber Initiative, and FIPS 140-2 certification, require USSS to develop, document, and implement an enterprise cyber program.

With this funding, the Service's cyber program will enable a proactive, cyber defense environment that provides situational awareness, command and control, defensive mechanisms and information assurance policies and processes. This environment will provide enterprise-wide protection through the dynamic information-sharing environment of the DHS and ODNI cyber programs. It will be a cohesive, integrated approach to cyber defense that will provide policies, procedures, technologies, and training across all Secret Service directorates.

Cross Domain Application/Data Environment (Multi-Level Security) - \$ 6.3 million

The Cross-Domain Application/Data Environment project is the solution to respond to the NSS and meet the DHS goals and policies that require a secure mission environment while interoperating in a sensitive business environment. This project is a multi-year project that will consist of a major acquisition process, systems engineering, architecture, design, development, test and evaluation, deployment, maintenance, and sustainment. Contractor services will be utilized to design, test, pilot, deploy, and establish maintenance. This multi-level secured cross-domain IT application and data environment will provide the Service with the most efficient and effective means to perform mission critical operations.

Impact on Performance (Relationship of Increase to Strategic Goals)

Funding this initiative will have a significant impact on the dual mission of USSS. With the requested funding, USSS will be able to implement a secure, redundant national security communication and coordination infrastructure to support information sharing across diverse security domains, including relevant federal, state, local, and tribal stakeholders. The Service will maintain its ability to ensure the continuity of government operations, including the protection of government personnel, facilities, national/international leaders, and the nation's communications infrastructure.

USSS also requires full funding to re-establish a security quality assurance program, and ensure full compliance with the relevant DHS and National Security Directives. Moreover, the absence of full funding impedes the Service's ability to become compliant with policies and statutes from ODNI and FISMA.

Without the requested funding, the agency will be unable to investigate and guard against cyber attacks, unable to improve cyber security response to attacks, and unable to protect its communications systems and networks that support both the investigative and protective mission.

This cross-cutting initiative will directly impact protective and investigative performance measures including – the *Percentage of Instances Protectees Arrive and Depart Safely (Campaign, Domestic, and Foreign Dignitary Protectees)*, the *Volume of Intelligence Assessed (classified information)*, *Financial Crimes Loss Prevented (Through a Criminal Investigation and by the Secret Service Electronic Crimes Task Forces)* and *Counterfeit Passed as the Percent of Amount of Genuine U.S. Currency in Circulation*.

Domestic/ Foreign/ Campaign Protection

Percentage of Instances Protectees Arrive and Depart Safely. The percentage of travel stops where protectees arrive and depart safely.

The performance target is always 100 percent. Anything under 100 percent is unacceptable. Securing protectees is the ultimate priority of the Secret Service. As a rule, risk and the level of effort required to provide security increase dramatically when a protectee is traveling. In the years between 2003 and 2008 the White House Communications Agency (WHCA) modernized their telecommunications infrastructure by transitioning to Internet Protocol (IP) for all Voice, Radio, Satellite, Video, Secure Voice, Secure Video, and Wireless communications. This transformation revolutionized WHCA's overall communications capacity and agility while rendering Secret Service systems and devices incompatible with the IP capability. The Secret Service instituted a temporary and partial solution to address this incompatibility.

This initiative requires funding to modernize Secret Service communications systems in order to maintain parity and interoperability with the White House Communications Agency. By enabling seamless communications with WHCA, Special Agent's and Uniformed Division Officers will be able to focus on the mission of ensuring the safety of protectees without the distraction of technical issues. Less time expended resolving technical issues or not receiving timely information increases the possibility of harm to a protectee which in turn can prevent the attainment of the performance target of 100 percent protection.

Protective Intelligence - Assessments

Volume of Intelligence Assessed (classified information). The amount and results of intelligence assessed by USSS; results are classified and provided to qualified evaluators upon request.

Secret Service's classified activities are sharply limited due to network incompatibilities and fundamental access constraints as Secret Service does not have a multi-level secure network and cannot connect. The levels of intelligence assessment and collaboration between the agency and DHS, as well as the greater intelligence community, will increase exponentially once multi-level secure information systems are in place.

Infrastructure Investigations – Electronic Crimes

Financial Crimes Loss Prevented. Actual direct dollar loss prevented by Secret Service's Electronic Crimes Task Forces' (ECTFs) investigations and cases closed.

The USA PATRIOT Act of 2001 mandates that the Service develop a network of ECTFs through out the United States. This measure reports the actual dollar loss involved in the Secret Service's ECTFs' investigations and cases closed. USSS must transform its information infrastructure to keep pace with the evolution of these crimes and their migration into transnational cyber attacks with targeted impact in the financial sectors.

Counterfeit Passed as the Percent of Amount of Genuine U.S. Currency in Circulation. The dollar value of counterfeit notes passed on the public, reported as a percent of genuine currency. (Calculated by dividing dollar amount of counterfeit notes passed by dollar value of genuine currency in circulation.)

This measure is an indicator of the proportion of counterfeit currency relative to the amount of genuine U.S. Currency in circulation, and reflects efforts to reduce financial losses to the public attributable to counterfeit currency. The Information Integration & Transformation Program allows the Secret Service to rapidly exchange critical information with others in the law enforcement community and intelligence community regarding various criminal activities such as counterfeiting of United States currency. The tracking of such activity and the rapid sharing of this type of information will provide the nexus to prevent further counterfeit activity.

Program Increase 2: Cyber Infrastructure Protection Program

Strategic Goal(s) & Objective(s): 3.1: Protect and Strengthen the Resilience of the Nation’s Critical Infrastructure and Key Resources

PPA: Electronic Crimes Special Agent Program and Electronic Crimes Task Forces

Program Increase: Positions 0 FTE 0 Dollars \$2,000

Funding Profile: FY 2008 \$43,961; FY 2009 \$51,836

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							305	305	\$51,836
Adjustments to base							12	12	\$2,705
Program Increase							0	0	\$2,000
Budget Request	276	276	\$43,961	305	305	\$51,836	317	317	\$56,541

Description of Item

Electronic Crimes Task Force (ECTF) Initiative - \$ 5.12 million

The Secret Service has established 24 Electronic Crimes Task Forces to combine the resources of academia; the private sector; and local, state, and federal law enforcement agencies to combat computer-based threats to our financial payment systems and critical infrastructures. Additionally, the combined resources allow ECTFs to identify and address potential cyber vulnerabilities before the criminal element exploits them. This proactive approach has successfully prevented cyber attacks that otherwise would have resulted in large-scale financial losses to U.S. financial institutions and the disruption of our financial critical infrastructures.

Currently, the ECTFs provide support, resources, and personnel to investigate criminal cases that have significant economic or community impact; involve organized criminal groups (national and transnational); or the utilization of schemes involving new technology. Funding for the ECTF program will increase the Secret Services’ ability to prevent, detect, and investigate various forms of computer related crimes, including attacks specifically targeting our financial institutions.

Quarterly Meetings

Each ECTF will conduct quarterly meetings of task members, including state and local partners, within their respective districts to provide cyber-crime prevention information and a venue for community outreach.

Electronic Crimes Task Forces Tabletop Exercises

The ECTF Program, in coordination with the Information Analysis and Infrastructure Protection Directorate, and the local, state and private sector coordinators of DHS, will conduct two tabletop exercises. These tabletop exercises are designed to test the emergency response of

agencies and entities entrusted to protect and secure critical infrastructure. The tabletop exercises will also serve to further refine best practices within these sectors and build on the public-private partnership initiative fostered within the ECTF Program.

ECTF Operational Funding

Each ECTF will require funding to cover expenses related to cell phones and overtime for ECTF law enforcement members, major case funding, funding for joint operations, critical needs, training, and specialized equipment used for electronic investigations.

Equipment Costs

Currently, seven of the established ECTFs lack video conferencing equipment. Requested funding will provide this equipment to ensure that ECTFs have the necessary tools to fulfill their mission.

ECTF Online Reporting & Collaboration

Statistical reporting for the ECTF Program is accomplished through the use of an online reporting system. Much of the ECTF collaborative efforts also take place online through several web applications. This request would cover the cost of replacing servers on a two year replacement cycle, Certification and Accreditation and a maintenance contract. These costs are currently covered by TEOAF Funding. These online reporting collaboration tools are key elements to the continued success in meeting the mandates of the Patriot Act. The reporting systems and web applications in conjunction with the database constitute an IT “system” by DHS standards.

Impact on Performance (Relationship of Increase to Strategic Goals)

The requested funding will enhance the Secret Service’s ability to forestall and counter cyber attacks on financial and communications networks, protect against and prosecute incidences of cyber fraud, identity theft, and digital counterfeiting, and to conduct investigative and prosecutorial activities relating to the exploitation of e-currencies and related U.S. payments systems. The additional funding is also critical to ensuring that USSS is able to counter attacks on the cyber infrastructure that underpins the physical security of protectees and NSSEs.

The program will directly support the achievement of the long-term performance goals of Secret Service investigative programs, and the achievement of the DHS Strategic Goals and Objectives as the cross-cutting effects of the program will enhance multiple infrastructure and financial investigations. Additionally, this initiative affects a variety of outcome measures as it enhances the ability to prevent passing of counterfeit currency and provides essential tools for protecting the Nation’s economic infrastructure by reducing losses attributable to financial and electronic crimes.

Specifically, this initiative will directly impact the following outcome performance measures – *Financial Crimes Loss Prevented (Through a Criminal Investigation and by the Secret Service Electronic Crimes Task Forces)* and *Counterfeit Passed as the Percent of Amount of Genuine U.S. Currency in Circulation*.

Infrastructure Investigations – Electronic Crimes

Financial Crimes Loss Prevented. Actual direct dollar loss prevented by the Secret Service's Electronic Crimes Task Forces' investigations and cases closed.

The USA PATRIOT Act mandates that the Secret Service develop a network of ECTFs through out the United States. This measure reports the actual dollar loss involved in the Secret Service's ECTFs' investigations and cases closed. This initiative requires funding to: broaden outreach to law enforcement partners through meetings and exercises; purchase of necessary equipment; provide for personnel costs; and, support an online reporting system. To protect the Nation's financial systems and fulfill our mandated mission, funding will support the attainment of our performance targets by providing pertinent information to law enforcement partners and testing emergency response capabilities through exercises and updated reporting systems.

Infrastructure Investigations – Counterfeit Currency

Counterfeit Passed as the Percent of Amount of Genuine U.S. Currency in Circulation. The dollar value of counterfeit notes passed on the public reported as a percent of genuine currency. (Calculated by dividing dollar amount of counterfeit notes passed by dollar value of genuine currency in circulation.)

This measure is an indicator of the proportion of counterfeit currency relative to the amount of genuine U.S. Currency in circulation, and reflects efforts to reduce financial losses to the public attributable to counterfeit currency. Due to the increased availability of computer hardware and software and the decrease in the cost of digital technologies, counterfeiters can attain high quality notes and produce these notes faster than ever before. Funding is necessary to protect the nation's financial systems and critical infrastructure from an influx of counterfeit currency by having the necessary tools to prevent these crimes. Funding for this initiative will enable the Secret Service to increase its capability to impede and prevent counterfeit notes passed on the public.

Program Increase 3:

Protective Countermeasures

Strategic Goal(s) & Objective(s):

- 3.1: Protect and Strengthen the Resilience of the Nation’s Critical Infrastructure and Key Resources
- 3.2: Ensure Continuity of Government Communications and Operations

PPA:

Protection of persons and facilities

Program Increase:

Positions 0 FTE 0 Dollars \$ 4,040

Funding Profile:

FY 2008 \$0; FY 2009 \$0

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level									\$0
Program Increase									\$4,040
Budget Request									\$4,040

Description of Item

Uniformed Division Modernization

This program increase is contingent upon authorizing legislation that includes a restructuring of the pay chart for the United States Secret Service Uniformed Division and is part of a larger modernization of the Uniformed Divisions legal authorities which are currently derived from both District of Columbia and United States code. Once the legislation has been enacted, the Secret Service will require an additional \$4,040,000 appropriation to implement the pay chart restructuring.

The USSS Uniformed Division (UD) began as the White House Police, and was originally created as a separate and distinct organization by Public Law 67-300, approved September 14, 1922. The White House Police came under the direct supervision of the Secret Service in 1930. The mandate of the White House Police, incorporated in Title 3 of the U.S. Code, involves duties in connection with the protection of the Executive Mansion and grounds in the District of Columbia; any building in which White House offices are located; and the President and members of his immediate family.

The members of the UD assigned to the White House Branch perform many functions that thrust them into the public light. These officers process thousands of staff members, other workers, members of the press and those individuals with appointments into the White House Complex on a daily basis. Officers assigned to this Branch provide protection to the White House Complex through the effective use of fixed posts, foot beats, bicycle patrols and police cruisers. Technicians assigned to the Counter Sniper Unit, Canine Unit and the Emergency Response Team also provide their expertise to our mission on a daily basis in and around the White House Complex. The Special Operations Section of the UD is an additional unit responsible for tours of the White House Mansion and for the coordination of special events such as the Easter Egg

Roll, Presidential Receptions and Inaugural events. The White House Vehicle Inspection Team and the Counter Surveillance Unit also help achieve the UD goal of providing a safe and protected environment.

The Uniformed Division provides a safe and secure environment for the President of the United States, his immediate family, the Vice President, their staff members and myriad other White House employees that work in the White House Complex each day. In addition to these responsibilities, personnel assigned to the White House Branch perform similar functions at the Treasury Building, the New Executive Office Building, the Eisenhower Executive Office Building and other locations which house Presidential Offices. In addition to the White House Branch, other publicly visible components of the UD are the Naval Observatory Branch and Foreign Missions Branch.

Despite being part of a federal agency, many of the Secret Service's Uniformed Division's (UD) governing authorities are housed in the District of Columbia Code. The combination of being both federal employees and subject to District of Columbia work environment regulations makes administering UD pay and benefits overly cumbersome and complex, specifically in the realm of compensation related provisions within the Fair Labor Standards Act (FLSA). Furthermore, UD faces ongoing recruiting and retention challenges, in part because of their current pay structure and their inability to make use of certain hiring flexibilities such as offering higher starting salaries to applicants who have prior state or local law enforcement experience. There are also anomalies in the current salary table that need to be addressed—some Sergeant Technicians are promoted to Lieutenant, yet actually receive a pay cut, and there is a haphazard distribution of pay increases across both ranks and steps.

The FY 2010 budget proposal for the Secret Service contains draft legislation, “The Uniformed Division Modernization Act of 2010”. If enacted it will:

- Move the bulk of governing authorities from UD pay and compensation issues out of the District of Columbia Code and into Title 5 of the United States Code resulting in:
 - simplified administration of overtime ensuring that UD personnel are compensated for all time worked
 - greater flexibility in hiring personnel at higher steps due to their prior law enforcement experience
 - increased scheduling capabilities
- Create a new salary table for Uniformed Division personnel that establishes consistent rank and step increases. The proposed salary table:
 - is a restructure utilizing principles OPM uses to design pay charts across the government.
 - provides most personnel with a pay increase, but targets the most junior officers to establish a hiring and retention incentive
 - reduces the number of years necessary to reach the final step in any grade
 - rectifies all of the anomalies in the current salary table

Every effort has been made during this process to draft the language in such a way as to preserve all existing authorities and benefits for UD members that are specified within the DC code. The following list details the specific effects of enacting the draft legislation:

A. Treatment of Overtime and Roll Call Hours

There are several disparities between the District of Columbia Code and Title 5 of the United States Code. Currently the USSS calculates overtime under both authorities and pays the higher of the two. Additionally, there are discrepancies in the calculation of actual time worked. Under the District of Columbia Code, officers are not paid for Roll Call, the briefing they receive before they go to their posts. However, because they are federal employees, they may be compensated for their time spent in roll call if they accumulate 85.5 hours of regular time and overtime in a given pay period (the roll call hours are allowed to be included in this calculation). Conversely, if they take sick or annual leave during that pay period they will not be compensated for any roll call time. This system is extremely confusing and antiquated and has led to a perception of unfairness among the officers of the Uniformed Division. Under the proposed authorizing legislation Uniformed Division Officers will simply be paid for all of the time they work.

B. Superior Qualifications

In order to help with recruiting efforts, the current draft language gives the Secret Service the authority to hire new officers at a higher step, but not a higher rank, than is allowed under the current system, if they have relevant superior qualifications and/or experience. So an applicant with several years of relevant law enforcement experience could be hired as a LE-1 step 3 or step 4, for example.

C. Scheduling Flexibility

The Uniformed Division performs a unique mission that requires continuous coverage of all permanent posts at mandated sites while also having to constantly deploy to provide security to protectees when they travel. Currently the DC code restricts UD to only being able to schedule officers for 5 fixed 8 hour shifts per week instead of employing more creative scheduling techniques matching the uniqueness of their mission. Moving into Title 5 of the US Code would help provide that flexibility which could potentially lead to decreased overtime and increased morale.

D. Salary Reform

The current draft language compresses the existing chart from 14 steps to 13 steps, and allows an officer to reach his or her final step in 22 years, instead of the 30 years it takes on the existing chart. The step increments are also smoothed out making it like most other Federal Government pay charts, the dollar increase between each step of a given rank is equal, and the increases for promotion are consistent across the chart.

The estimated cost of this proposal is \$3.64 million for pay and benefits, plus \$400,000 in implementation costs related to National Finance Center programming changes, for a total discretionary cost in FY 2010 of \$4.04 million, with estimated FY 2011 costs of \$8 million.

E. Step Progression

The current draft language adjusts the step progression process to allow officers to reach their final step in 22 years, rather than the current 30 years.

Justification

The Secret Service's Uniformed Division is currently operating under antiquated legal authorities, which cause significant problems and perceptions of unfairness amongst the officers.

The Uniformed Division also has stricter suitability requirements (Top Secret clearance, polygraph exam) than other police forces which lengthens the hiring process and often causes applicants to withdraw their Secret Service application if they are offered employment elsewhere.

These factors are significantly affecting the Service's ability to recruit and retain the quality personnel necessary to effectively carry out our mandated mission, resulting in an inability to reach authorized staffing levels, as can be seen in the following chart:

	2005	2006	2007	2008
Authorized Personnel	1,419	1,419	1,419	1,419
On Board at FY Close	1,380	1,333	1,319	1,286
Personnel Deficit	39	86	100	133

This table actually understates the problem in that at any given time, approximately 96 of the on-board personnel are actually new recruits who are still in training, and are not available for use in meeting mission demands. The inability to reach full staffing has been a result of a variety of factors that have made it more difficult to recruit new personnel, as well as to retain those already on board. The staffing shortfall has continued to increase despite new recruitment initiatives, and is resulting in the Uniformed Division incurring additional overtime costs that would not be required at or near full staffing.

The combination of the salary and legal authorities reform provisions, should have a positive impact from a recruiting and retention standpoint". The combined impact of all of these factors may even be sufficient to allow the Uniformed Division to reach its authorized staffing level by the end of FY 2011.

The draft legislation in "The Uniformed Division Modernization Act of 2010," if enacted, would move the bulk of the governing authorities for the Uniformed Division pay and compensation issues out of the District of Columbia Code and into Title 5 of the United States Code, while preserving existing authorities and benefits for the Uniformed Division members. It would create a new salary table for Uniformed Division members that establishes consistent rank and step increases, provide for faster step progression, and give the Uniformed Division new hiring flexibilities.

These reforms would greatly assist the Uniformed Division in meeting its ongoing recruiting and retention challenges, and would simplify the administration of pay and benefits for the Uniformed Division members.

Impact on Performance (Relationship of Increase to Strategic Goals)

The requested funding supports achievement of the DHS Strategic Objectives 3.1: Protect and strengthen the resilience of the Nation's critical infrastructure and key resources and 3.2: Ensure Continuity of Government Communications and Operations.

If received, this funding will allow program managers to direct the appropriate amount of human capital to greatly enhance the safety and security of Secret Service protectees and facilities. Funding for this initiative will reduce hardships and morale issues associated with Uniformed Division Officers working an inordinate amount of overtime due to the mission requirements needed to meet the performance measure target. The Secret Service always strives to achieve 100 percent for each of its protection measures, as it has no other option than to have uncompromised performance in its protection of the President, Vice President, and other protectees.

Specifically, this initiative will directly impact the following outcome performance measures – *the Percentage of Instances Protectees Arrive and Depart Safely, Percentage of Time Incident Free Protection is Provided to Persons Inside the White House Complex and Vice President's Residence, and the Percentage of National Special Security Events Successfully Completed.*

Protection

Percentage of Instances in which Protectees Arrive and Depart Safely. Percentage of travel stops where the protectee arrives and departs safely.

Protectee security is the ultimate priority for the Secret Service. The level of effort required to provide security increases dramatically when a protectee is traveling. The performance target is always 100% security for protectees.

Percentage of Time Incident Free Protection is Provided to Persons Inside the White House Complex and Vice President's Residence. Percentage of persons (protectees, staff/employees, guests, and the public) who receive incident-free protection while inside the White House Complex or the Vice President's Residence.

An incident is defined as someone who is assaulted or receives an injury from an attack with a prohibited weapon while inside the White House Complex or Vice President's Residence. The performance target is always 100% security for protectees.

Percentage of National Special Security Events Successfully Completed. This measure is a percentage of the total number of NSSEs completed in a Fiscal Year that were successful.

A successfully completed NSSE is one where once an event has commenced, a security incident(s) inside the Secret Service-protected venue did not preclude the event's agenda from proceeding to its scheduled conclusion.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
United States Secret Service
Justification of Proposed Changes in Salaries and Expenses
Appropriation Language**

For necessary expenses of the United States Secret Service, including purchase of not to exceed [675] 652 vehicles for police-type use, of which [645] 652 shall be for replacement only, and hire of passenger motor vehicles; purchase of motorcycles made in the United States; hire of aircraft; services of expert witnesses at such rates as may be determined by the Director of the Secret Service; rental of buildings in the District of Columbia, and fencing, lighting, guard booths, and other facilities on private or other property not in Government ownership or control, as may be necessary to perform protective functions; payment of per diem or subsistence allowances to employees where a protective assignment during the actual day or days of the visit of a protectee requires an employee to work 16 hours per day or to remain overnight at a post of duty; conduct of and participation in firearms matches; presentation of awards; travel of United States Secret Service employees on protective missions without regard to the limitations on such expenditures in this or any other Act; research and development; grants to conduct behavioral research in support of protective research and operations; and payment in advance for commercial accommodations as may be necessary to perform protective functions; [\$1,410,621,000]\$1,485,609,000; of which not to exceed \$25,000 shall be for official reception and representation expenses; of which not to exceed \$100,000 shall be to provide technical assistance and equipment to foreign law enforcement organizations in counterfeit investigations; of which \$2,366,000 shall be for forensic and related support of investigations of missing and exploited children; and of which \$6,000,000 shall be for a grant for activities related to the investigations of missing and exploited children and shall remain available until expended: Provided, That up to \$18,000,000 provided for protective travel shall remain available until September 30, [2010]2011: Provided further, that up to \$1,000,000 for National Special Security Events shall remain available until expended: Provided further, That the United States Secret Service is authorized to obligate funds in anticipation of reimbursements from Federal agencies and entities, as defined in section 105 of title 5, United States Code, receiving training sponsored by the James J. Rowley Training Center, except that total obligations at the end of the fiscal year shall not exceed total budgetary resources available under this heading at the end of the fiscal year: **Provided further, that none of the funds made available under this heading shall be available to compensate any employee for overtime in an annual amount in excess of \$35,000, except that the Secretary of Homeland Security, or the designee of the Secretary, may waive that amount as necessary for national security purposes:** Provided further, that none of the funds appropriated to the United States Secret Service by this Act or by previous appropriations Acts may be made available for the protection of the head of a Federal agency other than the Secretary of Homeland Security: Provided further, that the Director of the United States Secret Service may enter into an agreement to perform such service on a fully reimbursable basis. (Department of Homeland Security Appropriations Act, 2009)

Explanation of Changes

[675] **652** – No substantive changes proposed.

[645] **652** – No substantive changes proposed.

\$1,485,609,000– No substantive changes proposed.

[2010] **2011** – No substantive changes proposed.

Authorization Cites

The Secret Service is established in 18 U.S.C. 3056 and 3 U.S.C. 202. 18 U.S.C. 1029 and 1030 specifically authorize the Service to investigate offenses under those sections

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
United States Secret Service
Salaries and Expenses - Discretionary
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actual	6,700	6,528	\$1,426,414
2009 Enacted ^{1/}	7,052	6,806	\$1,408,729
Adjustments-to-Base (ATBs)			
Annualization of 2009 Pay Raise	-	-	9,064
FY 2010 Pay Increase	-		18,775
Enhanced WH Protectees (2nd Year)	-	13	299
GSA Rent	-	-	4,868
International Field Office (2nd Year)	-	1	45
President Bush Post-Presidency detail (2nd Year)	-	17	509
Cyber Crime (2nd Year)	-	2	30
WCF	-	-	972
Omnibus Annualization (PL111-8)	-	213	40,000
2008 Campaign Non-Recurring Cost	-	-	(26,082)
White House Mail Non-Recurring Cost	-	-	(11,600)
TOTAL ATBs	-	246	36,880
2010 Current Services	7,052	7,052	1,445,609
Program Changes			
Information Integration and Transformation	5	3	33,960
Cyber Infrastructure Protection	-	-	2,000
Protective Countermeasures (UD Modernization) ^{2/}	-	-	4,040
Total - Program Changes	5	3	40,000
2010 Request	7,057	7,055	\$1,485,609
2009 to 2010 Total Change	5	249	76,880

1/ FTE total for FY 2009 does not match Appendix, but is depicted correctly here.

2/ Pending enactment of authorizing legislation.

B: FY 2009 to FY 2010 Budget Change (Mandatory)

**Department of Homeland Security
United States Secret Service
Salaries and Expenses - Mandatory
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actual	-	-	\$225,145
2009 Enacted	-	-	\$225,000
Adjustments-to-Base (ATBs)			
Mandatory Personnel	-	-	(5,000)
TOTAL - ATBs	<hr/>	<hr/>	<hr/> (5,000)
2010 Current Services	-	-	220,000
2010 Request	-	-	\$220,000
2009 to 2010 Total Change	-	-	(5,000)

C. Summary of Requirements

Department of Homeland Security
United States Secret Service
Salaries and Expenses
Summary of Requirements
(Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
2008 Actual	6,700	6,528	\$1,426,414
2009 Enacted	7,052	6,806	\$1,408,729
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Increases	---	246	74,562
Decreases			(37,682)
Total Adjustments-to-Base	---	246	36,880
2009 Current Services	7,052	7,298	\$1,445,609
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	5	3	40,000
2010 Total Request	7,057	7,055	\$1,485,609
2009 to 2010 Total Change	5	249	\$76,880

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Protection of persons and facilities	3,800	3,601	\$705,918	---	199	49,603	---	---	4,040	3,800	3,800	\$759,561	---	199	\$53,643
2 National special security event fund	---	---	1,000	---	---	---	---	---	---	---	---	1,000	---	---	---
3 Presidential candidate nominee protection	120	120	41,082	(120)	(120)	(41,082)	---	---	---	---	---	---	(120)	(120)	(41,082)
4 Protective intelligence	535	491	59,761	---	44	8,063	---	---	---	535	535	67,824	---	44	8,063
5 White House mail screening	---	---	33,701	---	---	(8,386)	---	---	---	---	---	25,315	---	---	(8,386)
6 Headquarters, management and administration	328	328	182,104	---	---	4,981	5	3	33,960	333	331	221,045	5	3	38,941
7 Rowley training center	273	273	53,189	---	---	1,171	---	---	---	273	273	54,360	---	---	1,171
8 Domestic field operations	1,597	1,597	241,772	108	108	19,120	---	---	---	1,705	1,705	260,892	108	108	19,120
9 International field office administration operations and training	74	73	30,000	---	1	705	---	---	---	74	74	30,705	---	1	705
10 Electronic crimes special agent program and electronic crimes task forces	305	303	51,836	12	14	2,705	---	---	2,000	317	317	56,541	12	14	4,705
11 Support for missing and exploited children	20	20	8,366	---	---	---	---	---	---	20	20	8,366	---	---	---
Total	7,052	6,806	\$1,408,729	---	246	\$36,880	5	3	\$40,000	7,057	7,055	\$1,485,609	5	249	\$76,880

Note: FY 2010 Funding for Protection of Persons and Facilities includes \$4M for UD Modernization that is pending enactment of authorizing legislation.

Note: FTE total for FY 2009 does not match Appendix, but is depicted correctly here.

C. Summary of Requirements (Mandatory)

**Department of Homeland Security
United States Secret Service
Salaries and Expenses - Mandatory
Summary of Requirements
(Dollars in Thousands)**

	2010 Request		
	Perm. Pos.	FTE	Amount
2008 Actual	---	---	\$225,145
2009 Enacted	---	---	\$225,000
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Total Adjustments-to-Base	---	---	(5,000)
2010 Current Services	---	---	\$220,000
2010 Total Request	---	---	\$220,000
2009 to 2010 Total Change	---	---	(\$5,000)

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Total	---	---	\$225,000	---	---	(\$5,000)	---	---	\$0	---	---	\$220,000	---	---	(\$5,000)

D. Summary of Reimbursable Resources

Department of Homeland Security
United States Secret Service
Salaries and Expenses
 Summary of Reimbursable Resources
 (Dollars in Thousands)

Collections by Source	2008 Actual			2009 Estimate			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Department of Defense:												
Air Force			\$60			\$200			\$200			
Army			89			300			300			
Navy (Group1)			7			25			25			
Navy (Group 2)			10			35			35			
Department of State			193			384			384			
Department of Education						25						(25)
Department of Treasury	6	6	16,248	6	6	10,579	6	6	10,579			
Department of Homeland Security			5,108			4,777			4,801			24
Department of Justice			3									
CIA			1									
US Trade Representative						1			2			1
Total Budgetary Resources	6	6	\$21,719	6	6	\$16,326	6	6	\$16,326	0	0	\$0

Obligations by Program/Project/Activity	2008 Actual			2009 Estimate			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
<i>Protection</i>												
Protection of persons and facilities	6	6	\$2,095	6	6	\$2,585	6	6	\$2,560			(\$25)
National special security event fund												
Protective intelligence activities												
White House mail screening												
<i>Administration</i>												
Headquarters, management and administration												
<i>Training</i>												
Rowley training center			928			699			736			37
<i>Investigations</i>												
Domestic field operations			14,599			8,658			8,646			(12)
International field office administration, operations and training						384			384			
Electronic crimes special agent program and electronic crimes task forces			4,097			4,000			4,000			
Support for missing and exploited children												
Total Obligations	6	6	\$21,719	6	6	\$16,326	6	6	\$16,326	0	0	\$0

E. Summary of Requirements by Object Class

Department of Homeland Security
United States Secret Service
Salaries and Expenses
Summary of Requirements by Object Class
(Dollars in Thousands)

Object Classes	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$517,309	\$553,901	\$575,708	\$21,807
11.3 Other than full-time permanent	2,706	4,576	3,689	(887)
11.5 Other Personnel Compensation	161,139	135,969	160,085	24,116
12.1 Benefits	271,016	269,398	306,499	37,101
13.0 Benefits for former employees	120	---	---	---
Total, Personnel Comp. & Benefits	\$952,290	\$963,844	\$1,045,981	\$82,137
Other Object Classes:				
21.0 Travel	123,483	106,110	98,973	(7,137)
22.0 Transportation of things	8,190	6,772	7,279	507
23.1 GSA rent	76,783	78,586	83,108	4,522
23.2 Other rent	3,908	1,357	905	(452)
23.3 Communications, utilities, & other misc. charges	25,469	26,975	27,418	443
24.0 Printing and reproduction	954	687	702	15
25.2 Other services	124,026	118,331	128,749	10,418
26.0 Supplies and materials	19,947	19,845	18,942	(903)
31.0 Equipment	70,477	64,881	55,211	(9,670)
32.0 Land & structures	14,728	15,241	12,241	(3,000)
41.0 Grants/Subsidies/Contributions	6,000	6,000	6,000	---
42.0 Indemnity	147	100	100	---
43.0 Interest & dividends	12	---	---	---
92.0 Object of Revenue				
Total, Other Object Classes	474,124	444,885	439,628	(5,257)
Total, Direct Obligations	\$1,426,414	\$1,408,729	\$1,485,609	\$76,880
Unobligated balance, start of year	(27,143)			
Unobligated balance, end of year				
Recoveries of prior year obligaton				
Total requirements	\$1,399,271	\$1,408,729	\$1,485,609	\$36,880

Note: FY 2010 Funding includes \$4M for UD Modernization that is pending enactment of authorizing legislation.

E. Summary of Requirements by Object Class (Mandatory)

**Department of Homeland Security
United States Secret Service
Salaries and Expenses - Mandatory
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
12.1 Benefits	\$225,145	\$225,000	\$220,000	(\$5,000)
Total, Personnel Comp. & Benefits	\$225,145	\$225,000	\$220,000	(\$5,000)
Total, Direct Obligations	\$225,145	\$225,000	\$220,000	(\$5,000)
Unobligated balance, start of year				
Unobligated balance, end of year				
Recoveries of prior year obligaton				
Total requirements	\$225,145	\$225,000	\$220,000	(\$5,000)

F. Permanent Positions by Grade

**Department of Homeland Security
United States Secret Service
Salaries and Expenses
Permanent Positions by Grade**

Grades and Salary Ranges	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
	Pos.	Pos.	Pos.	Total
Total, SES	44	50	50	---
Total, EX	---	---	---	---
GS-15	191	197	197	---
GS-14	587	596	596	---
GS-13	2,250	2,510	2,512	2
GS-12	447	485	485	---
GS-11	321	401	403	2
GS-10	61	62	62	---
GS-09	465	436	437	1
GS-08	252	210	210	---
GS-07	171	125	125	---
GS-06	33	42	42	---
GS-05	42	54	54	---
GS-04	59	83	83	---
GS-03	22	15	15	---
GS-02	12	7	7	---
GS-01	---	7	7	---
Other Graded Positions	---	---	---	---
Ungraded Positions	1,743	1,772	1,772	---
Total Permanent Positions	6,700	7,052	7,057	5
Unfilled Positions EOY	---	---	---	---
Total Perm. Employment EOY	6,700	7,052	7,057	5
FTE	6,528	6,806	7,055	249
Headquarters	4,592	4,312	4,317	5
U.S. Field	2,026	2,658	2,658	---
Foreign Field	82	82	82	---
Total Permanent Positions	6,700	7,052	7,057	5
Average ES Salary	\$156,263	\$160,639	\$165,659	\$5,020
Average GS Salary	\$83,182	\$85,511	\$88,183	\$2,672
Average GS Grade	11.80	11.89	11.89	---

Note: FTE total for FY 2009 does not match Appendix, but is depicted correctly here.

G. Capital Investment and Construction Initiative Listing

Not applicable.

H. PPA Budget Justifications

**Department of Homeland Security
United States Secret Service
Salaries and Expenses
Protection of Persons and Facilities
Funding Schedule**
(Dollars in Thousands)

PPA: Protection of Persons and Facilities		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.0	Perm Positions	\$372,719	\$389,029	\$427,264	\$38,235
12.0	Benefits	143,918	152,437	183,041	30,604
13.0	Benefits for Former Personnel	120	---	---	---
21.0	Travel	62,230	57,398	61,703	4,305
22.0	Transportation of things	2,276	756	1,423	667
23.1	GSA rent	34,439	30,966	31,020	54
23.3	Communication, Utilities, and misc charges	10,785	10,932	11,809	877
24.0	Printing	140	68	76	8
25.0	Other Services	34,922	26,609	16,177	(10,432)
26.0	Supplies & materials	8,124	8,285	7,001	(1,284)
31.0	Equipment	32,845	22,369	15,978	(6,391)
32.0	Land & Structures	4,041	7,003	4,003	(3,000)
42.0	Insurance Claims and Indemnities	39	66	66	---
	Total, Protection of Persons and Facilities	\$706,598	\$705,918	\$759,561	\$53,643
	Full Time Equivalents	3,348	3,601	3,800	199

PPA Mission Statement

Protection of Persons and Facilities - Ensure the safety and security of national leaders, visiting heads of state and government and other designated protectees. Safeguard the White House Complex, the Vice President's residence, foreign missions in the Washington, DC area and other high profile sites.

Protection resources directly support the DHS strategic goal to protect critical infrastructure, which includes our nation's leaders, other high profile persons and designated sites. The Service ensures protectees' physical protection at all times. Protection includes all activities related to identifying threats, mitigating vulnerabilities and creating secure environments wherever protectees work, reside and travel. The requested amount addresses strategic challenges which include terrorists' sustained motivation to attack U.S. interests (including its leaders), and the increasing complexity and technological sophistication of the threat environment.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$516,757	\$541,466	\$610,305	\$68,839

Salaries and benefits includes funding for 3,800 FTE, including \$2,870,000 for funding of 2nd year annualized costs associated with positions hired in FY 2009 for enhanced protection for White House protectees and full performance cost for staffing of the President Bush post-presidency detail. The FY 2010 request also includes \$22,658,000 to cover the annualized cost of an additional 224 positions hired with the Omnibus Supplemental (PL 111-8), \$3,640,000 for Uniformed Division pay restructuring, \$25,000,000 for object class realignment, and an increase of \$14,671,000 to cover increased payroll costs.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Benefits for Former Personnel	120	\$0	\$0	\$0

Benefits for former officers and employees or their survivors that are based (at least in part) on the length of service to the Federal Government.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$62,230	\$57,398	\$61,703	\$4,305

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with federal travel regulations. The FY 2010 request includes \$195,000 for funding of 2nd year annualized costs associated with positions hired in FY 2009 for enhanced protection for White House protectees and full performance cost for staffing of the President Bush post-presidency detail. The FY 2010 request also includes \$4,110,000 to cover the annualized cost of 224 positions hired with the Omnibus Supplemental (PL 111-8).

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$2,276	\$756	\$1,423	\$667

Transportation of things includes all costs of the care of such things while in the process of being transported, and other services incident to the transportation of things. The FY 2010 request also includes \$667,000 to cover the annualized cost of 224 positions hired with the Omnibus Supplemental (PL 111-8).

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA Rent	\$34,439	\$30,966	\$31,020	\$54

GSA rent includes all payments to the General Services Administration (GSA) for rental of space and rent-related services. The FY 2010 request includes \$1,183,000 to cover the annualized cost of 224 positions hired with the Omnibus Supplemental (PL 111-8), a \$2,000,000 reduction for object class realignment, and an increase of \$871,000 to cover expected cost increases.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and Misc. Charges	\$10,785	\$10,932	\$11,809	\$877

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes \$110,000 for funding of 2nd year annualized costs associated with positions hired in FY 2009 for enhanced protection for White House protectees and completing staffing requirements for the President Bush post-presidency detail. The FY 2010 request also includes \$767,000 to cover the annualized cost of 224 positions hired with the Omnibus Supplemental (PL 111-8).

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$140	\$68	\$76	\$8

Printing includes all costs for printing and reproduction obtained from the private sector or from other federal entities. The FY 2010 request includes a \$20,000 reduction in non-recurring costs associated with positions hired in FY 2009 for enhanced protection for White House protectees and completing staffing requirements for the President Bush post-presidency detail. The FY 2010 request also includes \$28,000 to cover the annualized cost of 224 positions hired with the Omnibus Supplemental (PL 111-8).

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$34,922	\$26,609	\$16,177	(\$10,432)

Other services include contractual services from federal and non-federal sources. The FY 2010 request includes a reduction of \$634,000 for non-recurring costs associated with positions hired in FY 2009 for enhanced protection for White House protectees and completing staffing requirements for the President Bush post-presidency detail. The FY 2010 request also includes \$1,802,000 to cover the annualized cost of 224 positions hired with the Omnibus Supplemental (PL 111-8), \$400,000 for Uniformed Division pay restructuring, and a \$12,000,000 reduction for object

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies and Materials	\$8,124	\$8,285	\$7,001	(\$1,284)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes \$44,000 for 2nd year annualized costs associated with positions hired in FY 2009 for enhanced protection for White House protectees and completing staffing requirements for the President Bush post-presidency detail. The FY 2010 request also includes \$672,000 to cover the annualized cost of 224 positions hired with the Omnibus Supplemental (PL 111-8), and a \$2,000,000 reduction for object class realignment.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$32,845	\$22,369	\$15,978	(\$6,391)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes a reduction of \$1,757,000 for non-recurring costs associated with positions hired in FY 2009 for enhanced protection for White House protectees and completing staffing requirements for the President Bush post-presidency detail. The FY 2010 request also includes \$1,366,000 to cover the annualized cost of 224 positions hired with the Omnibus Supplemental (PL 111-8), and a \$6,000,000 reduction for object class realignment to more closely reflect actual outlays.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Land and Structures	\$4,041	\$7,003	\$4,003	(\$3,000)

Land and structures includes the costs of land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract. The FY 2010 request includes a \$3,000,000 reduction for object class realignment to more closely reflect actual outlays.

Department of Homeland Security
United States Secret Service
Salaries and Expenses
National Special Security Events
Funding Schedule
(Dollars in Thousands)

PPA: National Special Security Events		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.0	Perm Positions	\$300	\$300	\$300	---
21.0	Travel	700	700	700	---
Total, National Special Security Events		\$1,000	\$1,000	\$1,000	\$0
Full Time Equivalents					

PPA Mission Statement

National Special Security Events - Effectively lead and manage the planning, coordination and implementation of operational security plans at designated NSSEs. Ensure the physical protection of the President, the public, and other Secret Service protectees who participate in NSSEs.

NSSE resources directly support the DHS strategic goal to protect critical infrastructure, which includes events of symbolic importance to American citizens. Protection includes all activities related to identifying threats, mitigating vulnerabilities and creating secure environments wherever these specially designated events take place. The requested amount ensures NSSE security measures continue to evolve at an appropriate pace to meet the challenges of an increasingly complex threat environment.

Department of Homeland Security
United States Secret Service
Salaries and Expenses
Presidential Candidate / Nominee Protection
Funding Schedule
(Dollars in Thousands)

PPA: Presidential Candidate Nominee Prot.		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.0	Perm Positions	\$41,018	\$16,895	---	(\$16,895)
12.0	Benefits	15,120	4,053	---	(4,053)
21.0	Travel	36,765	11,587	---	(11,587)
22.0	Transportation of things	798	160	---	(160)
23.1	GSA rent	---	22	---	(22)
23.2	Other rent	554	453	---	(453)
23.3	Communication, Utilities, and misc charges	1,779	1,778	---	(1,778)
24.0	Printing	4	9	---	(9)
25.0	Other Services	7,574	4,280	---	(4,280)
26.0	Supplies & materials	2,435	26	---	(26)
31.0	Equipment	6,102	1,819	---	(1,819)
32.0	Land & Structures	267	---	---	---
Total, Presidential Candidate Nominee Prot.		\$112,416	\$41,082	\$0	(\$41,082)
Full Time Equivalents		375	120	---	(120)

PPA Mission Statement

Presidential Candidate Nominee Protection - Ensure the safety and security of Presidential and Vice Presidential candidates, nominees and spouses.

Protection resources directly support the DHS strategic goal to protect critical infrastructure, which includes candidates seeking our nation's highest offices. The Service ensures protectees' physical protection at all times. Protection includes all activities related to identifying threats, mitigating vulnerabilities and creating secure environments wherever protectees work, reside and travel. The requested amount addresses strategic challenges which include terrorists' sustained motivation to attack U.S. interests (including its leaders), and the increasing technological sophistication of the threat environment.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$56,138	\$20,948	\$0	(\$20,948)

Salaries and benefits includes funding for 0 FTE. The FY 2010 request includes a reduction of \$5,948,000 for non-recurring costs relative to the 2008 Presidential Campaign, a resource shift of (\$13,500,000) and (108) FTE to domestic field operations, and (\$1,500,000) and (12) FTE to ECSAP/ECTF.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$36,765	\$11,587	\$0	(\$11,587)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with federal travel regulations. The FY 2010 request includes a reduction of \$11,587,000 for non-recurring costs relative to the 2008 Presidential Campaign.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$798	\$160	\$0	(\$160)

Transportation of things includes all costs of the care of such things while in the process of being transported, and other services incident to the transportation of things. The FY 2010 request includes a reduction of \$160,000 for non-recurring costs relative to the 2008 Presidential Campaign.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA Rent	\$0	\$22	\$0	(\$22)

GSA rent includes all payments to the General Services Administration (GSA) for rental of space and rent-related services. The FY 2010 request includes a reduction of \$22,000 for non-recurring costs relative to the 2008 Presidential Campaign.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Rent	\$554	\$453	\$0	(\$453)

Other rent includes all payments to a non-federal source for rental of space, land, and structures. The FY 2010 request includes a reduction of \$453,000 for non-recurring costs relative to the 2008 Presidential Campaign.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and Misc. Charges	\$1,779	\$1,778	\$0	(\$1,778)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes a reduction of \$1,778,000 for non-recurring costs relative to the 2008 Presidential Campaign.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$4	\$9	\$0	(\$9)

Printing includes all costs for printing and reproduction obtained from the private sector or from other federal entities. The FY 2010 request includes a reduction of \$9,000 for non-recurring costs relative to the 2008 Presidential Campaign.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$7,574	\$4,280	\$0	(\$4,280)

Other services include contractual services with federal and non-federal sources. The FY 2010 request includes a reduction of \$4,280,000 for non-recurring costs relative to the 2008 Presidential Campaign.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies and Materials	\$2,435	\$26	\$0	(\$26)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes a reduction of \$26,000 for non-recurring costs relative to the 2008 Presidential Campaign.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$6,102	\$1,819	\$0	(\$1,819)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes a reduction of \$1,819,000 for non-recurring costs relative to the 2008 Presidential Campaign.

Department of Homeland Security
United States Secret Service
Salaries and Expenses
Protective Intelligence Activities
Funding Schedule
(Dollars in Thousands)

PPA: Protective Intelligence Activities		2008	2009	2010	2009 to 2010
Object Classes:		Actual	Enacted	Request	Change
11.0	Perm Positions	\$34,305	\$37,579	\$42,706	\$5,127
12.0	Benefits	13,267	14,104	15,750	1,646
21.0	Travel	318	373	496	123
22.0	Transportation of things	---	10	10	---
23.1	GSA rent	3,881	6,263	6,797	534
23.3	Communication, Utilities, and misc charges	---	243	431	188
24.0	Printing	---	4	21	17
25.0	Other Services	474	427	716	289
26.0	Supplies & materials	519	616	672	56
31.0	Equipment	340	100	183	83
32.0	Land & Structures	---	42	42	---
Total, Protective Intelligence Activities		\$53,104	\$59,761	\$67,824	\$8,063
Full Time Equivalents		463	491	535	44

PPA Mission Statement

Protective Intelligence Activities - Ensure protective intelligence processes, policies and systems provide quality information and services to securely and efficiently support the protective mission by investigating subjects (individuals or groups) and activities that pose threats to protectees and protected events.

Protective intelligence activities resources directly support the DHS strategic goal to protect critical infrastructure, which includes proactively leveraging advances in the behavioral and technological sciences in order to minimize the risk of harm to persons, property and events under Secret Service protection. The requested amount funds these activities in a strategic environment characterized by terrorists' sustained motivation to attach these targets, and by the increasing complexity and technological sophistication of the threat environment.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$47,572	\$51,683	\$58,456	\$6,773

Salaries and benefits includes funding for 535 FTE. The FY 2010 request includes \$5,531,000 to cover the annualized cost of an additional 59 positions hired with the Omnibus Supplement (PL 111-8), and an increase of \$1,242,000 to cover increased payroll costs.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$318	\$373	\$496	\$123

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with federal travel regulations. The FY 2010 request also includes \$123,000 to cover the annualized cost of 59 positions hired with the Omnibus Supplemental (PL 111-8).

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA Rent	\$3,881	\$6,263	\$6,797	\$534

GSA rent includes all payments to the General Services Administration (GSA) for rental of space and rent-related services. The FY 2010 request includes \$460,000 to cover the annualized cost of 59 positions hired with the Omnibus Supplemental (PL 111-8), and an increase of \$74,000 to cover expected cost increases.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and Misc. Charges	\$0	\$243	\$431	\$188

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes \$188,000 to cover the annualized cost of 59 positions hired with the Omnibus Supplemental (PL 111-8).

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$0	\$4	\$21	\$17

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 request includes \$17,000 to cover the annualized cost of 59 positions hired with the Omnibus Supplemental (PL 111-8).

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$474	\$427	\$716	\$289

Other services include contractual services with federal and non-federal sources. The FY 2010 request includes \$289,000 to cover the annualized cost of 59 positions hired with the Omnibus Supplemental (PL 111-8).

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies and Materials	\$519	\$616	\$672	\$56

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes \$56,000 to cover the annualized cost of 59 positions hired with the Omnibus Supplemental (PL 111-8).

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$340	\$100	\$183	\$83

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes \$83,000 to cover the annualized cost of 59 positions hired with the Omnibus Supplemental (PL 111-8).

Department of Homeland Security
United States Secret Service
Salaries and Expenses
White House Mail Screening
Funding Schedule
(Dollars in Thousands)

PPA: White House Mail Screening		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
23.1	GSA rent	---	\$3,000	\$6,214	\$3,214
25.0	Other Services	\$11,837	16,201	16,201	---
31.0	Equipment	1,376	14,500	2,900	(11,600)
32.0	Land & Structures	3,039	---	---	---
Total, White House Mail Screening		\$16,252	\$33,701	\$25,315	(\$8,386)
Full Time Equivalents					

PPA Mission Statement

White House Mail Screening - Screen White House mail to ensure it is free of harmful toxins or other dangerous materials.

White House mail screening resources directly support the DHS strategic goal to protect critical infrastructure, which includes measures ensuring the safety and security of the White House Complex and persons who reside and/or work within it.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
GSA rent	\$0	\$3,000	\$6,214	\$3,214

GSA Rent includes all payments to the General Services Administration (GSA) for rental of space and rent-related services. The FY 2010 request includes \$3,214,000 to cover the annualized cost of rent for the new White House mail facility

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Equipment	\$0	\$14,500	\$2,900	(11,600)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes a reduction of \$11,600,000 for non-recurring costs relative to the one-time purchase of White House mail facility equipment.

Department of Homeland Security
United States Secret Service
Salaries and Expenses
Headquarters, Management and Administration
Funding Schedule
(Dollars in Thousands)

PPA: Headquarters, Management, & Admin		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.0	Perm Positions	\$42,024	\$48,905	\$51,352	\$2,447
12.0	Benefits	18,601	16,540	18,086	1,546
21.0	Travel	11,827	14,531	14,531	---
22.0	Transportation of things	4,136	5,452	5,452	---
23.1	GSA rent	12,828	8,386	8,630	244
23.3	Communication, Utilities, and misc charges	10,612	10,826	11,982	1,156
24.0	Printing	737	562	563	1
25.0	Other Services	49,478	46,089	70,609	24,520
26.0	Supplies & materials	3,238	4,829	4,961	132
31.0	Equipment	23,204	20,748	29,643	8,895
32.0	Land & Structures	4,128	5,202	5,202	---
42.0	Insurance Claims and Indemnities	82	34	34	---
Total, HQ, Management & Admin		\$180,895	\$182,104	\$221,045	\$38,941
Full Time Equivalents		340	328	331	3

PPA Mission Statement

Headquarters, Management and Administration - Support and sustain operational success through progressive planning and performance in the areas of science and technology, organizational effectiveness, professional responsibility, stewardship of resources, and communication.

Headquarters, management and administration resources support the DHS strategic goal to protect critical infrastructure by enhancing the Service's administrative, professional, and technical infrastructure as well as the management systems and processes. In a strategic context of heightened threat, the Service must ensure that its business processes promote and strengthen the investigative and protective missions.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$60,625	\$65,445	\$69,438	\$3,993

Salaries and benefits includes funding for 331 FTE. The FY 2010 request includes \$209,000 for 5 additional positions to be hired for information technology infrastructure and \$3,784,000 to cover increased payroll costs.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
GSA Rent	\$12,828	\$8,386	\$8,630	\$244

GSA rent includes all payments to the General Services Administration (GSA) for rental of space and rent-related services. The FY 2010 request includes \$19,000 for positions to be hired to support information technology infrastructure and \$225,000 to cover expected cost increases.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and Misc. Charges	\$10,612	\$10,826	\$11,982	\$1,156

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes \$1,156,000 for positions to be hired to support information technology infrastructure.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$737	\$562	\$563	\$1

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 request includes \$1,000 for positions to be hired to support information technology infrastructure.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$49,478	\$46,089	\$70,609	\$24,520

Other services include contractual services with federal and non-federal sources. The FY 2010 request includes \$23,548,000 to support information technology infrastructure and \$972,000 for cost increases related to the DHS Working Capital Fund.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies and Materials	\$3,238	\$4,829	\$4,961	\$132

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes \$132,000 for positions to be hired to support information technology infrastructure.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$23,204	\$20,748	\$29,643	\$8,895

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes \$8,895,000 to support information technology infrastructure.

Department of Homeland Security
United States Secret Service
Salaries and Expenses
Rowley Training Center
Funding Schedule
(Dollars in Thousands)

PPA: Rowley Training Center		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.0	Perm Positions	\$28,838	\$29,114	\$29,781	\$667
12.0	Benefits	10,310	10,122	10,560	438
21.0	Travel	6,306	6,667	6,667	---
22.0	Transportation of things	52	54	54	---
23.1	GSA rent	1,035	1,148	1,214	66
23.3	Communication, Utilities, and misc charges	800	882	882	---
24.0	Printing	8	2	2	---
25.0	Other Services	3,266	2,940	2,940	---
26.0	Supplies & materials	1,809	1,314	1,314	---
31.0	Equipment	1,648	912	912	---
32.0	Land & Structures	275	34	34	---
42.0	Insurance Claims and Indemnities	2	---	---	---
Total, Rowley Training Center		\$54,349	\$53,189	\$54,360	\$1,171
Full Time Equivalents		272	273	273	---

PPA Mission Statement

Rowley Training Center - Strengthen the agency's ability to develop and retain a highly specialized and dedicated workforce to fulfill mission-critical requirements.

Rowley Training Center resources support the DHS strategic goal to protect critical infrastructure by ensuring the USSS workforce is continuously prepared to meet the challenges of the investigative and protective missions. The requested amount will ensure that the Service's most important resource - its employees - have the knowledge and skills and abilities to execute the investigative and protective missions. In a strategic context of threat, the Service must ensure that its workforce planning and development practices outpace the threat environment.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$39,148	\$39,236	\$40,341	\$1,105

Salaries and benefits includes funding for 273 FTE. The FY 2010 request includes an increase of \$1,105,000 to cover increased payroll costs.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
GSA Rent	\$1,035	\$1,148	\$1,214	\$66

GSA rent includes all payments to the General Services Administration (GSA) for rental of space and rent- related services. The FY 2010 request includes \$66,000 to cover expected cost increases.

Department of Homeland Security
United States Secret Service
Salaries and Expenses
Domestic Field Operations
Funding Schedule
(Dollars in Thousands)

PPA: Domestic Field Operations		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.0	Perm Positions	\$127,564	\$135,531	\$148,587	\$13,056
12.0	Benefits	52,442	54,478	60,227	5,749
21.0	Travel	2,865	10,914	10,914	---
22.0	Transportation of things	822	42	42	---
23.1	GSA rent	23,180	23,777	24,092	315
23.3	Communication, Utilities, and misc charges	300	320	320	---
24.0	Printing	35	7	7	---
25.0	Other Services	8,326	8,456	8,456	---
26.0	Supplies & materials	3,027	3,680	3,680	---
31.0	Equipment	2,126	2,047	2,047	---
32.0	Land & Structures	2,648	2,520	2,520	---
42.0	Insurance Claims and Indemnities	36	---	---	---
Total, Domestic Field Operations		\$223,371	\$241,772	\$260,892	\$19,120
Full Time Equivalents		1,358	1,597	1,705	108

PPA Mission Statement

Domestic Field Operations - Investigate violations of laws relating to counterfeiting of obligations and securities of the United States; investigate financial crimes that include, but are not limited to, financial institution fraud, identity theft, access device fraud, and money laundering.

Domestic field office resources directly support the DHS strategic goal to protect critical infrastructure, which includes protecting our nation's currency and financial systems within our borders. The requested amount funds field offices nationwide in a strategic context that includes advances in photographic and printing device technologies and the spread of the internet and other consumer-friendly technologies. These developments both facilitate electronic commerce and increase the scope and complexity of financial crimes. As criminal exploitation of available technologies increases, field resources must continue to demonstrate agility in combating criminal efforts.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$180,006	\$190,009	\$208,814	\$18,805

Salaries and benefits includes funding for 1,705 FTE. The FY 2010 request includes a resource shift of \$13,500,000 and 108 FTE from Presidential Candidate/Nominee Protection for the 2008 Presidential Campaign and an increase of \$5,305,000 to cover increased payroll costs.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA Rent	\$23,180	\$23,777	\$24,092	\$315

GSA rent includes all payments to the General Services Administration (GSA) for rental of space and rent-related services. The FY 2010 request includes \$315,000 to cover expected cost increases.

Department of Homeland Security
United States Secret Service
Salaries and Expenses
International Field Administration and Operations
Funding Schedule
(Dollars in Thousands)

PPA: International Field Admin. and Operations		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.0	Perm Positions	\$6,661	\$7,156	\$7,672	\$516
12.0	Benefits	5,922	5,280	5,570	290
21.0	Travel	1,679	2,416	2,428	12
22.0	Transportation of things	104	143	143	---
23.1	GSA rent	---	375	421	46
23.2	Other rent	3,353	904	905	1
23.3	Communication, Utilities, and misc charges	1,103	1,888	1,888	---
24.0	Printing		1	---	(1)
25.0	Other Services	6,464	11,040	10,995	(45)
26.0	Supplies & materials	190	213	223	10
31.0	Equipment	813	435	311	(124)
32.0	Land & Structures	75	149	149	---
Total, International Field Admin. and Operations		\$26,364	\$30,000	\$30,705	\$705
Full Time Equivalents		76	73	74	1

PPA Mission Statement

International Field Administration and Operations - Provide a comprehensive, internationally-coordinated response to threats to the integrity of U.S. currency and other transnational financial crimes.

International field office administration and operations resources directly support the DHS strategic goal to protect critical infrastructure, which includes protecting our nation's currency and financial systems from threats originating abroad. The requested amount funds field offices in 18 countries in a strategic context that includes advances in photographic and printing device technologies and the worldwide spread of the internet, other consumer-friendly technologies and dollarization (when a developing country replaces its national currency with the U.S. dollar). These developments both facilitate electronic commerce and increase the scope and complexity of financial crimes. As criminal exploitation of available technologies and practices increases, field resources must continue to demonstrate agility in combating criminal efforts.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$12,583	\$12,436	\$13,242	\$806

Salaries and benefits includes funding for 74 FTE. The FY2010 request includes \$183,000 for 2nd year annualized costs associated with four positions hired in FY 2009. The FY 2010 request includes an increase of \$623,000 to cover increased payroll costs.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$1,679	\$2,416	\$2,428	\$12

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with federal travel regulations. The FY 2010 request includes \$12,000 to cover the annualized cost of four positions hired in FY 2009.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA Rent	\$0	\$375	\$421	\$46

GSA rent includes all payments to the General Services Administration (GSA) for rental of space and rent-related services. The FY 2010 request includes \$9,000 to cover the annualized cost of four positions hired in FY 2009 and \$37,000 to cover expected cost increases.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Rent	\$3,353	\$904	\$905	\$1

Other rent includes all payments to a non-federal source for rental of space, land, and structures. The FY 2010 request includes \$1,000 to cover the annualized cost of four positions hired in FY 2009.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$6,464	\$11,040	\$10,995	(\$45)

Other services include contractual services with federal and non-federal sources. The FY 2010 request includes a reduction of \$45,000 for non-recurring costs related to four positions hired in FY 2009.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies and Materials	\$190	\$213	\$223	\$10

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes \$10,000 to cover the annualized cost of four positions hired in FY 2009.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$813	\$435	\$311	(\$124)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes a reduction of \$124,000 for non-recurring costs related to the four positions hired in FY 2009.

Department of Homeland Security
United States Secret Service
Salaries and Expenses
Electronic Crimes Special Agent Program/Electronic Crimes Task Forces
Funding Schedule
(Dollars in Thousands)

PPA: ECSAP/ECTF		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.0	Perm Positions	\$26,425	\$28,637	\$30,520	\$1,883
12.0	Benefits	10,635	11,607	12,488	881
21.0	Travel	791	1,524	1,534	10
22.0	Transportation of things	3	152	152	---
23.1	GSA rent	1,418	4,649	4,720	71
23.3	Communication, Utilities, and misc charges	90	106	106	---
24.0	Printing	30	34	33	(1)
25.0	Other Services	1,684	2,262	2,628	366
26.0	Supplies & materials	606	838	1,047	209
31.0	Equipment	2,024	1,736	3,022	1,286
32.0	Land & Structures	255	291	291	---
Total, ECSAP/ECTF		\$43,961	\$51,836	\$56,541	\$4,705
Full Time Equivalents		276	303	317	14

PPA Mission Statement

Electronic Crimes Special Agent Program (ECSAP) - Develop and deploy personnel trained specifically to detect network intrusions and conduct examinations on all types of electronic evidence, including computers, personal data assistants, telecommunications devices, electronic organizers, scanners, and other electronic equipment, to investigate complex electronic crimes and develop strong cases for prosecution. Electronic Crimes Task Forces (ECTFs) - Form and expand partnerships to reinforce strategic alliances among law enforcement, academia and private industry to prevent, detect, investigate and mitigate the effects of electronic crimes on our nation's financial infrastructure.

ECSAP and ECTF resources directly support the DHS strategic goal to protect critical infrastructure, which includes reducing losses resulting from electronic crimes perpetrated against our nation's financial infrastructure. The ECSAP and ECTFs combat those who seek to defraud U.S. financial institutions, private industry or individuals through electronic or digital media. The requested amount funds the ECSAP and ECTF entities in a strategic context that includes advances in photographic and printing device technologies and the worldwide spread of the internet and other consumer-friendly technologies. These developments both facilitate electronic commerce and increase the scope and complexity of financial crimes. As criminal exploitation of available technologies and practices increases, the ECSAP and ECTF ensure the Service remains on the cutting edge of electronic crime investigations, and that it maintains liaisons with critical partners and stakeholders.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$37,060	\$40,244	\$43,008	\$2,764

Salaries and benefits includes funding for 317 FTE. The FY 2010 request includes \$155,000 for 2nd year annualized costs associated with three positions hired in FY 2009, a resource shift of \$1,500,000 and 12 FTE from Presidential Candidate/Nominee Protection for the 2008 Presidential Campaign, and an increase of \$1,109,000 to cover increased payroll costs.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$791	\$1,524	\$1,534	\$10

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with federal travel regulations. The FY 2010 request includes \$10,000 for three positions to be hired in FY 2009.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA Rent	\$1,418	\$4,649	\$4,720	\$71

GSA rent includes all payments to the General Services Administration (GSA) for rental of space and rent-related services. The FY 2010 request includes \$5,000 to cover the annualized cost of three positions hired in FY 2009 and an increase of \$66,000 to cover expected cost increases.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$30	\$34	\$33	(\$1)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 request includes a reduction of \$1,000 for non-recurring costs related to three positions hired in FY 2009.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$1,684	\$2,262	\$2,628	\$366

Other services include contractual services with federal and non-federal sources. The FY 2010 request includes \$400,000 for cyber infrastructure protection and a reduction of \$34,000 for no-recurring costs related to three positions to be hired in FY 2009.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies and Materials	\$606	\$838	\$1,047	\$209

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes \$200,000 for cyber infrastructure protection and \$9,000 to cover the annualized cost of three positions hired in FY 2009.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$2,024	\$1,736	\$3,022	\$1,286

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes \$1,400,000 for cyber infrastructure protection and a reduction of \$114,000 for non-recurring costs related to three positions hired in FY 2009.

Department of Homeland Security
United States Secret Service
Salaries and Expenses
Support for Missing and Exploited Children
Funding Schedule
(Dollars in Thousands)

PPA: Support for Missing and Exploited Children		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.0	Perm Positions	\$1,300	\$1,300	\$1,300	---
12.0	Benefits	800	777	777	---
22.0	Transportation of things	4	3	3	---
25.0	Other Services	---	27	27	---
26.0	Supplies & materials	---	44	44	---
31.0	Equipment	---	215	215	---
41.0	Grants/Subsidies/Contributions	6,000	6,000	6,000	---
	Total, Support for Missing and Exploited Children	\$8,104	\$8,366	\$8,366	\$0
Full Time Equivalents		20	20	20	---

PPA Mission Statement

Support for Missing and Exploited Children - Provides grant funding and forensic support for cases involving missing and exploited children. Forensic support includes polygraph examinations, handwriting examinations, voiceprint comparisons, audio and video enhancements, age progressions/regressions, and fingerprint research and identification.

Requested funding provides state of the art forensics support for investigations involving missing and exploited children and grant funds. In a strategic context characterized by predators determined to abuse the nation's children, the Secret Service's technologies provide critical support to associated investigations.

I. Changes in FTE

Department of Homeland Security
United States Secret Service
Salaries and Expenses
 Changes In Full-Time Equivalents

	FY 2008	FY 2009	FY 2010
BASE:	6,700	6,700	6,806
INCREASES			
Increase #1: Former President George W. Bush Detail Description: Recruit, hire, and train additional staff for the protection of Former President George W. Bush.	-	18	17
Increase #2: Enhanced protection services for White House Protectees Description: Recruit, Hire and train additional positions to support the protection of White House protectees.	-	14	13
Increase #3: Cyber Infrastructure Protection Description: Recruit, hire, and train additional positions to support criminal research, international cyber initiatives, workload rebalancing, and cyber-infrastructure protection.	-	1	2
Increase #4: International Field Office Administration and Operations Description: Recruit, Hire and train additional positions to support international field office administration and operations.	-	3	1
Increase #5: FY 2009 Omnibus Appropriations Act Description: Supplemental funding for additional staff and infrastructure for protection.	-	70	213
Increase #6: Information Integration and Transformation Description: Recruit, hire, and train additional positions to support cyber security ramp-up, technical communications, and information integration and transformation.	-	-	3
Subtotal, Increases	-	106	249
DECREASES			
Subtotal, Decreases	-	-	-
Year-end Actual/ Estimated FTEs	6,528	6,806	7,055
Net Change from prior year SOY base to budget year EOY estimate:	-	106	249

Note: FTE total for FY 2009 does not match Appendix, but is depicted correctly here.

J. Working Capital Fund by PPA

Department of Homeland Security

United States Secret Service

Salaries and Expenses

FY 2010 Schedule of Working Capital Fund by Program/Project/Activity

(Dollars in Thousands)

Program/Project/Activity	FY 2008 Actual	FY 2009 Anticipated	FY 2010 Anticipated	Increase / Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Protection of persons and facilities	\$2,088	\$2,333	\$2,933	\$600
Protective intelligence activities	161	165	187	22
National special security event fund		3	3	
Presidential candidate nominee protection				
White House mail screening	44	48	86	38
Headquarters, management and administration	2,190	1,919	1,871	(48)
Rowley training center	327	399	431	32
Domestic field operations	671	754	765	11
International field offices	65	68	90	22
Electronic crimes special agent program and electronic crimes task forces	131	132	145	13
National Center for Missing Exploited Children	23	25	28	3
Total Working Capital Fund	\$5,700	\$5,846	\$6,539	\$693

Department of Homeland Security

United States Secret Service

Acquisition, Construction, Improvements, and Related Expenses



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

UNITED STATES SECRET SERVICE **Acquisition, Construction, Improvements, and Related Expenses**

I. Appropriation Overview

A. Mission Statement for Acquisition, Construction, Improvements, and Related Expenses:

The United States Secret Service performs two critical homeland security missions: protection and criminal investigations. The Secret Service protects the President and Vice President, their families, visiting heads-of-state/government, and other designated individuals, such as the Secretary of Homeland Security; investigates threats against these protectees; protects the White House, Vice President's Residence, foreign missions, and other designated buildings within the Washington, DC area; and designs, coordinates, and implements operational security plans for designated National Special Security Events. The Secret Service investigates violations of laws relating to: counterfeiting of obligations and securities of the United States; financial crimes such as access device fraud, financial institution fraud, identity theft, and computer fraud; and to crimes involving computer-based attacks on our Nation's financial, banking, and telecommunications infrastructure. In order to accomplish both its protective and investigative missions, the Secret Service has offices located throughout the United States and in 15 foreign countries. The employees of the Secret Service are special agents, uniformed officers, and support personnel.

B. Budget Activities:

James J. Rowley Training Center (JJRTC)

The Acquisition, Construction, Improvements, and Related Expenses account is used to maintain the Service's JJRTC which provides the protection and criminal investigation training required to meet the needs of the Service's dual mission.

C. Budget Request Summary:

- The U.S. Secret Service requests \$3,975,000 to maintain the JJRTC located in Beltsville, Maryland; this is a decrease of \$250,000 from the FY 2009 enacted budget.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
United States Secret Service
Acquisition, Construction, Improvements, and Related Expenses
Summary of FY 2010 Budget Estimates by Program/Project/Activity
(Dollars in Thousands)**

Program/Project/Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Acquisition, Construction, Improvements, and Related Expenses (Rowley Training Center)	---	\$4,672	---	\$5,099	---	\$3,975	---	(\$1,124)	---	---	---	(\$1,124)
Subtotal, Enacted Appropriations and Budget Estimates	---	\$4,672	---	\$5,099	---	\$3,975	---	(\$1,124)	---	---	---	(\$1,124)
Adjustments for Other Funding Sources:												
Unobligated balance, start of year	---	(1,821)	---	(\$874)	---	---	---	\$874	---	---	---	\$874
Unobligated balance, end of year	---	874	---	---	---	---	---	---	---	---	---	---
Net, Enacted Appropriations and Budget Estimates	---	\$3,725	---	\$4,225	---	\$3,975	---	(\$250)	---	---	---	(\$250)

Omnibus Supplemental (P.L. 111-8)	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Acquisition, Construction, Improvements, and Related Expenses (Rowley Training Center)			---	\$12,730								
Total			---	\$12,730								

III. Current Services Program Description by PPA

Department of Homeland Security
United States Secret Service
Acquisition, Construction, Improvements, and Related Expenses
Program Performance Justification
(Dollars in Thousands)

PPA: ACQUISITION, CONSTRUCTION, IMPROVEMENTS, AND RELATED EXPENSES
James J. Rowley Training Center (JJRTC)

	Perm		
	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actual	0	0	\$4,672
2009 Enacted	0	0	\$4,225
2010 Adjustments-to-Base	0	0	(250)
2010 Current Services	0	0	\$3,975
2010 Request	0	0	\$3,975
Total Change 2009-2010	0	0	(250)

* The table above excludes the omnibus funding of \$12.730 million provided by P.L. 111-8. The United States Secret Service requests \$3.975 million for this activity. This is a decrease of \$.250 million from the FY 2009 Enacted Budget, reflecting non-recurring funding for a noise abatement study.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Acquisition, Construction, Improvements, and Related Expenses account is used to maintain the JJRTC. This facility provides the protection and criminal investigation training required to meet the needs of the Service's dual mission.

IV. Program Justification of Changes

Not applicable.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
United States Secret Service
Justification of Proposed Changes in
Acquisition, Construction, Improvements, and Related Expenses
Appropriation Language**

For necessary expenses for acquisition, construction, repair, alteration, and improvement of facilities, [\$4,225,000] **\$3,975,000** to remain available until expended.

Explanation of Changes

[\$4,225,000] **\$3,975,000** – Funding for noise abatement study is non-recurred (\$250,000).

B. FY 2008 to FY 2010 Budget Changes

**Department of Homeland Security
United States Secret Service
Acquisition, Construction, Improvements, and Related Expenses
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual	---	---	\$4,672
2009 Enacted ^{1/}	---	---	\$4,225
Adjustments-to-Base			
Decreases			
Termination of one time costs	---	---	(\$250)
Total Decreases	---	---	(\$250)
Total Adjustments-to-Base	---	---	(\$250)
2010 Current Services	---	---	\$3,975
2010 Request	---	---	\$3,975
2009 to 2010 Total Change	---	---	(\$250)

1/ Does not include \$12,730 from the FY 2009 Omnibus Appropriation (PL 111-8)

C. Summary of Requirements

Department of Homeland Security
U.S. Secret Service
Acquisition, Construction, Improvements, and Related Expenses
 Summary of Requirements
 (Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
2008 Actual	---	---	\$4,672
2009 Enacted ^{1/}	---	---	\$4,225
Adjustments-to-Base			
Decreases	---	---	(\$250)
Total Adjustments-to-Base	---	---	(\$250)
2010 Current Services	---	---	\$3,975
2010 Total Request	---	---	\$3,975
2009 to 2010 Total Change	---	---	(\$250)

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 ACIRE	\$4,225	(\$250)	\$0	\$3,975	(\$250)
Total	---	---	\$4,225	---	---	(\$250)	---	---	\$0	---	---	\$3,975	---	---	(\$250)

^{1/} Does not include \$12,730 from the FY 2009 Omnibus Appropriation (PL 111-8)

D. Summary of Reimbursable Resources

Not applicable.

E. Summary of Requirements by Object Class

**Department of Homeland Security
United States Secret Service
Acquisition, Construction, Improvements, and Related Expenses
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classification		2008 Actual	2009 Enacted ^{1/}	2010 Request	2009 to 2010 Change
23.3	Communication, utilities and misc charges	\$ (57)			
25.0	Other services	3,729	\$ 4,052	\$ 2,928	\$ (1,124)
26.0	Supplies & materials	61	38	38	---
31.0	Equipment	4	35	35	---
32.0	Land & structures	935	974	974	---
	Total, other objects	\$ 4,672	\$ 5,099	\$ 3,975	\$ (1,124)
	Total Direct Obligations	\$ 4,672	\$ 5,099	\$ 3,975	\$ (1,124)
	Unobligated balance, start of year	\$ (1,821)	\$ (874)	---	874
	Unobligated balance, end of year	874	---	---	---
	Total Requirements	\$ 3,725	\$ 4,225	\$ 3,975	\$ (250)

1/ Does not include \$12,730 from the FY 2009 Omnibus Appropriation (PL 111-8)

F. Permanent Positions by Grade

Not applicable.

G. Capital Investment and Construction Initiative Listing

Not applicable.

H. PPA Budget Justifications

**Department of Homeland Security
United States Secret Service
Acquisition, Construction, Improvements, and Related Expenses
Rowley Training Center
Funding Schedule
(Dollars in Thousands)**

PPA: ACIRE		2008 Actual	2009 Enacted ^{1/}	2010 Request	2009 to 2010 Change
Object Classes:					
23.3	Communication, utilities and misc charges	(\$57)	---	---	---
25.2	Other Services	3,729	\$3,178	\$2,928	(\$250)
26.0	Supplies & materials	61	38	38	---
31.0	Equipment	4	35	35	---
32.0	Land & Structures	935	974	974	---
	Total, ACIRE	\$4,672	\$4,225	\$3,975	(\$250)
Full Time Equivalents					

^{1/} Does not include \$12,730 from the FY 2009 Omnibus Appropriation (PL 111-8)

PPA Mission Statement

Acquisition, Construction, Improvements, and Related Expenses Account - Used to maintain the Rowley Training Center, which supports the protection and criminal investigation missions, the two critical homeland security missions covered by the Secret Service.

	2008 Actual	2009 Enacted ^{1/}	2010 Request	2009 to 2010 Change
Other Services	\$3,729	\$3,178	\$2,928	(\$250)

Other services include contractual services with non-Federal sources. The FY 2010 Request includes a termination of one time costs (\$250,000) for a noise abatement study.

I. Changes in Full Time Equivalents

Not applicable.

Department of Homeland Security

United States Secret Service



Fiscal Year 2010
Strategic Context
Congressional Justification

FY 2010 CONGRESSIONAL BUDGET REQUEST STRATEGIC CONTEXT

UNITED STATES SECRET SERVICE (USSS)

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I. STRATEGIC CONTEXT FOR THE FY 2010-2014 BUDGET

A. Mission and Description of the United States Secret Service

The United States Secret Service (USSS) performs two critical homeland security missions: protection and criminal investigations. The USSS protects the President and Vice President, their families, visiting heads-of-state/government, and other designated individuals, such as the Secretary of Homeland Security; investigates threats against these protectees; protects the White House, Vice President's Residence, Foreign Missions, and other designated buildings within the Washington, DC area; and designs, coordinates, and implements operational security plans for designated National Special Security Events (NSSE). USSS investigates violations of laws relating to counterfeiting of obligations and securities of the United States; financial crimes, such as access device fraud, financial institution fraud, identity theft, and computer fraud; computer-based attacks on our nation's financial, banking, and telecommunications infrastructure; and provides critical forensic support for investigations involving missing and exploited children.

In order to accomplish both its protective and investigative missions, the Secret Service has offices located throughout the United States and in 22 foreign countries. The Secret Service employs special agents, uniformed officers, and support personnel.

B. Major Activities and Key Strategic Issues

Protection

In FY 2008, the Service provided incident-free protection to all designated protectees in travel status and within protected facilities. Candidate protective details, provided protection to qualifying presidential candidates/nominees. The Service provided protection and security operations at NSSEs including major political conventions, Presidential campaign debates, and the 63rd United Nations General Assembly. The Service also continued relocation efforts for its Joint Operations Center (JOC).

In FY 2009, the Service will continue to provide incident-free protection to all designated protectees in travel status and within protected facilities. The Service will provide protection and security operations at NSSEs, as well as provide appropriate equipment and staffing for enhanced protection services for White House protectees. Beginning in January 2009, the Service activated a detail fully-equipped and operational for the protection of Former President and Mrs. George W. Bush. Additionally, the Service is providing protection for the Former Vice President and his wife for six months, in accordance with the Former Vice President Protection Act of 2008.

Both President Obama and Vice President Biden have publicly announced that they will maintain extensive domestic and international travel schedules, particularly this year. While the exact details of this travel are unknown, the Service is planning for the additional demands on protection associated with such travel. The international, domestic and individual threat environment for Secret Service-protected individuals, venues, and infrastructure was elevated throughout the 2008 Presidential Campaign and transition. These trends remain high, and the Service is hiring and training additional staff to evaluate the increased volume of threat information received. In addition, the Service is increasing the number of Counter Assault Teams to ensure coverage for the President and his family, while maintaining coverage for former President George W. Bush. The Service is also making adjustments to provide additional Counter Surveillance Unit support to the President and Vice President, and their immediate family members as appropriate.

In FY 2010, the Service will continue to provide incident-free protection to all designated protectees in travel status and within protected facilities, including the White House. The Service will also provide protection and security operations at NSSEs.

Investigations

In terms of protecting the nation's financial infrastructure, Secret Service Field Offices continue to provide training and equipment to identify and address cyber vulnerabilities before the criminal element is able to exploit them. In FY 2008, Secret Service agents trained in the Electronic Crimes Special Agent Program (ECSAP) conducted numerous federal cyber crime investigations and assisted state and local law enforcement agencies in similar investigations, including computer forensic examinations of their backlogged cases. Also in FY 2008, the collaborative efforts and resources of our Electronic Crimes Task Forces (ECTFs) were invaluable in successfully preventing cyber attacks that otherwise would have resulted in large-scale financial losses to U.S.-based companies, or disruptions of critical infrastructures.

In FY 2009, the training, equipment and resources of ECSAP-trained special agents and ECTFs will continue strengthening cyber investigations to lessen the number of victims impacted by cyber crimes, and will mitigate fraud losses to U.S. businesses and financial institutions.

In FY 2010, in addition to identifying and mitigating electronic crimes, ECTFs will engage in exercises to test the emergency response of entities entrusted to protect and secure critical infrastructure. Through the Financial Crimes Task Forces (FCTFs) the Secret Service will maximize the resources of the law enforcement community and the private sector in an effort to combat threats to our financial payment systems, including credit and debit card fraud, mortgage fraud, and other financial fraud schemes.

Infrastructure

Major challenges impacting the Secret Service's ability to maintain a state of increased preparedness and accomplish its mission in the current and predicted threat environments include terrorists' continued motivation to attack U.S. interests (including its leaders and the economy), and the constantly evolving technological sophistication of the threat environment. The Secret Service relies on technology to support the special agents, Uniformed Division officers, and administrative, professional, and technical staffs performing the dual mission. The information technology infrastructure cannot sustain the tempo of current operations. The funds requested in this budget will help the Secret Service address this while the protecting national leaders and the nation's critical financial infrastructure.

C. Resources Requested and Performance Impact

The proposed FY 2010 budget totals \$1,485,609,000 for the Salaries and Expenses appropriation and \$3,975,000 for the Acquisition, Construction, Improvements, and Related Expenses appropriation. Funding will be used to maintain current levels of program operations, provide funding for adjustments to the base, and fund Uniformed Division pay restructuring, enhance Electronic Crimes Task Forces, increased funding for support and information integration and technology transformation efforts.

Current Services

Currently the Secret Service is redeploying and managing existing baseline resources to augment its current capabilities in cyber information infrastructure, cyber infrastructure protection and protective countermeasures. The agency is leveraging external and Departmental resources, as well as conducting a disciplined assessment of needs to find program efficiencies. At present, budget allocations are closely aligned with the Secret Service goals and objectives, and the agency is working with near-term reviews to continue with a sharpened focus.

Program Increases

Adjustments-to-the-Base

The Secret Service is a labor-intensive operation, and it is vital that each program has all necessary resources to remain fully operational. This funding will cover increasing payroll and other personnel-related costs. This funding will allow program managers to direct an appropriate level of human and financial capital to continue the Secret Service's dual mission of protection and investigations.

The number of protectees receiving varying levels of protection from the Secret Service has significantly increased since September 11, 2001. Furthermore, the methods utilized to attack U.S. economic interests are becoming more sophisticated, and investigative cases are becoming more complicated. Secret Service personnel are performing critical tasks on a daily basis to provide security for all protectees, as well as to work to combat, disrupt and prevent financial and electronic crimes. These activities directly support DHS Goal 3: Protect Critical Infrastructure, and also have a direct impact on Secret Service protection and investigation-related performance measures.

Information Integration and Transformation Program

This funding will be used to improve the Service's infrastructure framework which is currently in a degraded state and adversely impacting critical operational missions. This includes the operations/maintenance of data center operations, to include servers, networks, U.S. and foreign circuits, wide area network (WAN) connectivity, network operating system software, network and information security monitoring systems, technology refresh, and update and/or replacement of legacy/aging equipment or software. In addition, the funding includes optimization and performance monitoring such as establishing and base-lining infrastructure performance, establishing periodic reporting for identifying and reacting to trends, changes and issues, and training staff to build competencies in information technology performance management. This also includes funding for five professional positions. The information technology infrastructure will be re-engineered to include the development of requirements, guidelines, and new programs and technologies as an immediate and critical need. Network and server competencies will be strengthened by adding commercial services, and the staff will be trained and educated to support the transformation.

This funding also supports a dynamic, information-sharing environment that delivers secure information at the right time, to the right recipient, and in the right format under every circumstance. This environment must be securely managed and protected enterprise-wide from threats posed by adversaries. Without this information assurance, the Service is vulnerable and at risk for professional-grade cyber attacks while the ability to share multi-level information across the enterprise is minimized.

In addition, this funding allows for a cross-domain application multi-level security project necessary to meet the National Security Strategy (NSS) and DHS goals and policies requiring a secure mission environment while operating in a sensitive business environment. This project will consist of a major acquisition process, systems engineering, architecture, design, development, test and evaluation, deployment, maintenance, sustainment, hardware and software to implement digital rights management, digital signatures, and data classification management. This multi-level secured cross-domain IT application and data environment will provide the Service with the most efficient and effective means to perform mission critical operations.

This funding will support engineering and architecture activities to modernize the Secret Service database architecture to provide a higher rate of availability, and to optimize performance, scalability and disaster recovery capabilities to meet current and future needs. This is necessary to support investigative and legal litigation cases which require high data accuracy, and faster reporting in a web accessible format. This includes upgrades to database hardware and software supporting over 300 WEB applications and databases. The new database architecture will provide improved application and database performance, fewer outages, support continuity of operations through robust backup and recovery procedures, redundancy of infrastructure supporting critical database, and support DHS Enterprise Data Management Directive 103.01. The applications developed based on these new technologies and standards will provide enhanced application abilities and improved efficiencies in processes, and enable information sharing within the Secret Service and with other DHS and federal agencies.

Also, this funding enables a proactive, cyber defense environment that provides situational awareness, command and control, defensive mechanisms and information assurance policies and processes. This environment will provide enterprise-wide protection through the dynamic information-sharing environment of the Department of Homeland Security and the Director of National Intelligence cyber programs. It will be a cohesive, integrated approach to cyber defense that will provide policies, procedures, technologies, and training across all Secret Service directorates.

This cross-cutting initiative will directly impact protective and investigative performance measures including – the *Percentage of Instances Protectees Arrive and Depart Safely (Campaign, Domestic, and Foreign Dignitary Protectees)*, the *Volume of Intelligence Assessed (classified information)*, *Financial Crimes Loss Prevented (Through a Criminal Investigation and by the Secret Service Electronic Crimes Task Forces)* and *Counterfeit Passed as the Percent of the Amount of Genuine U.S. Currency in Circulation*.

Cyber Infrastructure Protection Program

Through this program, the Secret Service will fund the operational costs of the Electronic Crimes Task Forces (ECTFs) and DHS-mandated Certification and Accreditation (C&A) of the Secret Service online reporting system. In recent years, the combination of the information revolution and the effects of globalization have caused the investigative mission of the Secret Service to evolve. The advent of technology and the Internet has created a transnational “cyber criminal” and the Secret Service has observed a marked increase in the quantity, quality, and complexity of cyber cases targeting U.S. financial institutions and critical infrastructure. Crimes are transnational in nature and are intertwined with the illicit use of computers. To protect our critical financial infrastructure from the constant threats and attacks launched by transnational organized criminal groups, the Secret Service has adopted a multi-faceted, multi-pronged approach to aggressively address this issue. The Secret Service has successfully dismantled some of the largest known cyber criminal organizations by combining partnering resources and expertise. ECTFs partner with state and local law enforcement, prosecutors, private

sector interests and academia to prevent cyber-crime and identify theft. The work of the ECTFs is critical to protecting the nation's financial infrastructure. The ECTFs prioritize investigative cases involving electronic crimes that have any one of the following criteria: significant economic or community impact; involvement of organized criminal groups involving multiple districts or transnational organizations; or utilization of schemes involving new technology.

Specifically, this initiative will directly impact the following outcome performance measures – *Financial Crimes Loss Prevented (Through a Criminal Investigation and by the Secret Service Electronic Crimes Task Forces) and Counterfeit Passed as the Percent of Amount of Genuine U.S. Currency in Circulation.*

Protective Countermeasures Program

This funding supports draft legislation in “The Uniformed Division Modernization Act of 2010” which, if enacted, would move the bulk of the governing authorities for UD pay and compensation issues out of the District of Columbia Code and into Title 5 of the United States Code, while preserving existing authorities and benefits for UD members. It would create a new salary table for Uniformed Division members that establish consistent rank and step increases, provide for faster step progression, and give UD new hiring flexibilities.

These reforms would greatly assist UD in meeting its ongoing recruiting and retention challenges, and would simplify the administration of pay and benefits for UD members.

Specifically, this initiative will directly impact the following outcome performance measures – *the Percentage of Instances Protectees Arrive and Depart Safely, Percentage of Time Incident Free Protection is Provided to Persons Inside the White House Complex and Vice President's Residence, and the Percentage of National Special Security Events Successfully Completed.*

D. How Secret Service Programs and Performance Goals Align to and Support DHS Goals and Objectives.

Domestic Protectees program performance goal - Protect our nation's leaders and other protectees.

Goal 3 – Protect critical infrastructure

Objective 3.2 – Ensure continuity of government communications and operations.

Foreign Protectees and Foreign Missions program performance goal - Protect visiting world leaders

Goal 3 – Protect critical infrastructure

Objective 3.2 – Ensure continuity of government communications and

Protective Intelligence program performance goal - Reduce threats posed by global terrorists and other adversaries.

Goal 3 – Protect critical infrastructure

Objective 3.2 – Ensure continuity of government communications and operations.

Financial Investigations program performance goal - Reduce losses to the public attributable to counterfeit currency, other financial crimes, and identity theft crimes that are under the jurisdiction of the Secret Service, which threaten the integrity of our currency and the reliability of financial payment systems worldwide.

Goal 3 – Protect critical infrastructure

Objective 3.1 – Protect and strengthen the resilience of the nation's critical infrastructure and key resources.

Infrastructure Investigations program performance goal - Reduce losses to the public attributable to electronic crimes and crimes under the jurisdiction of the Secret Service that threaten the integrity and reliability of the critical infrastructure of the country.

Goal 3 – Protect critical infrastructure

Objective 3.1 – Protect and strengthen the resilience of the nation's critical infrastructure and key resources.

Campaign Protection program performance goal - Protect our Presidential and Vice Presidential Candidates and Nominees.

Goal 3 – Protect critical infrastructure

Objective 3.2 – Ensure continuity of government communications and operations.

E. Performance Based Budget Highlights by Program

Performance Budget Highlights by Program
 USSS
 2010 Congressional

For each major program, the performance goal, alignment to DHS goals and objectives, total dollars and FTE, and main performance measure/s are shown below. For many of the programs, more performance information may be found on the OMB web site Expectmore.gov (program names may differ slightly from those used in this document).

Program: Campaign Protection						
Performance Goal: Protect our Presidential and Vice Presidential Candidates and Nominees.						
DHS strategic objectives supported and % allocation of activities: 3.2 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$24,500	\$0	\$33,650	\$85,250	\$41,082	\$0
FTE	120	0	74	250	120	0

Performance Plan Measures

Measure: Percent of instances protectees arrive and depart safely (campaign protectees)						
Description of Measure: The security of protectees is the ultimate priority of the Secret Service; therefore, all necessary resources are utilized before and during a protective assignment in order to provide the highest - quality protection the Secret Service demands for all protectees. This measure represents the percent of travel stops where the protectee safely arrives and departs. The performance target is always 100%. Anything under 100% is unacceptable.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	100%	N/A	N/A	100%	100%	N/A
Actual:	100%	N/A	100%	100%	N/A	N/A

Program: Domestic Protectees (DP)						
Performance Goal: Protect our Nation's leaders and other protectees.						
DHS strategic objectives supported and % allocation of activities: 3.2 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$792,670	\$830,560	\$859,669	\$910,127	\$954,465	\$1,019,532
FTE	3,358	3,374	3,440	3,491	3,523	3,778

Performance Plan Measures

Measure: Percent of instances protectees arrive and depart safely (domestic protectees)						
Description of Measure: The percent of travel stops where our Nation's leaders and other protectees arrive and depart safely. The security of protectees is the ultimate priority of the Secret Service; therefore, all necessary resources are utilized before and during a protective assignment in order to provide the highest - quality protection the Secret Service demands for all protectees. The performance target is always 100%. Anything under 100% is unacceptable.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	100%	100%	100%	100%	100%	100%
Actual:	100%	100%	100%	100%	N/A	N/A

Program: Financial Investigations (FI)						
Performance Goal: Reduce losses to the public attributable to counterfeit currency, other financial crimes, and identity theft crimes that are under the jurisdiction of the Secret Service, which threaten the integrity of our currency and the reliability of financial payment systems worldwide.						
DHS strategic objectives supported and % allocation of activities: 3.1 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$315,794	\$341,612	\$345,329	\$334,371	\$361,583	\$388,536
FTE	1,684	1,796	1,726	1,573	1,693	1,803

Performance Plan Measures

Measure: Counterfeit passed as a percent of the amount of genuine currency in circulation						
Description of Measure: The dollar value of counterfeit notes passed on the public reported as a percent of dollars of genuine currency. This measure is calculated by dividing the dollar value of counterfeit notes passed by the dollar value of genuine currency in circulation. This measure is an indicator of the proportion of counterfeit currency relative to the amount of genuine U.S. Currency in circulation, and reflects our efforts to reduce financial losses to the public attributable to counterfeit currency.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	<.01%	<.01%	<.0098%	<.0096%
Actual:	None	None	.0079%	0.0086%	N/A	N/A

Measure: Financial crimes loss prevented through a criminal investigation (in billions).						
Description of Measure: An estimate of the direct dollar loss to the public that was prevented due to Secret Service intervention or interruption of a criminal venture through a criminal investigation. This estimate is based on the likely amount of financial crime that would have occurred had the offender not been identified nor the criminal enterprise disrupted, and reflects the Secret Service's efforts to reduce financial losses to the public attributable to financial crimes. The Investigative program provides manpower on a temporary basis to support protective assignments; a role that is both purposeful and efficient. Field agents provide a "surge capacity" of protective manpower, without which the Secret Service could not accomplish its protective mandate in a cost - effective manner. Although these temporary assignments occur every year, they increase significantly during a presidential campaign requiring the Secret Service to decrease its investigative performance measure targets in campaign years.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	\$1.5	\$1.5	\$1.5	\$1.0	\$1.8	\$1.9
Actual:	\$1.8	\$1.23	\$3.9	\$1.96	N/A	N/A

Program: Foreign Protectees and Foreign Missions (FP/FM)						
Performance Goal: Protect visiting world leaders.						
DHS strategic objectives supported and % allocation of activities: 3.2 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$124,807	\$129,134	\$130,781	\$136,012	\$140,495	\$145,704
FTE	659	659	659	659	659	719

Performance Plan Measures

Measure: Percent of instances protectees arrive and depart safely (Foreign Dignitaries)						
Description of Measure: The percent of travel stops where visiting world leader protectees safely arrive and depart. The security of protectees is the ultimate priority of the Secret Service; therefore, all necessary resources are utilized before and during a protective assignment in order to provide the highest - quality protection the Secret Service demands for all protectees. The performance target is always 100%. Anything under 100% is unacceptable.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	100%	100%	100%	100%	100%	100%
Actual:	100%	100%	100%	100%	N/A	N/A

Program: Infrastructure Investigations						
Performance Goal: Reduce losses to the public attributable to electronic crimes and crimes under the jurisdiction of the Secret Service that threaten the integrity and reliability of the critical infrastructure of the country.						
DHS strategic objectives supported and % allocation of activities: 3.1 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$49,172	\$50,958	\$54,140	\$54,794	\$62,995	\$68,867
FTE	254	289	300	277	291	305

Performance Plan Measures

Measure: Financial crimes loss prevented by the Secret Service Electronic Crimes Task Forces (in millions).						
Description of Measure: An estimate of the direct dollar loss to the public prevented due to investigations by Secret Service ECTFs throughout the United States, which were established pursuant to the USA PATRIOT Act. The estimate is based on the likely amount of electronic financial crime that would have occurred had the offender not been identified nor the criminal enterprise disrupted. It reflects the Secret Service's efforts to reduce financial losses to the public attributable to electronic crimes. The Investigative program provides manpower on a temporary basis to support protective assignments; a role that is both purposeful and efficient. Field agents provide a "surge capacity" of protective manpower, without which the Secret Service could not accomplish its protective mandate in a cost - effective manner. Although these temporary assignments occur every year, they increase during a presidential campaign requiring the Secret Service to decrease its performance measure targets in campaign years.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	\$150	\$150	\$150	\$150	\$300	\$310
Actual:	\$556.2	\$315.9	\$355.1	\$410.9	N/A	N/A

Program: Protective Intelligence (PI)						
Performance Goal: Reduce threats posed by global terrorists and other adversaries.						
DHS strategic objectives supported and % allocation of activities: 3.2 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$68,857	\$71,225	\$73,548	\$74,942	\$77,334	\$86,945
FTE	441	446	450	450	450	450

Performance Plan Measures

Measure: Number of Protective Intelligence cases completed.						
Description of Measure: The total number of intelligence cases completed by agents assigned to field operations. These cases generally represent an assessment of individuals or groups who have threatened a protectee of the Secret Service.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	4,000	4,000	3,300	4,200	4,000	4,000
Actual:	4,614	4,164	3,631	3,036	N/A	N/A

F. Digest Tables by FYHSP Program

DIGEST OF FY 2010 BUDGET ESTIMATES BY ACTIVITY AND FYHSP PROGRAM
All Appropriations
(dollars in thousands)

BUDGET ACTIVITY	FY 2008 Actual		FY 2009 Enacted		FY 2010 Estimate		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
1. PROTECTION	4,607	\$1,207,492	4,752	\$1,213,376	4,947	\$1,252,181	195	\$38,805	2	\$28,967	193	\$ 9,838
Domestic Protectees	3,142	909,928	3,523	954,465	3,778	1,019,532	255	65,067	1	24,335	254	40,732
<i>White House Mail Processing</i>	---	16,252	---	33,701	---	25,315	---	(8,386)	---	---	---	(8,386)
Foreign Protectees and Foreign Missions	576	107,546	659	140,495	719	145,704	60	5,209	1	2,988	44	2,221
Protective Intelligence	514	77,602	450	77,334	450	86,945	---	9,611	---	1,644	15	7,967
Campaign Protection	375	112,416	120	41,082	---	---	(120)	(41,082)	---	---	(120)	(41,082)
2. INVESTIGATIONS	1,921	448,739	1,984	424,578	2,108	457,403	124	32,825	1	11,033	123	21,792
Financial Investigations	1,612	382,872	1,693	361,583	1,803	388,536	110	26,953	1	7,692	109	19,261
Infrastructure Investigations	309	65,867	291	62,995	305	68,867	14	5,872	---	3,341	14	2,531
Subtotal, Salaries and Expenses Budget Authority (All Sources)	6,528	\$1,656,231	6,736	\$1,637,954	7,055	\$1,709,584	319	\$71,630	3	\$40,000	316	\$31,630
Less Adjustments for Other Funding Sources:		(\$26,735)										
Total, enacted appropriations and budget estimates	6,528	\$1,629,496	6,736	\$1,637,954	7,055	\$1,709,584	319	\$71,630	3	\$40,000	316	\$31,630

Department of Homeland Security

National Protection and Programs Directorate



Fiscal Year 2010
Overview
Congressional Justification

i. Summary of FY 2010 Budget Estimates by Appropriation

**Department of Homeland Security
National Protection and Programs Directorate
Strategic Context Overview
Summary of FY 2010 Budget Estimates by Appropriation
Total Appropriations
(Dollars in Thousands)**

Program/Project Activity	FY 2008 Actuals		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE*	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Management and Administration	40	44,720	75	51,350	129	44,577	54	(6,773)	---	---	54	(6,773)
Infrastructure Protection and Information Security	350	555,056	636	806,913	1,031	918,166	395	111,253	38	87,276	357	23,977
United States Visitor and Immigrant Status Indicator Technology	93	338,312	119	300,000	199	356,194	80	56,194	---	52,894	80	3,300
Federal Protective Service**	[1053]	[613,000]	[1225]	[640,000]	1,225	640,000	---	---	---	---	---	---
Enacted Appropriations and Budget Estimates	483	938,088	830	1,158,263	2,584	1,958,937	529	160,674	38	140,170	491	20,504

* Includes 377 Federal Staff realignment personnel

** Funding in FY 2008 and FY 2009 for Federal Protective Service was requested as part of U.S. Immigration and Customs Enforcement. Funding is now being proposed for transfer to NPPD in the FY 2010 Request.

ii. Homeland and Non-Homeland Allocation

**Department of Homeland Security
National Protection and Programs Directorate
Homeland and Non-Homeland Allocation by Program/Project Activity
(Dollars in Thousands)**

Budget Activity	FY 2008 Actuals						FY 2009 Enacted						FY 2010 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE*	Amount	FTE	Amount	FTE	Amount	FTE*	Amount	FTE	Amount	FTE*	Amount
Management and Administration	40	\$44,720	---	\$0	40	\$44,720	75	\$51,350	---	\$0	75	\$51,350	129	\$44,577	---	\$0	129	\$44,577
Directorate Administration	35	35,668	---	---	35	35,668	64	41,850	---	---	64	41,850	104	34,682	---	---	104	34,682
Risk Management and Analysis	5	9,052	---	---	5	9,052	11	9,500	---	---	11	9,500	25	9,895	---	---	25	9,895
Infrastructure Protection and Information Security (IPIS)	350	\$555,056	---	\$0	350	\$555,056	636	\$806,913	---	\$0	636	\$806,913	1,031	\$918,166	---	\$0	1,031	\$918,166
Identification & Analysis	48	\$61,775	---	---	48	61,775	83	\$80,603	---	---	83	\$80,603	130	\$86,610	---	---	130	\$86,610
Coordination & Information Sharing	62	\$57,350	---	---	62	57,350	83	\$62,367	---	---	83	\$62,367	89	\$50,582	---	---	89	\$50,582
Mitigation Programs	135	120,512	---	---	135	120,512	220	170,830	---	---	220	170,830	469	196,111	---	---	469	196,111
National Cyber Security Division	32	153,541	---	---	32	153,541	105	313,500	---	---	105	313,500	186	400,654	---	---	186	400,654
Priority Telecommunications Service	26	85,932	---	---	26	85,932	40	58,740	---	---	40	58,740	41	56,773	---	---	41	56,773
Programs to Study & Enhance Telecommunications	20	12,941	---	---	20	12,941	25	15,100	---	---	25	15,100	28	19,274	---	---	28	19,274
Critical Infrastructure Protection Programs	21	14,654	---	---	21	14,654	29	11,260	---	---	29	11,260	36	13,852	---	---	36	13,852
Next Generation Networks	---	17,248	---	---	---	17,248	---	50,250	---	---	---	50,250	---	50,250	---	---	---	50,250
National Command & Coordination Capability	---	---	---	---	---	---	9	5,963	---	---	9	5,963	---	---	---	---	---	---
Office of Emergency Communications	6	31,103	---	---	6	31,103	42	38,300	---	---	42	38,300	52	44,060	---	---	52	44,060
United States Visitor and Immigrant Status Indicator Technology	93	338,312	---	---	93	338,312	119	300,000	---	---	119	300,000	199	356,194	---	---	199	356,194
Federal Protective Service**	[1053]	[613,000]	---	---	[1053]	[613,000]	[1225]	[640,000]	---	---	[1225]	[640,000]	1,225	640,000	---	---	1,225	640,000
Total Direct Appropriations and Budget Estimates	483	938,088	---	---	483	938,088	830	1,158,263	---	---	830	1,158,263	2,584	1,958,937	---	---	2,584	1,958,937

* Includes 377 Federal Staff realignment personnel

** Funding in FY 2008 and FY 2009 for Federal Protective Service was requested as part of U.S. Immigration and Customs Enforcement. Funding is now being proposed for transfer to NPPD in the FY 2010 Request.

iii. Status of Congressionally Requested Studies, Reports and Evaluation

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2009		Reference: House Appropriations Committee Report, 110-862 Citation: page 96	"[These] plan[s] shall each include a discussion of the strategic context for the initiatives; the specific goals and milestones NPPD has set for the program[s]; the funds allocated to achieving each of those goals and milestones; and a detailed analysis of investments in each program to date, as well as total investments required by fiscal year to complete the projects planned." Restricts from obligations half of the funds appropriated for National Cyber Security Initiative (\$127,462,000)	Expenditure Plan completed. Awaiting release by DHS.
2009		Reference: House Appropriations Committee Report, 110-862 Citation: page 96	House Report: "[These] plan[s] shall each include a discussion of the strategic context for the initiatives; the specific goals and milestones NPPD has set for the program[s]; the funds allocated to achieving each of those goals and milestones; and a detailed analysis of investments in each program to date, as well as total investments required by fiscal year to complete the projects planned." Restricts from obligations half of the funds appropriated for the Next Generation Networks program (\$25,125,000) until NPPD submits and the Committees approves an expenditure plan.	The National Communications System is currently revising the report.
2009	March 20, 2009	Reference: Senate Appropriations Committee Report, 110-396	Infrastructure Protection - Report on progress it has made to expand vulnerability assessment capacity.	Infrastructure Protection is currently drafting.
2009	Status Briefing: Oct. 31, 2008 Report: April 6, 2009	Reference: 2009 Appropriations Conference Report	National Cyber Security Division - Directed to conduct a privacy impact assessment for its cyber security initiative and brief the Committees. Senate: The Committee directs the administration to conduct a privacy impact assessment of its cyber security initiative and assure it conforms to the Fair Information Practices embodied in the Privacy Act of 1974. The administration shall brief the Committee on the status of these assessments no later than October 31, 2008.	Briefing is being scheduled with appropriations committees.

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2009		Reference: Senate Appropriations Committee Report, 110-396	National Command and Coordination Capability - Directs Government Accountability Office (GAO) to: <ul style="list-style-type: none"> - Examine the business case including strategic relevance and the extent to which it supports end users needs; - Review plans to integrate the existing information sharing infrastructure to support crisis management; - Evaluate program plans and budgets for the current and upcoming budget years; - Identify key risks that may jeopardize program success; - Look for duplication of effort. Note: The Conference does not indicate the requirement for a GAO review or submission of a report to the Committees, in contrast to the requirements in the Senate report. In process of determining the specific requirement with DHS Appropriation Liaison.	Report drafted. Undergoing NPPD clearance.
2009		Reference: 2009 Appropriations Conference Report	US-VISIT: No funds may be obligated Air Exit until GAO reviews and the Committee receives a report on the two pilots of the Air Exit solution, as directed in the House report, with the exception that the pilots should be completed no later than January 31, 2009. There is no requirement for the report to be approved by the Committees. House: [...] pilot tests of the air exit solution [...] to include at least two scenarios: (a) where the airlines collect and transmit biometric exit data as proposed in the notice of proposed rulemaking and (b) where U.S. Customs and Border Protection collects such information at the departure gates. The Committee expects the information gathered to include workload information, cost data, the impact on passenger processing time, and data related to the quality and security of traveler information collected [...]"	Pilots are scheduled to begin end of May, 2009.
2009	With FY 2010 Budget	Reference: 2009 Appropriations Conference Report	US-VISIT: Report on the prospects for implementation of enumerations throughout DHS House: “[...] to submit a report on the prospects for implantation of enumeration throughout the Department with the submission of the fiscal year 2010 budget requests.”	Completed and undergoing DHS clearance.
2009	Quarterly	Reference: Senate Appropriations Committee Report, 110-396	US-VISIT: Continue providing quarterly briefings on progress being made on Unique Identity.	Ongoing.
2009	Quarterly	Reference: House Appropriations Committee Report, 110-862	US-VISIT: Briefing for House and Senate on Unique Identity Progress with status on enumeration, 10-Print, and Interoperability.	Ongoing.
2009	September 30, 2008	Reference: House Appropriations Committee Report, 110-862	US-VISIT: Submit a reprogramming of fiscal year 2008 funding as soon as possible to enable the review of overstay reports.	The Department is evaluating the need for additional resources to review overstay reports.

iv-A. Schedule of Authorized/Unauthorized Appropriations by PPA

Department of Homeland Security
National Protection and Programs Directorate
 Schedule of Authorized/Unauthorized Appropriations by Program Project/Activity
 (Dollars in Thousands)

Budget Activity	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2010 Request
	Fiscal Year	Amount	Amount	Amount
Directorate Administration	2009	41,850	41,850	34,682
Risk Management and Analysis	2009	9,500	9,500	9,895
Identification & Analysis	2009	80,603	80,603	86,610
Coordination & Information Sharing	2009	62,367	62,367	50,582
Mitigation Programs	2009	170,830	170,830	196,111
National Cyber Security Division	2009	313,500	313,500	400,654
Priority Telecommunications Service	2009	58,740	58,740	56,773
Programs to Study & Enhance Telecommunications	2009	15,100	15,100	19,274
Critical Infrastructure Protection Programs	2009	11,260	11,260	13,852
Next Generation Networks	2009	50,250	50,250	50,250
National Command & Coordination Capability	2009	5,963	5,963	-
Office of Emergency Communications	2009	38,300	38,300	44,060
United States Visitor and Immigrant Status Indicator Technology	2009	300,000	300,000	356,194
Federal Protective Service	2009	[640,000]	[640,000]	640,000
Total Direct Authorization/Appropriation		\$ 1,158,263	\$ 1,158,263	\$ 1,958,937

Department of Homeland Security

National Protection and Programs Directorate

Management and Administration



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

National Protection and Programs Directorate Management and Administration

I. Appropriation Overview

A. Mission Statement:

Programs funded through the National Protection and Program Directorate (NPPD) Management and Administration (M&A) Appropriation contribute to the NPPD goal of advancing the Department's risk reduction mission. Reducing risk requires an integrated approach that encompasses both physical and virtual threats and their associated human elements. NPPD reduces the risk of attack against the Nation by protecting¹ critical physical and cyber infrastructure, guarding against threats posed by foreign travelers to the country, and by standardizing the Department's approach to the analysis and management of potential risks to the Nation.

B. Budget Activities

The M&A appropriation major program activities include Directorate Administration and Risk Management and Analysis.

Directorate Administration. NPPD Directorate Administration includes the Office of the Under Secretary, which includes: (1) Resource Administration, (2) Budget and Financial Administration, (3) Information Management, (4) Communications and Public Affairs, and (5) Office of Information Technology.

Risk Management and Analysis (RMA). RMA conducts strategic integrated risk analysis and develops the DHS Integrated Risk Framework.

C. Budget Request Summary

NPPD requests 129 positions/FTE and \$44,577,000 in the FY 2010 request, an increase of 40 positions, 54 FTE and a decrease of \$ 6,773,000 from FY 2009 enacted budget of 89 positions, 75 FTE, and \$51,350,000.

¹ The term "protect" means reducing the vulnerability of critical infrastructure or key resources in order to deter, mitigate, or neutralize terrorist attacks. (HSPD-7)

Adjustments-to-Base

1. Annualization of 24 prior year positions: \$1,890,000
2. Annualization of the calendar year 2009 pay increase of 3.9%: \$101,000
3. Calendar year 2010 Pay increase of 2.0%: \$155,000
4. GSA Rent Increase: \$387,000 because of NPPD facility increases and non-pay inflation moved to GSA Rent.
5. Increase to Working Capital Fund: \$1,435,000
6. Transfer to the Office of Executive Secretary for Secretary travel: (\$12,000)
7. Transfer to the Infrastructure Protection and Information Security appropriation for rent and facilities cost: (\$10,729,000)
8. NPPD is offsetting the funding for 40 federal positions from program funds within the Office of the Under Secretary and Risk Management and Analysis. The table below summarizes the \$5,320,000 in offsets by PPA

	Total Positions	FY 2010 Program Funding	FY 2010 Salaries Funding	Net Budget Change
Directorate Administration	26	\$ (3,458)	\$ 3,458	\$ -
RMA	14	\$ (1,862)	\$ 1,862	
Total	40	(5,320)	5,320	\$ -

II. Summary of FY 2010 Budget Estimates by PPA

**Department of Homeland Security
National Protection and Programs Directorate
Management and Administration**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actuals		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE *	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Directorate Administration	35	35,668	64	41,850	104	34,682	40	(7,168)	---	---	40	(7,168)
Risk Management and Analysis	5	9,052	11	9,500	25	9,895	14	395	---	---	14	395
Subtotal, Enacted Appropriations and Budget Estimates	40	44,720	75	51,350	129	44,577	54	(6,773)	---	---	54	(6,773)
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	40	\$44,720	75	\$51,350	129	\$44,577	54	(\$6,773)	---	\$0	54	(\$6,773)

* Includes 40 additional Federal personnel. The salaries and benefits funding is offset by a decrease to program/contract funds.

III. Current Services Program Description by PPA

**Department of Homeland Security
National Protection and Programs Directorate
Management and Administration
Program Performance Justification**
(Dollars in thousands)

PPA: Directorate Administration

	Perm Pos	FTE	Amount
FY 2008 Actuals	54	35	\$ 35,668
FY 2009 Enacted	78	64	\$ 41,850
2010 Adjustments to Base*	26	40	\$ (7,168)
2010 Current Services	104	104	\$ 34,682
2010 Program Change	0	0	\$ -
FY 2010 Request	104	104	\$ 34,682
Total Change 2009-2010	26	40	\$ (7,168)

* Includes 26 Federal positions funded from program funds.

The National Protection and Programs Directorate requests \$34,682,000, 104 positions/FTE for Directorate Administration. The request represents a decrease of \$7,168,000 and an increase of 26 positions and 40 FTE over the FY 2009 enacted. Adjustments-to-base include \$219,000 for pay inflation; annualization of \$1,890,000 for 24 positions received in FY 2009, 26 positions funded from program dollars, an increase of \$1,435,000 for working capital fund increases, an increase of \$216,000 for GSA rent, \$10,729,000 transferred to the Infrastructure Protection and Information Security appropriation for facilities and rent and \$187,000 transferred to the Office Risk Management and Analysis for facilities and rent and \$12,000 transferred to the Office of the Secretary.

CURRENT SERVICES PROGRAM DESCRIPTION:

Office of the Under Secretary

The Office of the Under Secretary provides Directorate leadership and management; coordinates Directorate activities throughout the Department; and serves as an advocate for protection across all governmental sectors, protection stakeholders, and citizens. The Office of the Under Secretary consists of the Under Secretary, Deputy Under Secretary, Chief of Staff, as well as legal and administrative support.

Office of Budget and Financial Administration

The Office of Budget and Financial Administration (OBFA) supports the NPPD mission by providing financial management information, oversight, and fiscal services and policies. The OBFA consists of the following activities and elements:

- *Budget Formulation.* Reviews the current state of programs and projects, and assesses activities against the desired future direction, and builds and justifies funding requests to resource mission needs.
- *Budget Execution.* Responsible for the workflow and funds control process to ensure that resources are available when needed, do not exceed authorized levels, are used in accordance with law and congressional intent, and are recorded and reported on in accordance with federal accounting principles and guidelines.
- *Strategic Planning and Performance Management.* Fulfills internal and external performance management requirements, including the collection, analysis, and monitoring of performance data.
- *Accounting Operations.* Responsible for the overall accounting operations of NPPD and ensures that NPPD meets financial and accounting requirements in support of the DHS' centralized financial management program.
- *Financial Systems Reporting and Internal Controls.* Serves as the liaison to the Immigration and Customs Enforcement and DHS centralized CFO offices - supporting work related to financial systems, financial reporting and internal control programs.
- *Acquisition Operations.* Responsible for reviewing and monitoring NPPD's acquisition documents and ensuring compliance with Federal and DHS acquisition regulations. Tasks include reviewing and tracking of NPPD contracts and small purchases, providing procedural guidance and support to NPPD staff, administering the purchase card program, and supporting investment review. This office also serves as a liaison to the DHS procurement office.

FY 2008 Accomplishments

- Provided day-to-day fiscal services and financial operations including funds approval, prompt payment of invoices, payroll reconciliations and projections.
- Supported the development of the DHS Strategic Plan. Also, supported the DHS Performance Improvement Council and the DHS Performance Working Group.
- Conducted appropriations law training across the Directorate in conjunction with the DHS Office of General Counsel.
- Managed travel and purchase cards.
- Developed the FY 2009 President's Budget Request and Congressional Briefings.

FY 2009 Planned Accomplishments

- Provide day-to-day fiscal services and financial operations including funds approval, prompt payment of invoices, payroll reconciliations and projections.
- Initiate an NPPD Internal Controls Program. In accordance with OMB Circular A-123, conduct assessments of internal controls on Funds Control and Budgetary Resource Management.

- Review and process for completion un-liquidated obligations from NPPD forerunner organizations: the Information Analysis and Infrastructure Protection Directorate and Preparedness Directorate.
- Implement web-based invoice consolidation payment system.
- Institute and track Directorate operating and procurement fiscal plans.
- Work with DHS CFO to define the requirements of the next generation financial and procurement system.
- Prepare the FY 2010 budget submission and supporting documentation.
- Conduct appropriation law training with DHS OGC.
- Transition to user-friendly web-based FedTraveler system.

FY 2010 Planned Accomplishments

- Design and conduct assessments of internal controls over program operations.
- Strengthen performance measures and the performance management process. Evaluate performance measures to ensure the measures align with strategic goals and objectives and that the data collected is relevant and informative to decision makers. Collect and analyze data more effectively to inform corrective actions and program/activity changes that minimize risk.
- Enhance investment portfolio management and prioritization through the development of and adherence to an NPPD Investment Review Process. Support investments by communicating the Department's investment review guidance, assisting in compliance, and facilitating investments through the Department's Investment Review Process.
- Strengthen the Directorate knowledge base of program management techniques to enhance status reporting and to reduce program/project risk.

Office of Resource Administration

The Office of Resource Administration (ORA) provides operational services for human capital planning, facilities and property, security, and emergency plans and continuity. The ORA consists of the following activities and elements:

- *Human Capital.* Responsible for recruiting, tracking staff levels by office and maintaining records of NPPD personnel.
- *Training.* Coordinates all of the mandatory and voluntary training requirements of the Directorate, the Department, and the Government.
- *Facilities.* Responsible for facilities property and logistics support, facility space planning, rent, procurement and oversight of facilities support services and COOP activities.
- *Assets and Property.* Records Directorate property, manages the fleet of GSA owned vehicles, and documents property records as well as disposal.

- *Security.* Implements all of the National Security Information (NSI) programs, Controlled Unclassified Information (CUI), and Sensitive Security Information (SSI) programs. Security also procures the armed guards and escort services for NPPD facilities, physical access control and key control for NPPD facilities, and ensure NPPD facilities' intrusion detection systems and security access control mechanisms are maintained and up-to-date.
- *Emergency Plans and Continuity.* Coordinates NPPD Continuity of Operations (COOP) plans, emergency preparedness and continuity of operations, occupant evacuation plans, Pandemic Influenza plans and the Incident Management plans for the Directorate.
- *Exercise Program.* Plans exercises and coordinates NPPD participation in Departmental or government-wide exercises.

FY 2008 Accomplishments

- Instituted a hiring tiger team to streamline the hiring process, as well as recruitment and advertising positions.
- Acquired and managed space to meet the requirements of a growing staff level.
- Acquired and managed the vehicle fleet for several NPPD programs expanding field operations.
- Tracked and managed NPPD employee mandatory training.
- Participated in DHS COOP exercises.

FY 2009 Planned Accomplishments

- Fill vacant and new positions to within 75% of positions authorized.
- Continue to manage staffing level growth along with the associated need for space, equipment, and vehicles.
- Implement and establish a full service training program in conjunction with the Department's Training Branch.
- Manage the Directorate Table of Organization, which lays out how personnel are aligned within the Directorate and staffing levels to assist in Workforce Planning.
- Participate in DHS COOP exercises.

FY 2010 Planned Accomplishments

- Continue to support long range facilities planning efforts, including participating in the planning efforts for the eventual move to the St. Elizabeth's campus.
- Hire new positions requested in FY 2010.
- Participate in DHS COOP exercises.

Information Technology Division

The Information Technology Division is responsible for developing, maintaining, and facilitating the implementation of sound and integrated information technology architecture. Responsibilities include:

- Enterprise Architecture alignment and planning,
- Capital Planning and Investment Control (CPIC) support,
- Engineering support services including engineering and liaison services,
- IT portfolio management; technical specification development,
- Administration and use of Project Management Information Systems (PMIS),
- Integrated Project Team (IPT) customer support,
- IT policy, governance and process development,
- And ensuring that performance based management principles are used for acquiring IT.

FY 2008 Accomplishments

- Delivered IT services via a Project Management Office in direct support of the NPPD mission, goals, objectives, and programs for major systems.
- Ensured project execution according to the standards of the System Development Lifecycle (SDLC) for all NPPD IT investments and projects, ensuring mission requirements are met and are cost-effective.
- Managed and ensured Earned Value periodic reporting for IT investments quarterly.
- Developed and maintained NPPD Enterprise Architecture (EA) alignment with the Department EA.
- Supported NPPD IT transformation and investment funding prioritization and allocation by delivering advanced decision support to leadership.
- Managed and administered NPPD IT resources and assets.
- Developed and maintained a Directorate Information Security Program that is fully aligned with the Department, including development and enforcement of Security policy, COMSEC Management, DAA/ISSM/ISSO training.
- Implemented a Scanning and Wireless Tool Kit and modernized other IT security operations.
- Performed Privacy Impact Assessments and Privacy Threshold Analyses.
- Ensured Directorate Section 508 compliance through review of all IT purchases and Section 508 grievances filed with the Civil Rights and Liberties Office. Additionally, ensured all new programs are Section 508 compliant.

FY 2009 Planned Accomplishments

- Implement 2 factor authentications via HSPD-12 cards for both logical (network) and physical (work sites) access.
- Deliver IT services via a Project Management Office in direct support of the NPPD mission, goals, objectives, and programs for major systems.

- Develop and maintain NPPD Enterprise Architecture (EA) alignment with the Department EA.
- Support NPPD IT transformation and investment funding prioritization and allocation by delivering advanced decision support to leadership.
- Develop and maintain a Directorate Information Security Program that is fully aligned with the Department, including development and enforcement of Security policy, COMSEC Management, DAA/ISSM/ISSO training.
- Develop and implement a robust IT support model for NPPD Remote (Field) offices to ensure IT capabilities are implemented and maintained for programs with remote personnel.
- Support the IT component of NPPD facility build-outs.

FY 2010 Planned Accomplishments

- Support IT services via a Project Management Office in direct support of the NPPD mission, goals, objectives, and programs for major systems.
- Ensure project execution according to the standards of the System Development Lifecycle (SDLC) for all NPPD IT investments and projects, ensuring mission requirements are met and are cost-effective.
- Manage and ensure Earned Value periodic reporting for IT investments quarterly.
- Maintain NPPD IT transformation and investment funding prioritization and allocation by delivering advanced decision support to leadership.
- Manage and administer NPPD IT resources and assets.
- Continue to maintain a Directorate Information Security Program that is fully aligned with the Department, including development and enforcement of Security policy, COMSEC Management, DAA/ISSM/ISSO training.
- Perform Privacy Impact Assessments and Privacy Threshold Analyses.
- Ensure Directorate Section 508 compliance through review of all IT purchases and Section 508 grievances filed with the Civil Rights and Liberties Office. Additionally, ensure all new programs are Section 508 compliant.

Office of Communications and Public Affairs

Office of Communications and Public Affairs (OCPA) is the nexus for all NPPD communications, outreach, and awareness. OCPA is comprised of three branches: Internal Communications, External Communications, and Strategic Communications.

OCPA plays a lead role in developing and approving all correspondence and messaging that is intended for public or private outreach or distribution. OCPA develops communications strategies and action plans to promote Directorate programs and activities. OCPA develops and posts content for all directorate and Component pages on the Intranet site (DHSOnline.gov) and on the department's external website (DHS.gov).

FY 2008 Accomplishments

- Stood up the Office of Communications and Public Affairs

FY 2009 Planned Accomplishments

- Launch the NPPD Info Center to serve as the primary portal for NPPD-specific information and cross-component coordination
- Produce and distribute a variety of electronic products to improve communication with internal and external audiences. Products include:
 - Daily News Clips (NPPD/DHS-related media coverage)
 - Daily Report (public speaking events, interviews, etc.)
 - “Weekly Update” Newsletter (NPPD/DHS news and announcements)

FY 2010 Planned Accomplishments

- Launch iShare information sharing resource through Internal Communications branch. iShare will enable the NPPD workforce to blog/post about directorate issues and events, as well as directly engage the Directorate’s leadership team
- Create NPPD Speakers Bureau through the External Communications branch. The Speakers Bureau will serve as a clearinghouse to review external public speaking requests and make recommendations on participating of NPPD leadership and subject matter experts
- Establish a series of topical monthly Leadership Forums based on issues raised by the workforce led by NPPD leadership

Office of Information Management

The Office of Information Management is responsible for managing and improving external communications for NPPD. Information Management is comprised of the Executive Secretariat, Freedom of Information Act (FOIA)/Privacy, and the Audit Liaison function.

- *Executive Secretariat.* Serves as the central processing point for formal documents and taskers sent to/from NPPD.
- *Freedom of Information Act (FOIA)/Privacy.* Works in concert with the Department Privacy Office, which serves as the steward of *Section 222*, the responsibilities of the Chief Privacy Officer, of the Homeland Security Act, the Privacy Act of 1974, the Freedom of Information Act, the E-Government Act of 2002 and the numerous laws, Executive Orders, court decisions and Departmental policies that protect the collection, use and disclosure of personal and Departmental information.
- *Audit Liaison Function.* Serves as a liaison among external Departmental offices, the Government Accountability Office (GAO), Office of the Inspector General (OIG) and NPPD offices for all audit activities undertaken by either the GAO or

OIG. Activities include entrance/exit conferences, fieldwork, release of draft and final reports, and recommendation follow-up.

FY 2008 Accomplishments

- Planned, developed, and implemented operating policies, procedures, and guidelines for the preparation and routing of correspondence for signature of NPPD senior executives or Department officials.
- Reviewed and completed NPPD Reports to Congress.
- Managed NPPD correspondence; Responded to White House requests, Congressional Questions for the Record and others.
- Received and processed FOIA requests submitted for information held by NPPD and provide guidance to NPPD personnel responsible for assisting with FOIA document and information requests.
- Built privacy protections into NPPD programs and systems.
- Provided policies and procedures for NPPD for responding to and implementing recommendations in audit reports issued by the Office of Inspector General (OIG) and the General Accounting Office (GAO).

FY 2009 Planned Accomplishments

- Manage NPPD responses to OIG/GAO requests and track progress on open recommendations and ensure closure.
- Implement a tool for the assignment, monitoring, reviewing, and editing of correspondence, action and information memoranda, congressional reports, White House requests, Congressional Questions for the Record, and other material.
- Ensure timely review and completion of NPPD Reports to Congress.
- Receive and process FOIA requests for information held by NPPD and provide guidance to NPPD personnel responsible for assisting with FOIA document and information requests.
- Continue working to build privacy protections into NPPD programs and systems.

FY 2010 Planned Accomplishments

- Assign, monitor, review, edit, and manage correspondence, action and information memoranda, congressional reports, White House requests, Congressional Questions for the Record, and other material.
- Ensure timely review and completion of NPPD Reports to Congress.
- Receive and process FOIA requests for information held by NPPD and provide guidance to NPPD personnel responsible for assisting with FOIA document and information requests.
- Ensure privacy protections are maintained in NPPD programs and systems.

**Department of Homeland Security
National Protection and Programs Directorate
Management and Administration
Program Performance Justification**
(Dollars in thousands)

PPA: Risk Management and Analysis (RMA)

	Perm Pos	FTE	Amount
FY 2008 Actuals	11	5	\$ 9,052
FY 2009 Enacted	11	11	\$ 9,500
2010 Adjustments to Base*	14	14	\$ 395
2010 Current Services	25	25	\$ 9,895
2010 Program Change	0	0	\$ -
FY 2010 Request	25	25	\$ 9,895
Total Change 2009-2010	14	14	\$ 395

* Includes 14 Federal positions funded from program funds.

In FY 2010, the National Protection and Programs Directorate requests \$9,895,000 and 25 positions/FTE for RMA. The FY 2010 Request represents an increase of \$395,000 from the FY 2009 enacted budget of \$9,500,000. The FY 2010 Request includes an adjustment-to-base of \$37,000 for pay inflation, \$171,000 for GSA rent, 14 positions funded from program funds, and a transfer of \$187,000 from the Administration PPA for rent and facilities.

CURRENT SERVICES PROGRAM DESCRIPTION:

The National Strategy for Homeland Security states that the Department must apply a risk-based framework across all homeland security efforts in order to identify and assess potential hazards and their downstream effects, determine what levels of relative risk are acceptable, and prioritize and allocate resources among all homeland security partners, both public and private, to prevent, protect against, and respond to and recover from all manner of incidents.² The homeland security mission is complex, and resources are constrained. The Department will use qualitative and quantitative risk assessments to inform resource decisions.³

The Department's approach to risk-informed decision making has matured considerably over the past five years and will continue to evolve as new analytic approaches are developed to deal with the complexities and uncertainties inherent in many of the risks for which DHS holds responsibility. Despite considerable progress, there is much that remains to be done. To advance these efforts, RMA has established two objectives:

² The National Strategy for Homeland Security, October 2007, page 41.

³ The National Strategy for Homeland Security, October 2007, page 41.

Establish and institutionalize a DHS Integrated Risk Management Framework. An Integrated Risk Management (IRM) Framework will consist of the doctrine, processes, and guidelines that will enable risk-informed decision making across DHS at the strategic, operational and tactical levels. It describes enterprise-wide processes by which information about risk is gathered, aggregated, analyzed, communicated, and used to strategically prioritize efforts.

Conduct strategic, integrated risk analysis. Risk analysis should leverage the various risk assessments being conducted within and outside the Department. Such analysis assists DHS leadership in prioritizing activities across DHS' diverse mission sets. The analysis is built upon scalable and flexible structures to leverage the risk management capabilities of the Department's component offices. Analysis is designed and data is collected and analyzed in a way that diverse and divergent efforts can be combined, if needed, to create usable analysis to address strategic problems.

FY 2008 Accomplishments

- Managed and led the administration and operation of a Department Risk Steering Committee (RSC). The Steering Committee is a cooperative body formed to ensure that risk management is carried out consistently throughout the Department.
- Implemented a Department lexicon development program for risk by establishing an RSC Lexicon Working Group (RLWG). The RLWG constructed the core of the DHS Risk Lexicon, which consists of approximately 80 words and terms.
- Completed the first prototype for the Risk Assessment Process for Informed Decision Making (RAPID). RAPID supports strategic policy and budgetary decision making, by assessing risk, evaluating risk reduction effects of DHS programs, and evaluating alternative resource allocation strategies.
- Through the RSC Risk Analytical Guidelines Working Group, RMA identified a collection of risk management principles and standards to analyze and assess for distribution.
- RMA drafted a risk management annex (Annex B) for the Integrated Planning System. In addition, RMA participated in the development of the National Homeland Security Plan. It further elevates risk management as essential to implementing the Nation's Homeland Security Strategy in support of Homeland Security Presidential Directive 8, Annex 1, which called for a new approach to homeland security planning as well as a Plan to implement the National Homeland Security Strategy.
- Completed first draft of the Interim DHS Integrated Risk Management Framework. The IRMF provides a foundation for developing follow-on policy, doctrine and guidance that will institutionalize integrated risk management in the Department. The IRMF outlines a vision, objectives, principles and a process for integrated risk management within DHS, and identifies how the Department will achieve integrated risk management by developing and maturing governance, processes, training, and accountability methods.

- Scoped and framed the Homeland Security National Risk Assessment (HSNRA). Departmental leadership requires current and/or projected future risk information in a timely and structured manner in order to meet the Nation's requirement for a strategic, risk-based decision support tool assessing risks to homeland security from all hazards now and in the future (potentially 5-10 years out).

FY 2009 Planned Accomplishments

- Establish a working group to conduct an assessment of the requirements and resources available, complete a methodological background and implications document, complete a requirements document, and complete an execution plan for the HSNRA. The HSNRA will serve as a comprehensive assessment of risk, leveraging existing risk assessments that empower leaders to make informed decisions to optimize the nation's security. It will show the potential for risk reduction to inform strategies, policies, planning venues, and operations across the homeland security enterprise.
- Incorporate the RAPID I prototype results to refine the methodology, broaden the scope, and prepare for application to inform the DHS's annual Planning, Programming, Budgeting, and Execution (PPBE) cycle of resource allocation decisions, including the FY 2011-2015 Integrated Planning Guidance (IPG) and the process for developing Resource Allocation Plans (RAPs) and Resource Allocation Decisions (RADs). Initiate execution of RAPID II as well as detailed assessments within the chemical and biological threat spectrum to inform the July 2009 IPG by: 1) providing an analysis of DHS chem./bio programs based on risk reduction across the DHS mission space, 2) evaluating the degree to which DHS chem./bio programs are currently managing the homeland security risk, 3) identifying gaps, and 4) recommending strategies for better allocating resources to manage risk.
- The development and adoption of a series of DHS Risk Management Analytical Guidelines. The Guidelines will serve as primers for DHS risk analysis practitioners on tactics, techniques, and procedures related to homeland security risk management that align with the DHS risk management process and principles. Structured training founded on the Guidelines will ensure DHS risk practitioners are approaching homeland security risk management activities in a consistent manner, thereby promoting continued integration of risk management activities over the longer term.
- Establish an RSC working group to assess and develop an implementation schedule for the IRMF.
- Conduct maintenance and continue to develop the Department's risk lexicon.
- Assess and develop a risk management training curriculum for RSC members, senior leadership, and RMA personnel.
- Lead the Protect and Defend sub-objective for the National Implementation Plan Global War on Terrorism (NIP GWOT) to address the development of sound risk management, risk assessment, and risk mitigation practices to reduce

vulnerabilities among all USG partners. Establish Interagency Risk Steering Committee.

- Support the Department's input into the Homeland Security Management System, including the Department's Quadrennial Homeland Security Review and the SRPP.
- Draft concept of operations (CONOPs) for DHS Operational Risk Management Cell. The Cell will assist in the Department's deliberate planning process and provide risk analysis to the Senior Leadership Group during incident management.
- Draft CONOPs for State and local Fusion Center Risk Analysis Model and technical support.
- Provide general risk analytic expertise and support to DHS components and HQ elements as requested.

FY 2010 Planned Accomplishments

- Produce initial Homeland Security National Risk Assessment analytical results to compare risks and risk management potential; to support a collective view of national homeland security risks; and to produce custom-tailored products from national assessments to meet information requirements of decision makers
- Institute and further refine the DHS IRMF.
- Continue to develop the Department's risk lexicon.
- Develop, implement, and institute a professional risk management training curriculum for RSC members.
- Produce analytical guidelines to form the core of curriculum development to support the formalized training and education of homeland security risk practitioners. They will be reviewed and updated on an annual basis to ensure they remain an accurate reflection of, and relevant to, DHS risk management practice. In addition, new topics may be added and existing topics redefined as homeland security risk management practices evolve.
- Assist the DHS Operations Directorate with the assessment of the DHS Operational Risk Management Cell CONOPs; establish initial capability.
- Continue to establish and formalize capability to provide technical assistance and support for DHS components and other homeland security stakeholders.
- Assist the DHS Intelligence Analysis (I&A) with the assessment of the CONOPs for State and local Fusion Center Risk Analysis Model and provide technical support; establish initial capability.
- Provide general risk analytic expertise and support to DHS components and HQ elements as requested.
- Support the Department's input into the Homeland Security Management System.
- Lead the Protect and Defend sub-objective for the NIP GWOT to address the development of sound risk management, risk assessment, and risk mitigation practices to reduce vulnerabilities among all USG partners.

- Continue the development and adoption of DHS Risk Management Analytical Guidelines to serve as primers for DHS risk analysis practitioners on tactics, techniques, and procedures related to homeland security risk.
- Incorporate the RAPID II results to refine the methodology, broaden the scope, and prepare for application to inform the DHS's annual PPBE cycle of resource allocation decisions, including the FY 2012-2016 IPG and the process for developing RAP and RAD documents. Initiate execution of RAPID III as well as detailed assessments to inform the July 2009 IPG.

IV. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Department of Homeland Security National Protection and Programs Directorate

Management and Administration Appropriation Language

For salaries and expenses of the Office of the Under Secretary for National Protection and Programs Directorate, support for operations, information technology, and Risk Management and Analysis, [\$52,600,000]: **\$44,577,000**: provided, that not to exceed \$5,000 shall be for official reception and representation expenses. (Department of Homeland Security Appropriations Act, 2010)

Explanation of Changes:

No change

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
National Protection and Programs Directorate
Management and Administration
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actuals	65	40	\$44,720
2009 Enacted	89	75	\$51,350
Adjustments-to-Base			
Increases			
Annualization of Prior Year Funding.....	-	14	1,890
Annualization of 2009 Pay Raise.....	-	-	101
2010 Pay Increase.....	-	-	155
GSA Rent	-	-	387
Working Capital Fund Cost Increase.....	-	-	1,435
Additional Federal Staffing*.....	40	40	-
Total Increases.....	40	54	3,968
Transfers			
Transfer to: IPIS for rent and facilities costs.....			(10,729)
Transfer to: Office of the Secretary Executive Management.....	-	-	(12)
Total Transfers.....	-	-	(10,741)
Total Adjustments to Base.....	40	54	(6,773)
FY 2010 Current Services.....	129	129	44,577
2010 Request.....	129	129	44,577
2009 to 2010 Total Change.....	40	54	(6,773)

* Includes 40 additional Federal personnel. The salaries and benefits funding is offset by a decrease to program/contract funds.

C. Summary of Requirements

**Department of Homeland Security
National Protection and Programs Directorate
Management and Administration**
Summary of Requirements
(Dollars in Thousands)

	FY 2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actuals	65	40	44,720
FY 2009 Enacted	89	75	51,350
Adjustments-to-Base			
Transfers			(10,741)
Increases	40	54	3,968
Decreases			---
Total Adjustments-to-Base	40	54	(6,773)
2010 Current Services	129	129	44,577
Program Changes	---	---	---
2010 Total Request	129	129	44,577
2009 to 2010 Total Change	40	54	(6,773)

Estimates by Program/Project Activity	FY 2009 Enacted			Adjustments-to-Base			Program Change			FY 2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos. *	FTE *	Amount	Pos.	FTE	Amount
Directorate Administration	78	64	\$41,850	26	40	\$ (7,168)	---	---	---	104	104	34,682	26	40	(7,168)
Risk Management and Analysis	11	11	\$9,500	14	14	\$ 395	---	---	---	25	25	9,895	14	14	395
Total	89	75	\$51,350	40	54	(\$6,773)	---	---	\$0	129	129	\$44,577	40	54	(\$6,773)

* Includes 40 additional Federal personnel. The salaries and benefits funding is offset by a decrease to program/contract funds.

D. Summary of Reimbursable Resources

N/A

E. Summary of Requirements by Object Class

**Department of Homeland Security
National Protection and Programs Directorate
Management and Administration
Summary of Requirements
Funding Schedule
(Dollars in Thousands)**

PPA: Management and Administration		FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	3,971	7,058	13,466	6,408
	<i>[amount from program funds]</i>	---	---	<i>[4,024]</i>	---
11.3	Other than perm	293	\$0	\$0	---
11.5	Other per comp	188	185	269	84
	<i>[amount from program funds]</i>	---	---	<i>[80]</i>	---
12.1	Benefits	1,119	3,093	4,067	974
	<i>[amount from program funds]</i>	---	---	<i>[1,216]</i>	---
21.0	Travel	161	290	278	(12)
23.1	GSA rent	---	---	2,009	2,009
23.2	Other rent	6,164	10,033	---	(10,033)
23.3	Communication, Utilities, and misc charges	507	457	457	0
25.1	Advisory & Assistance Services	22,236	26,695	20,492	(6,203)
	<i>[amount to Federal salaries and benefits]</i>	---	---	<i>[5,320]</i>	---
25.2	Other Services	6,930	510	510	---
25.3	Purchase from Govt. Accts.	3,109	2,974	2,974	---
26.0	Supplies & materials	42	55	55	---
Total, Management and Administration		\$44,720	\$51,350	\$44,577	(\$6,773)
Full Time Equivalent		40	75	129	54

F. Permanent Positions By Grade

**Department of Homeland Security
National Protection and Programs Directorate
Management and Administration
Permanent Positions by Grade**

Grades and Salary Ranges	FY08 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
	Pos.	Pos.	Pos.	Total
Total, SES	5	6	8	2
Total, EX	6	4	1	(3)
GS-15	21	25	34	9
GS-14	16	19	31	12
GS-13	7	13	23	10
GS-12	5	13	22	9
GS-11	3	7	10	3
GS-10	1	---	---	---
GS-9	1	2	---	(2)
GS-8	---	---	---	---
GS-7	---	---	---	---
GS-6	---	---	---	---
GS-5	---	---	---	---
GS-4	---	---	---	---
GS-3	---	---	---	---
GS-2	---	---	---	---
Other Graded Positions	---	---	---	---
Ungraded Positions	---	---	---	---
Total Permanent Positions	65	89	129	40
Unfilled Positions EOY	15	14	6	(8)
Total Perm. Employment EOY	58	75	123	48
FTE	40	70	121	51
Headquarters	65	89	129	40
Total Permanent Positions	65	89	129	40
Average ES Salary	\$ 143,761	\$ 146,924	\$ 150,156	
Average GS Salary	\$ 88,956	\$ 90,913	\$ 92,913	
Average GS Grade	13.40	14.40	14.70	

* Includes 40 additional Federal personnel. The salaries and benefits funding is offset by a decrease to program/contract funds.

G. Capital Investment and Construction Initiative Listing

N/A

H. PPA Budget Justifications

**Department of Homeland Security
National Protection and Programs Directorate
Management and Administration
Directorate Administration
Funding Schedule
(Dollars in Thousands)**

PPA: Directorate Administration		FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions <i>[amount from program funds]</i>	3,516	5,921	10,893	4,972
				<i>[2,616]</i>	
11.3	Other than perm	293	---		---
11.5	Other per comp <i>[amount from program funds]</i>	179	162	218	56
				<i>[52]</i>	
12.1	Benefits <i>[amount from program funds]</i>	982	2,750	3,290	540
				<i>[790]</i>	
21.0	Travel	148	255	243	(12)
23.1	GSA rent	---	---	1,651	1,651
23.2	Other rent	6,164	10,033	---	(10,033)
23.3	Communication, Utilities and misc charges	458	409	409	---
25.1	Advisory & Assistance Services <i>[amount to Federal salaries and benefits]</i>	19,136	18,995	14,654	(4,341)
				<i>[3,458]</i>	
25.2	Other Services	2,580	510	510	---
25.3	Purchase from Govt. Accts.	2,208	2,810	2,810	---
26.0	Supplies & materials	4	5	5	0
Total, Directorate Administration		\$35,668	\$41,850	\$34,682	(\$7,168)
Full Time Equivalents		35	64	104	40

PPA Mission Statement

The National Protection and Programs Directorate (NPPD) Directorate Administration includes the Office of the Under Secretary, the Office of Resource Administration, the Office of Budget and Financial Management, the Office of Information Management, the Office of Communications and Public Affairs, and the Office of Information Technology.

Summary Justification and Explanation of Changes

	FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Salaries and Benefits	\$4,970	\$8,833	\$14,400	\$5,567

The FY10 Request includes \$14,400,000 for salaries and benefits for 104 FTE, which represents a \$5,567,000 increase over FY2009. This increase includes \$219,000 for pay inflation, \$1,890,000 for annualization of 24 prior-year positions, and \$3,458,000 for 26 positions as part of the Federal Staffing realignment.

	FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Travel	\$148	\$255	\$243	(\$12)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY10 Request includes a transfer of \$12,000 to OSEM.

	FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
GSA rent	\$0	\$0	\$1,651	\$1,651

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY10 Request includes increase of \$1,435,000 for GSA Rent increases through WCF and \$216,000 for an increase to GSA rent.

	FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Other Rent	\$6,164	\$10,033	\$0	(\$10,033)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. There is a decrease of \$10,033 in Other rent in FY 2010 from the year prior transferred to IPIS and RMA

	FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous charges	\$458	\$409	\$409	\$0

Communications, Utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. There is no increase in Communication, Utilities, and miscellaneous charges in FY 2010 from the year prior.

	FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$19,136	\$18,995	\$14,654	(\$4,341)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY10 requests includes reduction of \$3,458,000 for the Federal Staffing realignment to fund 26 additional positions and a transfer of \$883,000 to IPIS and RMA for facilities / security support contracts.

	FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Other Services	\$2,580	\$510	\$510	\$0

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. There is no increase in Other Services in FY 2010 from the year prior.

	FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Purchase from Government Accounts	\$2,208	\$2,810	\$2,810	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. There no increase in Purchases from Government Accounts in FY 2010 from the year prior.

	FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Supplies & materials	\$4	\$5	\$5	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. There is no increase in Supplies & Materials in FY 2010 from the year prior.

Department of Homeland Security
National Protection and Programs Directorate
Management and Administration
Risk Management and Analysis
Funding Schedule
(Dollars in Thousands)

PPA: Risk Management and Analysis		FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions <i>[amount from program funds]</i>	455	1,137	2,573	1,436
				<i>[1,408]</i>	
11.5	Other per comp <i>[amount from program funds]</i>	9	23	51	28
				<i>[28]</i>	
12.1	Benefits <i>[amount from program funds]</i>	137	343	777	434
				<i>[426]</i>	
21.0	Travel	13	35	35	0
23.1	GSA rent		---	358	358
23.3	Communication, Utilities, and misc charges	49	48	48	0
25.1	Advisory & Assistance Services <i>[amount to Federal salaries and benefits]</i>	3,100	7,700	5,838	(1,862)
				<i>[1,862]</i>	
25.2	Other Services	4,350	---	---	---
25.3	Purchase from Govt. Accts.	901	164	164	---
26.0	Supplies & materials	38	50	50	0
Total,	Risk Management and Analysis	\$9,052	\$9,500	\$9,895	\$395
Full Time Equivalents		5	11	25	14

PPA Mission Statement

Risk Management and Analysis conducts strategic integrated risk analysis and develops the DHS Integrated Risk Framework.

Summary Justification and Explanation of Changes

	FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Salaries and Benefits	\$601	\$1,503	\$3,402	\$1,899

The FY 2010 request includes \$3,402,000 for salaries and benefits for 24 FTE. The FY10 Request includes an increase of \$37,000 for pay inflation and \$1,862,000 for Federal Staffing realignment of 14 FTE.

	FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Travel	\$13	\$35	\$35	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. There is no increase in Travel in FY 2010 from the year prior.

	FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
GSA rent	\$0	\$0	\$358	\$358

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. This includes a transfer of \$187,000 from NPPD Administration and an increase of \$171,000 in rent cost.

	FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous charges	\$49	\$48	\$48	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. There is no increase in Communications, Utilities, and miscellaneous charges in FY 2010 from the year prior.

	FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$3,100	\$7,700	\$5,838	(\$1,862)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY10 Request includes an offset of \$1,862,000 for Federal Staffing realignment of 14 positions.

	FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Other Services	\$4,350	\$0	\$0	\$0

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. There is no increase in Other services in FY 2010 from the year prior.

	FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Purchase from Government Accounts	\$901	\$164	\$164	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. There is no increase in Purchases from Government Accounts in FY 2010 from the year prior.

	FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Supplies & materials	\$38	\$50	\$50	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. There is no increase in Supplies and materials in FY 2010 from the year prior.

I. Changes in Full-Time Equivalents

**Department of Homeland Security
National Protection and Programs Directorate
Management and Administration
Changes in Full-Time Equivalents**

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	35	40	75
INCREASES			
Increase #1:			
Description: Filled vacant position		25	
Increase #2:			
Description: Annualization of Prior Year FTE			14
Increase #3:			
Enhancement: Risk Management and Analysis	5		
Increase #4:			
Enhancement: Directorate Administration personnel		10	
Increase #5:			
Additional Federal positions from program funds			40
Year-end Actual/Estimated FTEs	40	75	129
Net Change from prior year base to Budget Year Estimate:	5	35	54

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity

**Department of Homeland Security
National Protection and Programs Directorate
Management and Administration**

FY 2010 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actuals	FY 2009 Enacted	FY 2010 Request	Increase / Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Directorate Administration	\$2,600	\$6,665	\$4,912	(\$1,753)
Risk Management and Analysis	---	\$471	\$1,050	\$579
Total Working Capital Fund	\$2,600	\$7,136	\$5,962	(\$1,174)

**Department of
Homeland Security**

*National Protection and Programs Directorate
Infrastructure Protection and Information Security*



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

National Protection and Programs Directorate Infrastructure Protection and Information Security

I. Appropriation Overview

A. Mission Statement for Infrastructure Protection and Information Security

Infrastructure Protection

The Office of Infrastructure Protection leads the coordinated national effort to reduce risk to our critical infrastructure and key resources posed by acts of terrorism and enables national preparedness, timely response, and rapid recovery in the event of an attack, natural disaster, or other emergency.

Identification and Analysis. The Information and Analysis mission area includes projects and activities that support identification of the Nation's critical infrastructure and key resources, assessment of critical infrastructure and key resource vulnerabilities, consequences and risks. These activities provide a comprehensive inventory of the Nation's critical infrastructure and key resource assets. The program collects vulnerability and consequence information required to produce comprehensive asset and system risk analyses. They enable analysis of infrastructure interdependencies and cascading effects through strategic and tactical risk analysis for critical infrastructure and key resource protection, simulation and modeling, and intelligence fusion with information from practical field assessments.

Coordination and Information Sharing. The Coordination and Information Sharing mission area includes projects and activities that maximize the ability of government and private sector security partners at all levels to assess risks, coordinate programs and processes, and execute risk-mitigation programs and activities. Coordination and Information Sharing is responsible for executing the National Infrastructure Protection Plan. These activities foster information sharing and coordination between individual sector governance structures as well as facilitating development of security partner governance and coordination structures and models.

Mitigation Programs. The Mitigation Programs mission area includes voluntary and regulatory projects and activities, which enable security partners to identify and mitigate vulnerabilities, implement protective measures, and increase preparedness for facilities, systems, and surrounding communities. They support public awareness efforts; facilitate the sharing of critical infrastructure and key resource protection-related best practices and lessons learned; and enable infrastructure protection planning, readiness, and incident management.

Infrastructure Protection derives its mission from the following statutes and regulations:

- Homeland Security Act of 2002;
- Intelligence Reform and Terrorism Prevention Act of 2004;
- Homeland Security Presidential Directive-7;
- Section 550 of the Fiscal Year 2007 Homeland Security Appropriations Act, “Critical Infrastructure Identification, Prioritization, and Protection;”
- Homeland Security Presidential Directive-19, “Combating Terrorist Use of Explosives in the United States;” and

- Other Executive Orders, Homeland Security Presidential Directives and National Security Presidential Directives.

Cyber Security and Communications

The Office of Cyber Security and Communications reduces risk to the Nation's communication and information technology infrastructures, enables timely response and recovery of these infrastructures under all circumstances, and coordinates national security and emergency preparedness communications planning and provision for the Federal Government. The Office of Cyber Security and Communications includes: *the National Cyber Security Division, the Office of Emergency Communications, and the National Communications System.*

National Cyber Security Division. The National Cyber Security Division partners with private sector, government, military, and intelligence stakeholders to conduct risk assessments and mitigate vulnerabilities and threats to information technology assets and activities affecting the operation of the civilian government critical cyber infrastructures. The National Cyber Security Division provides cyber threat and vulnerability analysis, early warning, and incident response assistance for public and private sector constituents. In addition, the National Cyber Security Division is the executive agent for many of the mandates under the Comprehensive National Cybersecurity Initiative.

Office of Emergency Communications. The Office of Emergency Communications supports and promotes the ability of emergency response providers and government officials to continue to communicate in the event of natural disasters, acts of terrorism, or other man-made disasters. The Office of Emergency Communications works to ensure, accelerate, and attain interoperable emergency communications nationwide.

The National Communications System is comprised of the following programs: *Priority Telecommunications Service, Critical Infrastructure Protection, Programs to Study and Enhance Telecommunications, and Next Generation Network.*

Priority Telecommunications Service. The Priority Telecommunications Service program provides specially designed telecommunications services to the national security and emergency preparedness user community during natural or man-made disasters when conventional communications services are ineffective. These telecommunication services are used to coordinate response and recovery efforts and, in severe conditions, assist with Continuity of Operations and Government.

Critical Infrastructure Protection. The Critical Infrastructure Protection program ensures the continued availability of national security and emergency preparedness telecommunications services under all circumstances, including emergency, attack, recovery, and reconstitution. The program includes: National Coordinating Center Operations; Critical Infrastructure Protection Operations; Plans and Policy; Training and Exercises; Network Security Information Exchanges; and Telecommunications Service Priority.

Programs to Study and Enhance Telecommunications. The Programs to Study and Enhance Telecommunications program develops models and conducts technical analyses of public communications infrastructures and equipment, identifies vulnerabilities in new communications technologies to Telecommunication Electromagnetic Disruptive Effects, and works with the international communications industry consensus standards organizations to ensure that evolving

commercial standards address the technical requirements of national security and emergency preparedness communications.

Next Generation Networks. The Next Generation Networks program is a technology initiative to maintain and migrate legacy priority voice telecommunications features, and to apply priority to data applications, as the public switched network evolves to next generation networks.

B. Budget Activities

Infrastructure Protection

In FY 2010, NPPD requests \$333,303,000 for Infrastructure Protection, including 725 FTP/688 FTE. This represents an increase of \$19,503,000 over the FY 2009 enacted budget of \$313,800,000.

Identification and Analysis. In FY 2010, NPPD requests \$86,610,000, for the Identification and Analysis program, including 130 positions/FTE. This represents an increase of \$6,007,000 over the FY 2009 enacted budget of \$80,603,000. These funds support the vulnerability assessments, infrastructure sector analysis, and infrastructure data management and visualization.

Coordination and Information Sharing. In FY 2010, NPPD requests \$50,582,000 for the Coordination and Information Sharing program, including 89 positions/FTE. This represents a decrease of \$11,785,000 from the FY 2009 enacted budget of \$62,367,000. These funds support the coordination and management of the National Infrastructure Protection Plan, management of Critical Infrastructure and Key Resources Partnerships, and Infrastructure Protection's Management and Planning projects.

Mitigation Programs. In FY 2010, NPPD requests \$196,111,000, for the Mitigation Programs, including 506 positions and 469 FTE. This represents an increase of \$25,281,000 over the FY 2009 enacted budget of \$170,830,000. These funds support the coordination and management of the DHS' regulatory authority over high-risk chemical facilities; ammonium nitrate; bombing prevention activities; protective security advisor support; Sector-Specific Agency responsibilities; and incident management, contingency, and readiness activities.

Cyber Security and Communications

In FY 2010, NPPD requests \$584,863,000 for Cyber Security and Communications, including 419 positions and 343 FTE. This represents an increase of \$91,750,000 over the FY 2009 enacted budget of \$493,113,000.

National Cyber Security Division. NPPD requests \$400,654,000, for the National Cyber Security Division, including 260 positions / 186 FTE. This represents an increase of \$87,154,000 over the FY 2009 enacted budget of \$313,500,00. These funds support NPPD's role in the Comprehensive National Cybersecurity Initiative and the other cybersecurity activities of National Cyber Security Division's branches: United States Computer Emergency Readiness Team Operations; Federal Network Security; Network Security Deployment; Global Cyber Security Management; Critical Infrastructure Cyber Protections and Awareness; and Plans, Programs, Policies, and Administration.

Office of Emergency Communications. In FY 2010, NPPD requests \$44,060,000 for the Office of Emergency Communications, including 52 positions/FTE. This represents an increase of \$5,760,000

over the FY 2009 enacted budget of \$38,300,000. These funds will support and promote the ability of emergency response providers and Federal Officials to continue to communicate in the event of natural disasters, acts of terrorism, or other manmade disasters, and to ensure, accelerate, and attain interoperable emergency communications nationwide.

Within the National Communications System:

Priority Telecommunications Service. In FY 2010, NPPD requests \$56,773,000 for the Priority Telecommunications Service, including 41 positions/FTE. This represents a decrease of \$1,967,000 from the FY 2009 enacted budget of \$58,740,000. These funds support the operation of the Government Emergency Telecommunications System, Wireless Priority Service, Special Routing Agreement Service, Industry-Government and Interagency Processes, and support for the Office of the Assistant Secretary for Cyber Security.

Programs to Study and Enhance Telecommunications. In FY 2010, NPPD requests \$19,274,000 for Programs to Study and Enhance Telecommunications, including 28 positions/FTE. This represents an increase of \$4,174,000 over the FY 2009 enacted budget of \$15,100,000. These funds support modeling, simulation, technology assessments, National Security and Emergency Preparedness standards, and vulnerability assessments on advanced technologies and converged networks.

Critical Infrastructure Protection Programs. In FY 2010, NPPD requests \$13,852,000 for the Critical Infrastructure Protection programs, including 38 positions and 36 FTE. This represents an increase of \$2,592,000 over the FY 2009 enacted budget of \$11,260,000. These funds support National Coordinating Center; Critical Infrastructure Protection operations, planning, policy; training and exercises; network security information exchange, and the Telecommunications Service Priority program.

Next Generation Networks. In FY 2010, NPPD requests \$50,250,000 for the Next Generation Networks, the same level of funding as the FY 2009 enacted budget. These funds support the transition of national security and emergency preparedness communications systems from the public switch networks to the next generation networks.

National Command and Coordination Capability. In FY 2010, NPPD requests no funding, positions, or FTE for the National Command and Coordination Capability. This represents a decrease of \$5,963,000 and 9 FTE and 16 positions from the FY 2009 enacted budget.

C. Budget Request Summary

In FY 2010, NPPD requests 1,144 positions/1,031 FTE, and \$918,166,000 for Infrastructure Protection and Information Security. This represents an increase of 419 positions and 395 FTE and \$111,253,000 over the FY 2009 enacted budget of \$806,913,000. The position and FTE amounts include 348 additional Federal positions funded through offsets from program/contract dollars.

The Department has identified critical enhancements to existing programs and prioritized new undertakings to accomplish the NPPD mission. The summaries of changes follow.

Adjustments-to-Base

1. Annualization for 82 FTE for positions received in FY 2009 (54 Infrastructure Protection, 23 National Cyber Security Division, and 5 Office of Emergency Communications): \$11,137,000
2. Annualization of the calendar year 2009 pay increase: \$ 832,000
3. Calendar year 2010 pay increase: \$1,279,000
4. Transfer from the NPPD Management and Administration Appropriation for rent and facilities: \$10,729,000
5. NPPD is offsetting the funding for 348 Federal positions and 275 FTE from program funds. The table below summarizes the \$35,786,000 in offsets by PPA.

FY 2010 Offsets for Additional Federal Positions

PPA	Total FTE	Total Positions	FY 2010 Program Funding	FY 2010 Salaries Funding	Net Budget Change
Identification & Analysis	47	47	\$ (5,092)	\$ 5,092	\$ -
Coordination and Information Sharing	6	6	\$ (798)	\$ 798	\$ -
Mitigation Programs	172	187	\$ (22,876)	\$ 22,876	\$ -
National Cyber Security Division	42	100	\$ (5,956)	\$ 5,956	\$ -
Priority Telecommunications Service	1	1	\$ (133)	\$ 133	\$ -
Programs to Study & Enhance Telecommunications	2	2	\$ (266)	\$ 266	\$ -
Critical Infrastructure Protection	0	0	0	0	\$ -
Next Generation Networks	0	0	0	0	\$ -
National Command & Coordination Capability	0	0	0	0	\$ -
Office of Emergency Communications	5	5	\$ (665)	\$ 665	\$ -
Total	275	348	\$ (35,786)	\$ 35,786	\$ -

Program Enhancements

1. *Vulnerability Assessments, Identification and Analysis.* An increase of \$3,000,000 provides for the capability to conduct New Nuclear Reactor Security Consultations in coordination with the Nuclear Regulator Commission as required by The Energy Policy Act of 2005. Additionally, Vulnerability Assessments are piloting 5 Regional Resiliency Assessment Program pilot projects to provide State and local stakeholders with a comprehensive understanding of a region's vulnerabilities and resiliency while providing critical risk based information on how to apply the most cost effective protective measures to the most vulnerable assets within the region.
2. *Infrastructure Security Compliance, Mitigation Programs.* An increase of \$19,000,000, 23 FTE/45 positions is requested for Chemical Site Security and Ammonium Nitrate to enhance current inspection capabilities through the hiring, training, equipping and housing of additional inspectors. Funding will also support completing and publishing final Ammonium Nitrate regulations to prevent the use of Ammonium Nitrate in an act of terrorism.
3. *Bombing Prevention, Mitigation Programs.* An increase of \$4,200,000 provides an enhanced and coordinated national bombing prevention and improvised explosive device security effort. This funding will provide the resources to enhance national awareness, facilitate multi-jurisdiction planning, and conduct additional capabilities assessments for 50 explosives detection canine units, 32 bomb squads, 30 Special Weapons and Tactics (SWAT) teams, and 20 dive teams in high risk urban areas across the nation.
4. *Cyber Security Coordination, National Cyber Security Division.* An increase of \$13,000,000 provides for national cybersecurity coordination as part of the national cybersecurity response system to secure government cyberspace.

5. *United States Computer Emergency Readiness Team Operations, National Cyber Security Division.* An increase of \$16,128,000, 11 FTE/22 positions will enhance analytical and response capabilities to handle an increased number of cyber threats. The funding increase will enhance United States Computer Emergency Readiness Team's capabilities to refine the delivery of its core products and services; improve existing cyber interagency processes and the generation of new customer service support activities for collaborative environments across the .gov community; and enhance human capital strategies across all United States Computer Emergency Readiness Team programmatic pillars, with emphasis on training cyber analysts, managers, and cyber incident responders to fulfill its mission.
6. *Federal Network Security, National Cyber Security Division.* An increase of \$4,700,000 will improve Federal Network Security's ability to manage the reduction and consolidation efforts of external Federal ports, enabling the National Cybersecurity Protection System to effectively monitor and alert on suspicious activity occurring across the Federal enterprise. The Federal Network Security office also will conduct Trusted Internet Connection compliance assessments of Trusted Internet Connection Access Providers; expand the Trusted Internet Connection compliance assessment program by identifying and adding required capability checks to the compliance catalog; and improve the monitoring of Federal cybersecurity policies implementation by providing day-to-day coordination, oversight, guidance, and the tracking of Office of Management and Budget security policy progress.
7. *Network Security Deployment, National Cyber Security Division.* An increase of \$40,490,000, 4 FTE/8 positions will enhance the development and performance of cybersecurity technologies to counter on-going, real world national cyber threats and apply effective risk mitigation strategies to detect and deter threats in support of the Comprehensive National Cybersecurity Initiative. It will reduce the potential alerts pool by an additional 15 percent by automatically filtering out false positives. It also will decrease the average delivery time to the customers of alert summary data reports. Funding will support the ability to aggregate and correlate identified events at deployed locations up to an additional 20 percent and will enhance the ability to deploy the appropriate subscriber identity module tool to automatically aggregate and correlate events, significantly increasing the volume of events analyzed. The increase also provides continued improvements to Block 3.0 of the National Cybersecurity Protection System.
8. *Global Cyber Security Management, National Cyber Security Division.* An increase of \$800,000 will enhance the development of trained professionals to support the Nation's cybersecurity needs, thus preparing the information technology workforce to meet current and future cybersecurity challenges. It will strengthen the Nation's pool of educated information assurance and information technology professionals by focusing resources on improving cybersecurity education, increasing the efficiency of existing cybersecurity training programs, and promoting cybersecurity workforce development.
9. *Critical Infrastructure Cyber Protection & Awareness, National Cyber Security Division.* An increase of \$15,000,000, 1 FTE/2 positions will enhance the Control Systems Security, Cyber Exercises and Critical Infrastructure Protection-Cyber Security programs. Funding will be used to: conduct 50 Site Assistance Visits across the 18 critical infrastructure and key resources sectors to identify vulnerabilities in Industrial Control Systems; implement the Coordination Strategy for Securing Control Systems and the Control Systems Security Protection Framework; and develop sector-specific, regional, and state-level risks mitigation activities, based on Information Technology Risk Assessment and cross sector cybersecurity studies, strategies and plans of action which can implemented across all sectors.

10. *Programs to Study and Enhance Telecommunications*. An increase of \$1,592,000 and 1 position/FTE for a classified program.
11. *Continuity Communications Architecture, Programs to Study and Enhance Telecommunications*. An increase of \$2,500,000 is requested to develop a continuity communications architecture to ensure, under all conditions, federal executive branch cross-department and agency communications. Developing the architecture will identify existing continuity communication capabilities, shortfalls or gaps, and develop technical requirements to improve the overall continuity communications posture. Implementation will ensure agencies can execute primary mission essential functions in support of the 8 national essential functions.
12. *Regional Communications Coordinators, Critical Infrastructure Protection*. An increase of \$2,500,000 and 9 positions/7 FTE is requested to deploy one Regional Communications Coordinator in each of the 10 Federal Regions. The coordinators will support planning, preparedness and response activities with the private and public sectors associated with Emergency Support Function #2 – Communications of the National Response Framework. Regional Communications Coordinators will work closely with Federal, State, and local regional personnel, as well as with the full range of private communications industry (e.g. wireline, wireless, cable, satellite and broadcast) regional representatives to develop and implement national security and emergency preparedness communications, to include plans, procedures, training, exercises and response to incidents.
13. *Office of Emergency Communications*. An increase of \$3,829,000 will advance implementation of the National Emergency Communications Plan by performing 100 site visits to validate progress against National Emergency Communications Plan goals, providing additional support to lower achieving urban areas, and conducting Statewide Communication Interoperability Plan workshops.

Program Decreases

1. *National Infrastructure Simulation and Analysis Center, Identification and Analysis*. Includes a \$4,000,000 reduction to Infrastructure Sector Analysis project for the National Infrastructure Simulation and Analysis Center.
2. *National Infrastructure Protection Plan and Critical Infrastructure and Key Resources Partnerships, Coordination and Information Sharing*. Includes a \$11,000,000 reduction to the National Infrastructure Protection Plan Management and Critical Infrastructure and Key Resources Partnerships projects.
3. *Philadelphia Critical Infrastructure Monitoring, Mitigation Programs*. Includes a \$2,000,000 reduction to Philadelphia infrastructure monitoring project.
4. *Protection of Underground Critical Infrastructure, Mitigation Programs*. Includes of \$3,000,000 reduction to the protection of underground critical infrastructure.
5. *Improvised Explosive Device Geospatial Monitoring Tool, Mitigation Programs*. Includes a \$1,000,000 reduction to the Improvised Explosive Device Geospatial Monitoring Tool.
6. *University of Texas at San Antonio Community Cyber Security Maturity Model, National Cybersecurity Division*. Includes a \$3,500,000 reduction to the University of Texas San Antonio Community Cyber Security Maturity Model.

7. *Cyber system protection, analysis and protection program at Idaho National Laboratory, National Cybersecurity Division.* Includes a \$4,000,000 reduction to the Idaho National Laboratory program for cyber system protection, analysis and protection.
8. *Wireless Priority Service, Priority Telecommunications Service.* Includes a \$5,000,000 reduction for the Wireless Priority Service.
9. *National Command and Coordination Capability.* Includes a \$5,963,000 reduction for the termination of the National Command and Coordination Capability.

II. Summary of the FY 2010 Budget Estimates by Program/Project/Activity (PPA)

Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
 Summary of FY 2010 Budget Estimates by Program/Project Activity
 (Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE *	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Identification & Analysis	48	61,775	83	80,603	130	86,610	47	6,007	---	(1,000)	47	7,007
Coordination and Information Sharing	62	57,350	83	62,367	89	50,582	6	(11,785)	---	(11,000)	6	(785)
Mitigation Programs	135	120,512	220	170,830	469	196,111	249	25,281	23	17,200	226	8,081
National Cyber Security Division	32	153,541	105	313,500	186	400,654	81	87,154	16	82,618	65	4,536
Priority Telecommunications Service	26	85,932	40	58,740	41	56,773	1	(1,967)	---	(5,000)	1	3,033
Programs to Study & Enhance Telecommunications	20	12,941	25	15,100	28	19,274	3	4,174	1	4,092	2	82
Critical Infrastructure Protection	21	14,654	29	11,260	36	13,852	7	2,592	7	2,500	---	92
Next Generation Networks	---	17,248	---	50,250	---	50,250	---	---	---	---	---	---
National Command and Coordination Capability**	---	---	9	5,963	---	---	(9)	(5,963)	(9)	(5,963)	---	---
Office of Emergency Communications	6	31,103	42	38,300	52	44,060	10	5,760	---	3,829	10	1,931
Subtotal, Enacted Appropriations and Budget Estimates	350	555,056	636	806,913	1,031	918,166	395	111,253	38	87,276	357	23,977
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	350	\$555,056	636	\$806,913	1,031	\$918,166	395	\$111,253	38	\$87,276	357	\$23,977

* Includes 275 additional Federal Staffing realignment FTE

** In FY 2008, \$3,831,000 and 1FTE/2 positions were appropriated for National Command and Coordination Capability in the Priority Telecommunications Service PPA

FY 2009 to FY 2010 Budget Structure Changes

In FY 2010, the IPIS PPA structure is the same as the FY 2009 enacted structure in P.L. 110-329; however, NPPD is requesting a realignment of some Infrastructure Protection projects and activities across the Infrastructure Protection PPAs, and a restructuring of projects and activities within the National Cyber Security Division and Office of Emergency Communications PPAs. The FY 2009 enacted budget for realigned activities was restated to reflect the FY 2010 budget request structure for comparison purposes. Detailed crosswalks are provided for FY 2009 to reflect both the enacted structure and the requested structure.

Infrastructure Protection

Infrastructure Protection Personnel: At the beginning of FY 2009, Infrastructure Protection evaluated budgeted Federal staffing levels within its various missions based on maturing program capabilities and emerging requirements. The FY 2010 budget request reflects Infrastructure Protection's realignment of the 440 FY 2009 enacted positions, a request for 240 additional Federal personnel funded through an offset from program/contract funds, and an enhancement of 45 positions in FY 2010. Overall Infrastructure Protection is requesting 725 positions in FY 2010 (an increase of 285 positions over FY 2009 enacted); however, based on the realignment, positions within the projects may increase or decrease from FY 2009.

Identification and Analysis: The FY 2009 project Infrastructure Information Collection and Visualization has been broken into Infrastructure Visualization, Information Data Management, and Infrastructure Information Collection projects. Infrastructure Information Collection and Visualization was divided into these three projects to better address the increased magnitude and scope of the activities. As part of this realignment, Infrastructure Protection requests that the Protected Critical Infrastructure Information activity be moved to the Infrastructure Data Management project from the Coordination and Information Sharing PPA.

Identification and Analysis FY 2009-FY 2010 Budget Crosswalk

Crosswalk for Identification & Analysis \$ in thousands					
FY 2009 Congressional Budget Structure	FY10 Project	FTE	FY 2009 Enacted	FTE	FY 2010 Request*
Vulnerability Assessments	-	33	\$ 23,409		
Infrastructure Sector Analysis	-	22	\$ 34,749		
Infrastructure Information Collection & Visualization		28	\$ 22,445		
Total Salaries and Benefits		28	\$ 3,754		
Total Program Costs			\$ 18,691		
iCAV	<i>Infrastructure Visualization</i>		\$ 4,997		
Infrastructure Information Collection	<i>Infrastructure Information Collection Project</i>		\$ 13,694		
Total Requested Budget		83	\$ 80,603		
FY 2010 Proposed Budget Structure					
Vulnerability Assessments		33	\$ 23,409	16	\$ 26,522
Infrastructure Sector Analysis		22	\$ 34,749	42	\$ 30,824
Infrastructure Visualization (IV)		5	\$ 5,667	19	\$ 5,684
Infrastructure Data Management (IDM)**		8	\$ 7,796	27	\$ 7,824
Infrastructure Information Collection Project		15	\$ 15,705	26	\$ 15,756
Total Requested Budget		83	\$ 87,326	130	\$ 86,610

* Includes 47 additional Federal personnel funded through an offset of program/contract dollars.

**In FY 2010, \$6,723 for Protected Critical Infrastructure Information (PCII) activity moved from Coordination and Information Sharing PPA to Infrastructure Data Management project

Coordination and Information Sharing: In FY 2010, Infrastructure Protection proposes realigning activities from the Critical Infrastructure and Key Resources Information Sharing project to the Information Sharing Environment activity in Critical Infrastructure and Key Resources Partnerships project and \$6,723,000 for the Protected Critical Infrastructure Information activity to the Infrastructure Data Management project in the Identification and Analysis PPA.

Coordination and Information Sharing FY 2009-FY 2010 Budget Crosswalk

Crosswalk for Coordination and Information Sharing \$ in thousands					
FY 2009 Congressional Budget Structure	FY10 Project	FTE	FY 2009 Enacted	FTE	FY 2010 Request*
CIKR Information Sharing		14	\$ 22,317		
Salaries and Benefits	CIKR Partnerships	14	\$ 1,876		
HSIN-CS	Information Sharing Environment		\$ 6,028		
CWIN	Information Sharing Environment		\$ 7,690		
PCII**	Infrastructure Data Management (I&A PPA)		\$ 6,723		
NIPP Management		20	\$ 15,977		
Salaries and Benefits		20	\$ 2,714		
NIPP Program Management			\$ 9,553		
NIPP SSA Support			\$ 3,710		
CIKR Partnerships		6	\$ 15,016		
Salaries and Benefits		6	\$ 772		
Sector Partnerships			\$ 12,640		
NIAC	Information Sharing Environment		\$ 1,604		
Management, Planning, and Administration		43	\$ 9,057		
Total Requested Budget		83	\$ 62,367		
FY 2010 Proposed Budget Structure					
NIPP Management		20	\$ 15,977	24	\$ 11,046
Salaries and Benefits		20	\$ 2,714	24	\$ 3,315
NIPP Program Management			\$ 9,553		\$ 4,021
NIPP SSA Support			\$ 3,710		\$ 3,710
CIKR Partnerships (CIKRP)		20	\$ 30,610	26	\$ 24,678
Salaries and Benefits		20	\$ 2,648	26	\$ 3,514
Sector Partnerships			\$ 12,640		\$ 5,842
Information Sharing Environment (ISE)			\$ 15,322		\$ 15,322
Management, Planning, and Administration		43	\$ 9,057	39	\$ 14,858
Total Requested Budget		83	\$ 55,644	89	\$ 50,582

*Includes 6 additional Federal personnel funded through an offset of program/contract dollars.

**In FY 2010, \$6,723 for Protected Critical Infrastructure Information (PCII) activity moved from Coordination and Information Sharing PPA to Infrastructure Data Management project

Mitigation Programs: In FY 2010, Contingency Planning and Readiness projects were realigned to Infrastructure Coordination and Incident Management project. Additionally, the Infrastructure Protection Incident Management and Continuity of Operation activities were consolidated into the National Infrastructure Coordinating Center.

Mitigation Programs FY 2009-FY 2010 Budget Crosswalk

Crosswalk for Mitigation Programs \$ in thousands					
FY 2009 Congressional Budget Structure	FY10 Project	FTE	FY 2009 Enacted	FTE	FY 2010 Request*
Infrastructure Coordination & Incident Management		12	\$ 21,648		
Salaries and Benefits		12	\$ 1,609		
<i>National Infrastructure Coordinating Center</i>		12	\$ 11,902		
<i>OIP Incident Management</i>	National Infrastructure Coordinating Center		\$ 5,741		
<i>COOP</i>	National Infrastructure Coordinating Center		\$ 2,396		
Contingency Planning	Infrastructure Coordination & Incident Management	6	\$ 4,183		
Salaries and Benefits		6	\$ 804		
Program Costs			\$ 3,379		
Readiness	Infrastructure Coordination & Incident Management	6	\$ 3,930		
Salaries and Benefits		6	\$ 804		
Program Costs			\$ 3,126		
Infrastructure Security Compliance		78	\$ 78,000		
Protective Security Advisors		95	\$ 26,626		
SSA Management		19	\$ 22,443		
Bombing Prevention		4	\$ 14,000		
Total Requested Budget		220	\$ 170,830		
FY 2010 Proposed Budget Structure					
Infrastructure Coordination & Incident Management (ICIM)		24	\$ 29,761	42	\$ 29,843
Salaries and Benefits		24	\$ 3,217	42	\$ 5,693
<i>National Infrastructure Coordinating Center</i>		12	\$ 20,039		\$ 18,501
<i>Contingency Planning</i>		6	\$ 3,379		\$ 2,976
<i>Readiness</i>		6	\$ 3,126		\$ 2,673
Infrastructure Security Compliance		78	\$ 78,000	246	\$ 103,363
Protective Security Advisors		95	\$ 26,626	107	\$ 27,629
SSA Management		19	\$ 22,443	54	\$ 20,508
Bombing Prevention		4	\$ 14,000	20	\$ 14,768
Total Requested Budget		220	\$ 170,830	469	\$ 196,111

* Includes 172 additional Federal personnel funded through an offset of program, contract dollars, annualization of 54 positions, and an increase of 23 FTE for Infrastructure Security Compliance

National Cyber Security Division

The National Cyber Security Division requests a change in its FY 2010 budget structure to better align appropriated resources to its responsibilities and expanded mission under the Comprehensive National Cybersecurity Initiative. The updated structure provides increased visibility and transparency into how the National Cyber Security Division is executing its mission requirements. The previous budget structure was comprised of: United States Computer Emergency Readiness Team, Strategic Initiatives, Outreach and Awareness, and Planning and Programs. Under this realignment, the National Cyber Security Division's six branches are: United States Computer Emergency Readiness Team Operations, Federal Network Security, Network Security Deployment, Global Cyber Security Management, Critical Infrastructure Cyber Protection and Awareness, and Plans, Programs, Policies and Administration. A more detailed crosswalk of this restructuring is provided on page IPIS-43.

Office of Emergency Communications

The Office of Emergency Communications requests a change in budget structure to better align appropriated resources to five service offerings: 1) Coordination, 2) Demonstration Projects, 3) Grants, 4) Policy, and 5) Technical Assistance. The Office of Emergency Communications believes that optimal mission success will be reached through a service offering model while maintaining organizational structure. A more detailed crosswalk of this restructuring is provided on page IPIS-115.

III. Current Services Program Description by PPA

**Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Program Performance Justification
(Dollars in thousands)**

PPA: IDENTIFICATION AND ANALYSIS

	Perm Pos	FTE	Amount
FY 2008 Actual	73	48	\$ 61,775
FY 2009 Enacted	83	83	\$ 80,603
2010 Adjustments-to-Base	47	47	\$ 7,007
2010 Current Services	130	130	\$ 87,610
2010 Program Change	0	0	\$ (1,000)
FY 2010 Request	130	130	\$ 86,610
Total Change 2009-2010	47	47	\$ 6,007

In FY 2010, NPPD requests \$86,610,000 for Identification and Analysis, including 130 positions / FTE. This represents an increase of \$6,007,000 over the FY 2009 enacted budget of \$80,603,000. These funds support NPPD's Vulnerability Assessment, Infrastructure Sector Analysis, Infrastructure Visualization, Infrastructure Data Management, and Infrastructure Information Collection projects.

The FY 2010 request includes adjustments-to-base for pay inflation of \$284,000 and 47 additional Federal positions offset by \$5,092,000 in program/contract dollars. In FY 2010, Infrastructure Protection requests that \$6,723,000 for the Protected Critical Infrastructure Information Program to be moved to the Infrastructure Data Management Project from the Coordination and Information Sharing PPA. Program changes include an increase of \$3,000,000 for the Vulnerability Assessments project and a decrease of \$4,000,000 for the National Infrastructure Simulation and Analysis Center within the Infrastructure Sector Analysis project.

CURRENT SERVICES PROGRAM DESCRIPTION

Identification & Analysis	FY 2009 Enacted	FY 2010 Request
Personnel Costs	\$ 11,127	\$ 16,503
Program Costs	\$ 69,476	\$ 70,107
Total Costs	\$ 80,603	\$ 86,610

The Information and Analysis mission area includes projects and activities that support identification of the Nation's critical infrastructure and key resources, assessment of critical infrastructure and key resource vulnerabilities, consequences and risks. These activities provide a comprehensive inventory of the Nation's critical infrastructure and key resource assets. The program collects vulnerability and consequence information required to produce comprehensive asset and system risk analyses. They enable analysis of infrastructure interdependencies and cascading effects through strategic and tactical

risk analysis for critical infrastructure and key resource protection, simulation and modeling, and intelligence fusion with information from practical field assessments. This information enables analysis of interdependencies and cascading effects. Identification and Analysis' five projects include: Vulnerability Assessments, Infrastructure Sector Analysis, Infrastructure Visualization, Infrastructure Data Management, and Infrastructure Information Collection.

Vulnerability Assessments

\$ thousands	Activity	FY 2009			FY 2010			Change		
		FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
	Salaries & Benefits	33	33	\$4,424	16	16	\$2,275	-17	-17	-\$2,149
	<i>Vulnerability Assessments</i>			\$18,985			\$24,246			\$5,261
	Program Costs			\$18,985			\$24,246			\$5,261
	Total	33	33	\$23,409	16	16	\$26,521	-17	-17	\$3,112

The Vulnerability Assessments project is an Infrastructure Protection-led collaborative effort between the Federal, State, local, and private sectors to identify vulnerabilities and enhance the security of the Nation's Tier 1 and Tier 2 critical infrastructure and key resources. The project fulfills Homeland Security Presidential Directive 7 by coordinating efforts among Federal, State, and local governments and the private sector to protect the Nation's critical infrastructure and key resources, as well as supporting implementation of the National Infrastructure Protection Plan and the National Response Framework.

Current efforts cover the spectrum of field teams conducting single Site Assistance Visits and Buffer Zone Plans to larger-scale assessments of systems and regions via interagency Comprehensive Reviews and the Regional Resiliency Assessment Program. The Computer-Based Assessment Tool complements these assessment tools by integrating assessment data with geospatial video providing planners with a computer-based, cross-platform tool that enables informed decisions and quicker incident response. Additionally, the Energy Policy Act of 2005 requires Infrastructure Protection to perform security consultation for Nuclear Regulatory Commission new nuclear reactor license applications.

Infrastructure Sector Analysis

\$ thousands	Activity	FY 2009			FY 2010			Change		
		FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
	Salaries & Benefits	22	22	\$2,949	42	42	\$4,525	20	20	\$1,576
	<i>HITRAC</i>			\$11,800			\$10,299			-\$1,501
	<i>NISAC</i>			\$20,000			\$16,000			-\$4,000
	Program Costs			\$31,800			\$26,299			-\$5,501
	Total	22	22	\$34,749	42	42	\$30,824	20	20	-\$3,925

The Infrastructure Sector Analysis project provides the integrated capability to conduct comprehensive, timely, actionable, and risk-informed assessments, modeling, simulation, and analysis to advance the Nation's understanding of the dynamic risk landscape impacting critical infrastructure and key resources. The Infrastructure Sector Analysis project, through the Homeland Infrastructure Threat and Risk Analysis Center and the National Infrastructure Simulation and Analysis Center analyzes and monitors risks to the Nation's infrastructure and provides key public and private sector decision-makers with risk-informed analytic products that influence the prioritization of risk-reduction strategies. In addition to analytic products, Infrastructure Sector Analysis also develops and deploys methodologies, tools, and technologies that enable National Infrastructure Protection Plan implementation and other risk mitigation activities at the Federal, State, local, Tribal, and Territorial government and private-sector levels.

Infrastructure Visualization

\$ thousands	FY 2009			FY 2010			Change		
	Activity	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP
Salaries & Benefits	5	5	\$670	19	19	\$2,550	14	14	\$1,880
<i>Infrastructure Visualization</i>			\$4,997			\$3,135			-\$1,862
Program Costs			\$4,997			\$3,135			-\$1,862
Total	5	5	\$5,667	19	19	\$5,685	14	14	\$18

The Infrastructure Visualization project provides access to infrastructure information, geospatial tools, technologies, and methodologies to support planning, preparedness, and protection efforts and situational awareness. Infrastructure Visualization provides near real-time situational awareness of the Nation's infrastructure status, critical infrastructure and key resources incident management information, and access to geospatial and information management tools. Critical infrastructure and key resources situational awareness is enhanced through the production of related geospatial products that support various operational activities of the Protective Security Advisors, Chemical Inspectors, Infrastructure Liaison Officers, and the Office of Infrastructure Protection's contingency planning and incident management, as well as other organizations internal and external to DHS that require display or mapping of the Nation's infrastructure.

Infrastructure Data Management

\$ thousands	FY 2009			FY 2010			Change		
	Activity	FTE	FTP	Enacted*	FTE	FTP	Request	FTE	FTP
Salaries & Benefits	8	8	\$1,074	27	27	\$3,628	19	19	\$2,554
<i>Infrastructure Data Management</i>			\$6,723			\$4,196			-\$2,527
Program Costs			\$6,723			\$4,196			-\$2,527
Total	8	8	\$7,797	27	27	\$7,824	19	19	\$27

*FY 2009 includes \$6,723 for the Protected Critical Infrastructure Information activity that was enacted in the Coordination and Information Sharing PPA for comparison purposes.

The Infrastructure Data Management project establishes common and consistent standards in the collection, visualization, and protection of infrastructure data. Infrastructure Data Management provides leadership for the infrastructure data domain of the DHS enterprise data model and National Information Exchange Model, identifies infrastructure data gaps, prioritizes customer data requests, locates data to satisfy requests for information, and provides protection and geospatial data services to a wide range of customers and stakeholders. The Infrastructure Data Management Project takes a leadership role in engaging the infrastructure data community to better assess data needs, develop data standards, and assess data quality through customer feedback and collaboration with the Department's Electronic Data Management Office and National Information Exchange Model. Another critical component of the Infrastructure Data Management Project is the protection of infrastructure data, especially data voluntarily shared with DHS by the private sector. The Office of Infrastructure Protection takes the protection of this data very seriously and has established and maintained Protected Critical Infrastructure Information procedures to protect it from disclosure under the Freedom of Information Act and similar State and local disclosure laws, and from use in civil litigation and regulatory proceedings in accordance with the Critical Infrastructure Information Act of 2002 and its implementing regulation (6 Code of Federal Regulations Part 29 dated September 1, 2006).

Infrastructure Information Collection Project

\$ thousands	FY 2009			FY 2010			Change		
	Activity	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP
Salaries & Benefits	15	15	\$2,010	26	26	\$3,525	11	11	\$1,515
<i>Infrastructure Information Collection Project</i>			\$13,694			\$12,231			-\$1,463
Program Costs			\$13,694			\$12,231			-\$1,463
Total	15	15	\$15,704	26	26	\$15,756	11	11	\$52

The Infrastructure Information Collection Project standardizes information collection management to provide quantifiable, risk-related infrastructure information and provides data standards to ensure common and consistent information for efficient information sharing. The project also provides a common information collection, maintenance, and update process and a processing capability to fuse and disseminate information to infrastructure protection partners internal and external to DHS. The Infrastructure Information Collection Project will develop an integrated collection process that focuses collection of information on vetted and prioritized requirements from Federal, State, local, Territorial, and Tribal stakeholders, as well as private sector entities. The collection strategy will decrease reliance on the long-term purchase or licensing of commercial data and focus on utilizing an integrated distributed architecture to integrate existing government-owned information that can be used long term.

FY 2008 Identification and Analysis Accomplishments

- Conducted multi-asset assessment on 72 assets in the Lower Manhattan Security Initiative and 32 assets in the District of Columbia Metroplex Initiative.
- Conducted over 40 vulnerability assessments utilizing extensive National Infrastructure Simulation and Analysis Center modeling. As a result, the first system-based Comprehensive Review methodology was developed, providing Federal, State, local and private sector stakeholders with the first ever systems-based vulnerability identification and analysis.
- Conducted over 300 vulnerability assessments on Tier 1 and Tier 2 critical infrastructure and key resource assets, National Special Security Events, other special events, and specially directed facilities. These included Site Assistance Visits, Buffer Zone Protection Plans, Comprehensive Reviews, and New Nuclear Reactor assessments.
- Led the interagency vulnerability assessment of the Liquefied Natural Gas System in Trinidad and Tobago with the Departments of Energy, Defense, State, and the U.S. Coast Guard. The final assessment report, briefed by the interagency team to the Government of Trinidad and Tobago in May 2008, included identified vulnerabilities, best practices, and recommended protective measures vulnerabilities.
- Produced the National Critical Infrastructure and Key Resources Terrorism Risk Profile, a nationwide cross-sector assessment of risks to the Nation's critical infrastructure and key resources, including risks from cyber attacks and developed 2008 Strategic Homeland Infrastructure Risk Assessment report. Submitted National Critical Infrastructure and Key Resources Terrorism Risk Profile and State Risk Profiles for inclusion in the National Critical Infrastructure and Key Resources Protection Annual Report and provided Sector Terrorism Risk Profiles for review and release to Critical Infrastructure and Key Resources partners.
- Launched the New York State Infrastructure Risk Analysis Partnership Program through the Homeland Infrastructure Threat and Risk Analysis Center in coordination with the New York State Office of Homeland Security in order to assist the State with building the capability to develop a State Risk Profile, as part of the Infrastructure Risk Analysis Partnership Program initiative.

- Provided operational incident support through the National Infrastructure Simulation and Analysis Center activities during Midwest flooding in June 2008. Examined potential economic losses, outlined affected infrastructure, and projected overall national-level cascading impacts due to floods. Prioritized restoration of infrastructures that may be affected by Hurricane Dolly in July 2008 and conducted analysis of potential cross-border (U.S./Mexico) infrastructure impacts to critical infrastructure and key resources due to hurricanes.
- Initiated a number of efforts with Sector partners to build risk and vulnerability assessment tools that are vital to DHS efforts to execute cross-sector, comparative risk assessments. These projects included the Vulnerability Identification Self-Assessment Tool for the Commercial Facilities Sector; Risk Assessment Methodology – Water Sector; Food and Agriculture Sector Criticality and Assessment Tool version 2.0; Risk Assessment Methodology – Dams tool; and the voluntary chemical risk assessment pilot project for the Chemical Sector.
- Implemented DHS Earth at the unclassified level to view event and threat information, such as suspicious activity reports, wildfire perimeters, and hurricane tracks, in relation to the Nation’s critical infrastructure and key resources in real time. This capability provided users with a robust, three-dimensional visualization capability for situational awareness.
- Trained over 1,800 Protected Critical Infrastructure Information authorized users. Developed the Program Administrative Support System to deliver authorized Protected Critical Infrastructure Information user training and to manage the authorized user community. Accredited the Department of Defense and 10 States to be able to access, use, and store Protected Critical Infrastructure Information through a Memorandum of Agreement, training, and a Standard Operating Procedure, and established six new DHS information sharing partnerships that incorporated Protected Critical Infrastructure Information protections.
- Enhanced and expanded the Constellation/Automated Critical Assessment Management System information technology architecture, allowing users across all 56 U.S. States and territories faster and more reliable access, more secure and redundant Constellation/Automated Critical Assessment Management System data protection, and a means to execute live, continuous critical infrastructure and key resource asset data transfer among and between the Constellation/Automated Critical Assessment Management System and approved, authorized commercial and non-Federal systems and data stores.
- Established a robust and multi-faceted State and local critical infrastructure protection and Constellation/Automated Critical Assessment Management System training program by leveraging the National Guard Bureau and U.S. Army Research, Development, and Engineering Command to implement the Critical Infrastructure and Key Resources Asset Protection Technical Assistance Program, “Train-the-Trainer” course, and Constellation/Automated Critical Assessment Management System Web-based user training. The Critical Infrastructure and Key Resources Asset Protection Technical Assistance Program provides instruction on implementing the National Infrastructure Protection Plan at the State and local level.

FY 2009 Identification and Analysis Planned Accomplishments

- Develop a pre-construction assessment methodology, which can be utilized in the design phase of new critical infrastructure and key resource construction. This methodology will assess the vulnerabilities of the design, annotate the protective measures needed to mitigate vulnerabilities, and include a cost analysis of enacting those protective measures.
- Expand the focus of vulnerability assessments from primarily individual assets to emphasis on critical infrastructure and key resource “clusters,” regions, and systems in major metropolitan areas, identified through application of risk-based criteria. In pilot year FY 2009, conduct the

Regional Resiliency Assessment Program on the Chicago Financial District, Tennessee Valley Authority, Raleigh-Durham Research Triangle, New York City Bridges, and New Jersey Turnpike Exit 14 Corridor.

- Expand the National Guard Vulnerability Assessment Program to increase the number of nationwide critical infrastructure and key resource vulnerability assessments and Regional Resiliency Assessment Program conducted.
- Expand Critical Infrastructure Red Team work, expanding to four additional sectors in 2009. In each of the four targeted sectors, Critical Infrastructure Red Team will work with the Sector-Specific Agencies, and the respective owners/operators, to enhance their awareness of operationally validated vulnerabilities, improve protective postures against these vulnerabilities, and identify those required capabilities where Federal assistance is needed, such as DHS Science & Technology development, law enforcement grants, and exercise coordination
- Develop an enhanced Tier1/Tier 2 program, identifying and prioritizing nationally significant assets. Work with partners to provide prioritization and analysis during incident response. Begin work to expand program by working with stakeholders to nominate assets and systems for individual Sector, State, and Territory Lists.
- Produce the FY 2009 Critical Foreign Dependencies List and Executive Report for FY 2009, a comprehensive inventory of infrastructure located outside the United States that if disrupted or destroyed, would lead to loss of life in the United States, or critically affect the Nation's economic, industrial, or defensive capabilities.
- Complete deployment of the Integrated Common Analytical Viewer NextGen on the Homeland Security Data Network to allow users to view classified information and perform rapid threat impact assessments.
- Initiate development of Web-based training for the Integrated Common Analytical Viewer tool suite to significantly enhance, increase and inform the user base through a more cost-effective method.
- Enhance the Tier1/Tier 2 Data Call application to improve the quality of the data received during the annual Infrastructure Protection Data Call. The enhancements will allow users to categorize the infrastructure and resources they submit as single assets, systems, and clusters; such distinctions will assist data analysts with researching the interdependencies between assets and asset groups.
- Establish the Infrastructure Data Taxonomy application, which will improve the delineation of infrastructure attributes of interest and foster ongoing feedback from end users. The application includes a mapping function that crosswalks different versions of the infrastructure taxonomy to quickly highlight areas of change between the versions.
- Develop an Infrastructure Data Catalog that will enable a single point approach to accessing infrastructure data. The Data Catalog will provide infrastructure data users with a common reference guide to critical infrastructure and key resource information, allowing users to request additional infrastructure information to fulfill a specific need.
- Increase Protected Critical Infrastructure Information accredited entities by two Federal agencies and 10 States and establish new information sharing partnerships that incorporate Protected Critical Infrastructure Information protections.
- Complete Initial Operating Capability of the Integrated Data Warehouse to enable compilation and dissemination of information to infrastructure protection.

- Achieve Initial Operating Capability for the official use only and Secret Infrastructure Information Collection System development and test subsystem to create an environment to store prioritized data for use by homeland security partners.
- Enhance infrastructure protection and Constellation/Automated Critical Assessment Management System training by deploying the Virtual Critical Infrastructure and Key Resources Asset Protection Technical Assistance Program course, which will dramatically lower training costs for the Infrastructure Information Collection Division and for State and local partners by leveraging distributed learning technology. This enhanced training will enable the Constellation/Automated Critical Assessment Management System Project Office to train an estimated 1,400 new users during FY 2009.
- Complete efforts to build risk and vulnerability assessment tools vital to DHS efforts to execute National Comparative Risk Assessment. Completed tools will include the Risk Self-Assessment Tool for the Commercial Facilities Sector, the Risk Assessment Methodology – Water tool, enhancement of the Security and Emergency Management System tool for the Water Sector, the Food and Agriculture Sector Criticality and Assessment Tool version 2.0 for the Food/Agriculture Sector, the Risk Assessment Methodology – Dams tool for the Dams Sector, and the voluntary chemical risk assessment pilot project for the Chemical Sector.

FY 2010 Identification and Analysis Planned Accomplishments

- Conduct approximately 315 vulnerability assessments (Site Assistance Visits, Buffer Zone Protection Plans, and Regional Resiliency Assessment Programs) on Tier1/Tier 2 assets, special events projects and as directed by leadership, utilizing the National Guard in coordination and collaboration with Federal, State, local, and private sector partners. Assessment results will be utilized to influence facility security; direct DHS grant dollars to address equipment gaps in local law enforcement; and identify trends across sectors.
- Conduct approximately 12 New Nuclear Reactor Security Consultations that independently identify vulnerabilities at new reactor sites which the Nuclear Regulatory Commission can incorporate into overall security evaluation and identify mitigating protective measures.
- Conduct Regional Resiliency Assessment on the Detroit International Transportation Hub, Colonial Pipeline (Atlanta Hub), Louisiana Highway 1 (LA1), Port of Long Beach, Las Vegas Strip, and Henry Hub Pipeline in Louisiana.
- Refine the methodologies and processes used to develop the National Critical Foreign Dependencies List and Executive Report. Work with Federal and public/private sector partners to develop a comprehensive inventory of infrastructure located outside the United States that if disrupted or destroyed, would lead to loss of life in the United States, or critically affect the Nation's economic, industrial, or defensive capabilities. Complete risk and risk-informed assessments as necessary for assets and systems found on the National Critical Foreign Dependencies List.
- Evaluate gaps in incident response products; continually work towards building an improved set of self-initiated analytical products that anticipate IP's incident-related information requirements. For example, ensure that a prioritized list of critical infrastructure and key resources can be immediately provided to leadership after an event has occurred.
- Codify the Infrastructure Data Collection management process to support the gathering, storage, and distribution of the infrastructure information that is required to fulfill the Infrastructure Protection mission.
- Work with Infrastructure Data Taxonomy stakeholders to mature the infrastructure attributes of interest found within the taxonomy, and solicit feedback for developing the next version of the

taxonomy. Collect customer requirements to further enhance the robustness of the Infrastructure Data Catalog.

- Train 1,000 new users to handle and use Protected Critical Infrastructure Information to avoid unauthorized disclosures.
- Achieve Initial Operating Capability for the Secret Infrastructure Information Collection System Production Subsystem to expand the infrastructure data accessible and distributed to the regional homeland security community, integrating numerous data sets into the Infrastructure Information Collection System to improve execution of national risk management for critical infrastructure and key resources.
- Achieve Full Operating Capability for Constellation/Automated Critical Assessment Management System Continuity of Operations systems and train an estimated 1,500 State and local officials on building and implementing critical infrastructure protection plans on the use of the Constellation/Automated Critical Assessment Management System.
- Complete efforts to build additional risk and vulnerability assessment tools for the Emergency Services, Transportation, and Government Facilities, Public Health sectors vital to DHS efforts to execute National Comparative Risk Assessment.

**Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Program Performance Justification
(Dollars in thousands)**

PPA: COORDINATION AND INFORMATION SHARING

	Perm Pos	FTE	Amount
FY 2008 Actuals	93	62	\$ 57,350
FY 2009 Enacted	83	83	\$ 62,367
2010 Adjustments-to-Base	6	6	\$ (785)
2010 Current Services	89	89	\$ 61,582
2010 Program Change	0	0	\$ (11,000)
FY 2010 Request	89	89	\$ 50,582
Total Change 2009-2010	6	6	\$ (11,785)

In FY 2010, NPPD requests \$50,582,000 for the Coordination and Information Sharing program, including 89 positions / FTE. This represents a decrease of \$11,785,000 from the FY 2009 enacted budget of \$62,367,000. These funds support the coordination and management of the National Infrastructure Protection Plan, management of CIKR Partnerships, and Infrastructure Protection's Management and Planning projects.

The FY 2010 request includes adjustments-to-base of \$232,000 for pay inflation; an increase of \$5,706,000 for facilities and rent transferred from NPPD Management and Administration; and 6 additional Federal positions offset by \$798,000 in program/contract dollars. In FY 2010, Infrastructure Protection requests that \$6,723,000 for the Protected Critical Infrastructure Information Program be transferred to the Identification and Analysis PPA. Program changes include a decrease of \$11,000,000 to the National Infrastructure Protection Plan Management and Critical Infrastructure and Key Resources Partnership projects.

CURRENT SERVICES PROGRAM DESCRIPTION

Coordination and Information Sharing	FY 2009 Enacted	FY 2010 Request
Personnel Costs	\$ 9,063	\$ 10,093
Program Costs	\$ 53,304	\$ 40,489
Total Costs	\$ 62,367	\$ 50,582

The Coordination and Information Sharing mission area includes projects and activities that maximize the ability of government and private sector security partners at all levels to assess risks, coordinate programs and processes, and execute risk-mitigation programs and activities. Coordination and Information Sharing is responsible for executing the National Infrastructure Protection Plan. These activities foster information sharing and coordination between individual sector governance structures as well as facilitating development of security partner governance and coordination structures and models. Building security partnerships represents the foundation of the coordination and information sharing efforts and is divided into three projects: National Infrastructure Protection Plan Management, Critical Infrastructure and Key Resources Partnerships, and Management, Planning, and Administration.

National Infrastructure Protection Plan Management

\$ thousands	FY 2009			FY 2010			Change		
	Activity	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP
Salaries & Benefits	20	20	\$2,714	24	24	\$3,315	4	4	\$601
<i>NIPP Program Management</i>			\$9,553			\$4,021			-\$5,532
<i>NIPP SSA Support</i>			\$3,710			\$3,710			\$0
Program Costs			\$13,263			\$7,731			-\$5,532
Total	20	20	\$15,977	24	24	\$11,046	4	4	-\$4,931

Infrastructure Protection’s National Infrastructure Protection Plan Management project has the responsibility of interacting with public and private entities to ensure that, collectively, all parties work continuously to enhance critical infrastructure and key resources protection across a growing number of sector security partners. Within Infrastructure Protection, National Infrastructure Protection Plan Management has responsibility for the day-to-day National Infrastructure Protection Plan management processes and implementation efforts, such as tracking milestones set in the National Infrastructure Protection Plan and the Sector-Specific Plans. The project provides the direct support and operational and strategic framework to the Sector-Specific Agencies for collaboration, development, implementation, and maintenance of these national approaches to information sharing and critical infrastructure and key resources protection. National Infrastructure Protection Plan Management works with the Sector-Specific Agencies and their security partners to ensure the achievement of two main goals: keeping the critical infrastructure and key resources sectors current on all critical infrastructure and key resources protection issues and support the sectors as they work toward milestones set out in the National Infrastructure Protection Plan, Sector-Specific Plans, and Sector Critical Infrastructure and Key Resources Protection Annual Reports (Sector Annual Reports).

The National Infrastructure Protection Plan Program Management office is operationally designed to accomplish three implementation efforts: outreach, training, and education. The National Infrastructure Protection Plan Program Management office deepens relationships and broadens participation with government and private sector security partners; supports implementation of the National Infrastructure Protection Plan risk-based approach; influences decision-makers regarding budget, policy, and risk management; and encourages critical infrastructure and key resources protective security advocates.

Critical Infrastructure and Key Resources Partnerships

\$ thousands	FY 2009			FY 2010			Change		
	Activity	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP
Salaries & Benefits	20	20	\$2,648	26	26	\$3,514	6	6	\$866
<i>Sector Partnerships</i>			\$12,640			\$5,842			-\$6,798
<i>Information Sharing Environment (ISE)</i>			\$15,322			\$15,322			\$0
Program Costs			\$27,962			\$21,164			-\$6,798
Total	20	20	\$30,610	26	26	\$24,678	6	6	-\$5,932

The Critical Infrastructure and Key Resources Partnerships project builds, sustains, and ensures the effective coordination and operations of the comprehensive network of structures, mechanisms, and processes that engage all critical infrastructure and key resources stakeholders across the Nation. It enables systematic and sustainable communication, coordination, and information exchange among those partners. The resourcing of the partnerships structures and their operations is organized through Sector Partnerships activities and Critical Infrastructure and Key Resources Information Sharing Environment activities.

Collaboration, coordination, trusted relationships, and an effective and efficient Critical Infrastructure and Key Resources Information Sharing Environment are interdependent. Critical infrastructure and key resources stakeholders fall into four general categories: critical infrastructure and key resources owners and operators; Federal agencies and their National and international partners; State, local, Tribal and Territorial governments and their regional and local critical infrastructure and key resources partners; and subject matter experts.

Information sharing enables effective coordination and communication within the partnerships, and is a critical enabler for risk management activities that strengthen the security and resiliency of the Nation’s critical infrastructure and key resources. Implementation and unification of these necessary elements creates an effective and efficient Information Sharing Environment for the critical infrastructure and key resources stakeholders.

Management, Planning and Administration

\$ thousands	FY 2009			FY 2010			Change			
	Activity	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	43	43	\$3,701	39	39	\$3,264	-4	-4	-\$437	
<i>Management, Planning, and Administration</i>			\$5,356			\$11,594			\$6,238	
Program Costs			\$5,356			\$11,594			\$6,238	
Total	43	43	\$9,057	39	39	\$14,858	-4	-4	\$5,801	

The Management, Planning and Administration project is a key enabler of all of Infrastructure Protection’s programmatic actions. It encompasses a number of planning, policy, and programmatic areas, including human resource management, professional development, budget formulation and execution, investment planning, acquisition strategy, personnel and facility security, logistics and executive secretariat support, Government Accountability Office and DHS Inspector General facilitation and support, policy development and evaluation, legislative analysis, and International Partnership Coordination.

Integrating Infrastructure Protection’s activities on a strategic, organizational, and project level represents a core competency for Infrastructure Protection. Management, Planning and Administration focuses on maturing and improving Infrastructure Protection’s strategic planning and its business and administrative processes. These functions support project management and execution as well as long-term investment planning and decision making for efficient and effective project execution. An integrated planning and performance capability ensures that Infrastructure Protection’s planning and communication and outreach efforts include Federal, State, local, Tribal, and Territorial governments; the private sector; and international security partners.

In FY 2010, \$5,706,000 for facilities and rent was transferred to Management, Planning and Administration from the NPPD Management and Administration appropriation. This transfer for rent and facilities will address facilities and rent requirements across all three Infrastructure Protection PPAs (Identification and Analysis, Coordination and Information Sharing, Mitigation Programs).

FY 2008 Coordination and Information Sharing Accomplishments

- Launched National Infrastructure Protection Plan Channel on DHS Lessons Learned Information Sharing Site. The Channel provides a mechanism for public and private sector security partners to access and share National Infrastructure Protection Plan related information across sectors.

- Developed the overarching National Infrastructure Protection Plan Outreach and Awareness Strategy, designed to reach Federal, State, local, Tribal, and Territorial governments as well as private sector security partners and the interested public.
- Created the State and Regional Critical Infrastructure and Key Resources Protection Guide. This guide bridges the gap between National level and State/regional level critical infrastructure and key resources protection planning and implementation. It serves as a key resource for new Homeland Security Advisors and other homeland security officials.
- Completed integration of the State, Local, Tribal and Territorial Government Coordinating Council into the full cycle of National Infrastructure Protection Plan planning and reporting. This included full incorporation of the State, Local, Tribal and Territorial Government Coordinating Council into the Critical Infrastructure Partnership Advisory Council and coordination with the Sector Coordinating Councils and Government Coordinating Councils. The State, Local, Tribal and Territorial Government Coordinating Council has completed their first full comment and input into the National Infrastructure Protection Plan Sector-Specific Plans and review of the National Annual Report. It formally established member liaisons to the Sector Coordinating Council/Government Coordinating Council of each sector.
- Established a full spectrum partnership with the FBI on the shared mission of critical infrastructure and key resources protection. The FBI complements DHS' authorities, competencies, and responsibilities for critical infrastructure and key resources protection. Several initiatives have been established to execute joint activities such as site risk assessment and the Bombing Prevention Project. This activity also expands the reach into the community of critical infrastructure and key resources owners and operators through jointly sponsored critical infrastructure and key resources related programs with groups such as InfraGuard. This partnership, established through a Memorandum of Agreement, implements a channel and process through which additional protection initiatives can be coordinated more systematically and efficiently for both agencies.
- Completed a Critical Infrastructure and Key Resources Sector Information Sharing Maturity Model and completed a pilot of the model with the Dams Sector. These core interactions include: alert, notifications, and warnings; document management, suspicious activity reporting, incident coordination and communication, and steady state situational awareness activities.
- Implemented the U.S./Canada comprehensive cross-border initiative on critical infrastructure and key resources related risk management and incident management.
- Developed an integrated program management process, which links strategic planning, programming, and budgeting processes to reporting and evaluation processes.
- Consolidated mission support for Infrastructure Protection administrative support and watch desks, maximizing time and resources.
- Developed a Human Resources management tool that provides a transparent Infrastructure Protection organizational structure, allowing Infrastructure Protection to improve the way it manages, tracks, and fills open positions. Through the use of this tool, Infrastructure Protection is able to analyze and reduce the amount of time it takes to get qualified people in place to meet its mission.
- Lead Critical Energy Infrastructure Protection Initiative in G8 Law Enforcement Practitioners and Counter-Terrorism Practitioners forum.
- Initiated Chemical Infrastructure Protection Project in G8 Law Enforcement Practitioners and Counter-Terrorism Practitioners forum.

- Conducted Critical Infrastructure Protection awareness outreach to Governments of Brazil and Argentina.
- Coordinated with Government of Mexico on vulnerability assessments of critical dams along the U.S. Southern Border.
- Conducted vulnerability assessments with Trinidad & Tobago critical Liquefied Natural Gas facilities in coordination with Department of Energy and U.S. Coast Guard.
- Developed the Critical Foreign Dependencies Initiative cataloguing global critical infrastructure that would impact the U.S. in terms of loss of life or an impact on the U.S. economy.

FY 2009 Coordination and Information Sharing Planned Accomplishments

- Complete the triennial rewrite of the National Infrastructure Protection Plan and reissue to ensure continued alignment and currency of the National Infrastructure Protection Plan and Sector Specific Plans. Increase emphasis on the collaboration between the public and private sector through the triennial review process.
- In coordination with the Sector-Specific Agencies and private sector partners, develop metrics to assess the progress of implementing the National Infrastructure Protection Plan risk management framework and value of critical infrastructure and key resources protection efforts. Develop guidance for and coordinate the Sector Critical Infrastructure and Key Resources Protection Annual Reports. Analyze sector and other annual reports to develop the National Critical Infrastructure and Key Resources Protection Annual Report. Coordinate writing and printing of National Annual Report, and ensure delivery to the Executive Office of the President and Congress.
- Coordinate with Regional Consortium Coordinating Council and facilitate interactions with Sector-Specific Agencies to establish strong relationships between the sectors and this newest part of the sector partnership model. This new council builds further links with critical infrastructure and key resources owners and operators, enabling more robust implementation of the National Infrastructure Protection Plan and the Sector-Specific Plans.
- Institutionalize processes to ensure the expanded capability of the Sector-Specific Agencies to identify/evaluate gaps in strategic planning and risk reduction programs, allowing resources to be allocated where they offer the greatest benefit.
- Develop and deliver National Infrastructure Protection Plan related critical infrastructure and key resources courses to include web-based awareness level training on the Critical Infrastructure and Key Resources Sectors and the Critical Infrastructure and Key Resources Support Annex to the National Response Framework; classroom-based courses to help government and private sector security partners implement critical infrastructure and key resources program management activities; and others as appropriate.
- Establish processes and mechanisms, equivalent to the Critical Infrastructure and Key Resources Sector Information Sharing Maturity Model, to support effective coordination and communication among regional critical infrastructure and key resources relevant coalitions, Federal agencies, and the National critical infrastructure and key resources sectors.
- Pilot deployment of the State, Local, Tribal and Territorial Government Coordinating Council recommended critical infrastructure and key resources support capability within State Fusion Centers.
- Operate Critical Infrastructure Warning Information Network at 100% reliability and fully integrate its capabilities with Homeland Security Information Network for Critical Sectors capabilities to make more efficient use of network resources.

- Initiate a Professional Development program that defines educational-level and training requirements for Infrastructure Protection staff at all levels.
- Provide an integrated and comprehensive suite of processes, procedures, and methods related to all procurements and financial activities.
- Complete the beta cross-border initiative on critical infrastructure and key resources related risk management and incident management with the State of Michigan and Canadian Federal, local, and provincial authorities.

FY 2010 Coordination and Information Sharing Planned Accomplishments

- In coordination with the Sector Specific Agencies and private sector partners, refine metrics to assess the progress of implementing the National Infrastructure Protection Plan risk management framework and value of critical infrastructure and key resources protection efforts. Develop guidance for and coordinate the Sector Critical Infrastructure and Key Resources Protection Annual Reports. Analyze sector and other annual reports to develop the National Critical Infrastructure and Key Resources Protection Annual Report.
- Coordinate the development of an enhanced framework for State, local, and Tribal critical infrastructure and key resources program engagement with the Grant Programs Directorate risk-based processes and assessments.
- Expand participation of State, local, Tribal and Territorial government representatives in the activities of the State, Local, Tribal and Territorial Government Coordinating Council and its working groups' deliberations and recommendations.
- Move the Information Sharing Maturity Model into full operations for Critical Infrastructure and Key Resources Regional Coalitions, thereby incorporating them into the Critical Infrastructure and Key Resources Information Sharing Environment which will support effective coordination and communication among regional critical infrastructure and key resources relevant coalitions, Federal agencies, and the National critical infrastructure and key resources sectors.
- Identify and resolve critical policy and legal issues related to information sharing with international partners.
- Collect and complete annual report on critical infrastructure and key resources information sharing metrics to measure progress on implementation of the Critical Infrastructure and Key Resources Information Sharing Environment and to identify gaps that may need to be addressed.
- Develop retention and recruiting strategy to ensure high quality candidates are successfully hired and on-boarded at Infrastructure Protection.
- Create an Infrastructure Protection knowledge repository, policies, and operating procedures to improve communication and information sharing across Infrastructure Protection.
- Develop a communication strategy to improve collaboration across Infrastructure Protection divisions and projects.

**Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Program Performance Justification
(Dollars in thousands)**

PPA: MITIGATION PROGRAMS

	Perm Pos	FTE	Amount
FY 2008 Actuals	174	135	\$ 120,512
FY 2009 Enacted	274	220	\$ 170,830
2010 Adjustments-to-Base	187	226	\$ 8,081
2010 Current Services	461	446	\$ 178,911
2010 Program Change	45	23	\$ 17,200
FY 2010 Request	506	469	\$ 196,111
Total Change 2009-2010	232	249	\$ 25,281

In FY 2010, NPPD requests \$196,111,000, for the Mitigation Programs, including 506 positions and 469 FTE. This represents an increase of \$25,281,000 over the FY 2009 enacted budget of \$170,830,000. These funds support the coordination and management of the DHS' regulatory authority over high risk chemical facilities, bombing prevention, protective security advisors, Sector-Specific Agency responsibilities, and incident management, contingency and readiness activities.

The FY 2010 request includes adjustments-to-base for annualization of 54 FTE for \$7,357,000; pay inflation of \$724,000; 187 positions and 172 FTE additional Federal positions offset by \$22,876,000 in program/contract dollars. Program changes include an increase of \$19,000,000 and 23 FTE and 45 positions for Infrastructure Security Compliance; an increase of \$4,200,000 for the Office of Bombing Prevention; a decrease of \$2,000,000 for Philadelphia Critical Infrastructure Protection; a decrease of \$3,000,000 for protection of Critical Underground Infrastructure; and a decrease of \$1,000,000 for an Improvised Explosive Device Geospatial Mapping Tool.

CURRENT SERVICES PROGRAM DESCRIPTION

Mitigation Programs	FY 2009 Enacted	FY 2010 Request
Personnel Costs	\$ 30,939.00	\$ 64,509.29
Program Costs	\$ 139,891.00	\$ 131,602.00
Total Costs	\$ 170,830	\$ 196,111

Mitigation Programs utilizes measures designed to prevent, deter, and mitigate threat to critical infrastructure and key resources, and enable timely, efficient response and restoration in a post-event situation for all hazards. Mitigation programs help security partners to identify and mitigate vulnerabilities, implement protective measures, and increase preparedness for facilities, systems, and surrounding communities. They also support public awareness efforts and facilitate the sharing of critical infrastructure and key resources protection-related best practices and lessons learned. Additionally, they enable Infrastructure Protection planning, readiness and incident management capabilities. Mitigation Programs is divided into five projects: Infrastructure Coordination and Incident

Management, Infrastructure Security Compliance, Protective Security Advisors, Sector-Specific Agency Management, and Bombing Prevention.

Infrastructure Coordination and Incident Management

\$ thousands	FY 2009			FY 2010			Change		
	Activity	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP
Salaries & Benefits	24	24	\$3,217	42	42	\$5,693	18	18	\$2,476
<i>NICC</i>			\$20,039			\$18,501			-\$1,538
<i>Contingency Planning</i>			\$3,379			\$2,976			-\$403
<i>Readiness</i>			\$3,126			\$2,673			-\$453
Program Costs			\$26,544			\$24,150			-\$2,394
Total	24	24	\$29,761	42	42	\$29,843	18	18	\$82

Guided by the National Infrastructure Protection Plan and the National Response Framework, the Infrastructure Coordination and Incident Management project provides the structures, mechanisms, facilities, and personnel needed to plan and execute a coordinated, interoperable, critical infrastructure and key resources focused response to emerging and no-notice incidents. The project provides Infrastructure Protection’s capability to respond to the full range of incidents by providing situational awareness, coordinating operational activities and developing recommended courses of action to government and private sector critical infrastructure and key resources partners. Infrastructure Protection’s incident management capability reduces risk to critical infrastructure and key resources sectors from impending or occurring incidents, enables more rapid recovery of damaged critical infrastructure and key resource assets and networks, and mitigates the impact of critical infrastructure and key resources degradation on the safety and quality of life of the American people.

Successful execution requires that the project conduct the necessary planning to ensure capability to respond to the full range of incidents, and provide a readiness program to ensure planned responses are validated, exercised, and ready to execute. During steady-state, the project must maintain operational capability to develop and share situational awareness, conduct information sharing including alert and warning, and prepare for increased operational demands of incident response. During incident response, the project must have the capability to operationalize established relationships, maintain situational awareness, share information, analyze data, develop recommended actions and protective measures, contribute to national reporting, and distribute key information and decision products.

Infrastructure Security Compliance

\$ thousands	FY 2009			FY 2010			Change		
	Activity	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP
Salaries & Benefits	78	123	\$11,219	246	268	\$33,495	168	145	\$22,276
<i>Infrastructure Security Compliance Activity</i>			\$61,781			\$55,481			-\$6,300
<i>Ammonium Nitrate Regulatory Initiative Activity</i>			\$5,000			\$14,387			\$9,387
Program Costs			\$66,781			\$69,868			\$3,087
Total	78	123	\$78,000	246	268	\$103,363	168	145	\$25,363

The Infrastructure Security Compliance Project is being implemented in response to the DHS Appropriations Act of 2007 (Public Law 109-295), which provides DHS with the authority to regulate chemical facilities nationwide that present a high level of security risk, with priority on highest risk facilities. The statutory requirements which Infrastructure Security Compliance Project implements are contained in the Chemical Facility Anti-Terrorism Standards (6 C.F.R. Part 27), and additional requirements are being added to the Infrastructure Security Compliance Project in response to Section 563 of the 2008 Consolidated Appropriations Act, Subtitle J – Secure Handling of Ammonium Nitrate

(“Section 563”).Section 563 amends the Homeland Security Act of 2002 and provides the DHS with the authority to “regulate the sale and transfer of ammonium nitrate by an ammonium nitrate facility...to prevent the misappropriation or use of ammonium nitrate in an act of terrorism.”

In addition to providing oversight and incentives to the risk-reduction activities of individual high-risk chemical facilities, Infrastructure Security Compliance Project applies a holistic view to managing the security of the Nation’s chemical facility infrastructure to ensure that risks are managed across the Nation. This will ensure that risks are neither shifted between individual facilities, among surrounding communities, between States and regions, nor shifted to non-facility assets (i.e. chemical transportation and shipping infrastructure). Infrastructure Security Compliance Project engages with voluntary critical infrastructure and key resources protection efforts, to include the Chemical Sector-Specific Agency and related forums (e.g., Government Coordinating Council) to ensure leveraging of, and coordination with, Homeland Security Presidential Directive-7-driven efforts, when appropriate.

The Department is currently reviewing over 5500 submitted Security Vulnerability Assessments (SVA) and expects to review and evaluate approximately 6500 facility SVAs. The SVA is used to assess a facility’s security measures and vulnerability to attack. The results are utilized to designate certain facilities as high risk and being placed in a final tier or being determined not to be of high risk and thus currently excluded from the current regulations. Final tiering determinations and subsequent industry notifications will begin in the summer of 2009 for the higher risk tiers, Tiers 1 and 2.

A critical part of the CFATS process is the on-site inspections of high-risk chemical facilities by the Department’s Infrastructure Security Compliance Inspector cadre. Inspections are conducted to verify compliance at a facility with respect to the site’s Site Security Plan (SSP) and the Risk Base Performance Standards. SSP captures specific security measures the facility has or will implement to meet the Risk Based Performance Measures (RBPS) based on the facility’s specific tier, security issues, and other circumstances. Upon completion of the SSP by a regulated facility, it will be reviewed by the Department. Submitted SSPs will either be accepted by the Department and subject to on-site compliance inspections, or returned to the submitting facility with recommendations and requirements for improvement before the returned SSP will be reconsidered for acceptance.

The Department also is responsible for the regulation of the sale, transfer, and purchase of ammonium nitrate, under the Secure Handling of Ammonium Nitrate Act. Currently, the Department is proceeding quickly with its initial development of a rule to regulate AN, and will release a Notice of Proposed Rulemaking for public comment. This is being supported by the initial scoping of desired capabilities of the necessary Departmental systems needed to support the program and the information/data collection and analysis required to successfully regulate AN, and will ultimately be defined by the requirements of the promulgated rule.

Protective Security Advisors

\$ thousands	FY 2009			FY 2010			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	95	100	\$12,871	107	107	\$14,805	12	7	\$1,934
<i>Protective Security Advisors</i>			\$13,755			\$12,824			-\$931
Program Costs			\$13,755			\$12,824			-\$931
Total	95	100	\$26,626	107	107	\$27,629	12	7	\$1,003

The Protective Security Advisor project was established in 2004 by DHS to increase representation and coordination at the Federal, State, local, Tribal and territorial levels. The Protective Security Advisors

provide a local perspective to the National risk picture and serve as DHS' on-site critical infrastructure and vulnerability assessment specialists. In this capacity, Protective Security Advisors serve as a vital channel of communication for government officials and private sector critical infrastructure and key resources owners and operators to communicate with DHS.

The Protective Security Advisor project supports Infrastructure Protection's mission to build and sustain effective critical infrastructure and key resources partnerships and coordination mechanisms; understand and share risk and information about terrorist threats and other hazards to our Nation's critical infrastructure and key resources; provide a foundation for continuously improving critical infrastructure and key resources preparedness; and build and implement a sustainable, national critical infrastructure and key resources risk-management program.

Sector-Specific Agency Management

\$ thousands	FY 2009			FY 2010			Change			
	Activity	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits		19	19	\$2,547	54	69	\$7,267	35	50	\$4,720
SSA Management				\$17,896			\$13,241			-\$4,655
SSA Government Facilities				\$2,000			\$0			-\$2,000
Program Costs				\$19,896			\$13,241			-\$6,655
Total		19	19	\$22,443	54	69	\$20,508	35	50	-\$1,935

The Sector-Specific Agency Management project has been established to execute Sector Specific Agency functions for six of the 18 critical infrastructure and key resources sectors: Chemical, Commercial Facilities, Critical Manufacturing, Dams, Emergency Services, and Commercial Nuclear Reactors, Materials, and Waste (Nuclear). In addition, the Sector-Specific Agency Management project serves as the Program Management Office for the Interagency Security Committee, a Federal body created to enhance the security of non-military Federal facilities (DHS [Infrastructure Protection] serves as Chair of the Interagency Security Committee). Lastly, the Sector-Specific Agency Management project is charged with providing Sector Specialist functions for the Government Facilities and National Monuments & Icons Sectors.

The Sector-Specific Agency Management project's fundamental mission is to achieve cohesive and coordinated risk reduction across its assigned critical infrastructure and key resources sectors. The Sector-Specific Agency Management project ensures that critical infrastructure and key resources sector security efforts are aligned and coordinated, and that security resources are leveraged to maximum effect across the six critical infrastructure and key resources sectors. Where capability gaps are found and risk is identified, the Sector-Specific Agency Management project partners with the private sector and Federal, State, local, tribal, territorial, and regional government organizations to build capacity and mitigate risk. The Sector-Specific Agency Management project works with sector partners to align priorities, goals, and strategic planning efforts; facilitate the development and implementation of risk mitigation initiatives; coordinate education, training, and security exercises; ensure that security information is communicated efficiently and effectively; support critical infrastructure and key resources research and development efforts; work with partners to address international critical infrastructure and key resources issues; and perform important incident management functions for situational awareness.

Bombing Prevention

\$ thousands	FY 2009			FY 2010			Change		
	Activity	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP
Salaries & Benefits	4	8	\$1,085	20	20	\$3,249	16	12	\$2,164
<i>Bombing Prevention</i>			\$8,915			\$11,519			\$2,604
<i>IED Geospatial Analysis</i>			\$1,000			\$0			-\$1,000
<i>Underground Critical Infrastructure</i>			\$3,000			\$0			-\$3,000
Program Costs			\$12,915			\$11,519			-\$1,396
Total	4	8	\$14,000	20	20	\$14,768	16	12	\$768

The Bombing Prevention project is the DHS lead agent for homeland security activities that include strategic coordination, capabilities analysis, and information sharing to combat the improvised explosive device threat to the Homeland. Homeland Security Presidential Directive-19, the Homeland Security Presidential Directive-19 *Implementation Plan* and the National Strategy for Combating Terrorist Use of Explosives in the United States placed new and significant responsibilities on Bombing Prevention, including:

- Coordination of national and intergovernmental bombing prevention efforts; including DHS support to the Homeland Security Presidential Directive-19 *Implementation Plan* and the required establishment of a Joint Program Office.
- Increasing information sharing on terrorists tactics and procedures for terrorist use of explosives with State, local, tribal, territorial, and private sector security partners;
- Conducting gap analyses to improve bombing prevention capabilities of State and local law enforcement protecting high consequence critical infrastructure and key resources from terrorist use of explosives.

The Bombing Prevention project, over the next several years, is required to implement a coordinated and responsive set of national programs to combat the threat of terrorist use of explosives in the U.S., in accordance with Homeland Security Presidential Directive-19 and HSPD-19 *Implementation Plan*. Bombing Prevention would expand its partnership and services to State and local law enforcement, first responders, the private sector, and the public, as well as integrate information and capabilities from its Federal Government partners and international allies if more resources were available.

FY 2008 Mitigation Programs Accomplishments

- Executed incident management operations during real-world and exercise incidents, including the 2008 hurricane season, Exercise Cyber Storm II, Top Officials Exercise 4, and National Level Exercise 2-08. During both real-world and exercise events, Infrastructure Coordination and Incident Management activities enhanced situational awareness and decision-making at the National and incident levels.
- Executed the Infrastructure Protection Continuity of Operations Implementation Plan during National Level Exercise 2-08; tested leadership tracking, crisis communication and Infrastructure Protection Continuity of Operations readiness response capabilities; successfully utilized the “Communicator” and National Infrastructure Coordinating Center notification systems.
- Registered over 43,000 facilities for access to the Chemical Security Assessment Tool suite of tools (e.g., Top-Screen, Security Vulnerability Assessment, Sector Specific Plan), and completed Top-Screens for over 32,000 facilities.
- Sent initial notification letters to all non-exempt facilities that completed Top-Screens by May 21, 2008, informing them as to whether or not the facility was preliminarily determined to be high-risk.

- Analyzed the 32,000 Top-Screens submitted to date of which approximately 7,000 have been initially determined to be high-risk and have been assigned to risk-based tiers (Tiers 1-4). Those 7,000 facilities must now complete and submit a Chemical Security Assessment Tool Security Vulnerability Assessment.
- Developed an Ammonium Nitrate Advance Notice of Proposed Rulemaking to solicit comments on the best methods for implementing the requirements of Section 563.
- Led DHS efforts in the verification and validation of Tier1/Tier 2 critical infrastructure and key resources and served as a knowledge base for all high-priority critical infrastructure and key resources and related interdependencies in State or district.
- Supported the development of the National risk picture by identifying, assessing, monitoring, and helping to minimize risk to State and local critical infrastructure and key resources.
- Trained and qualified 40 percent of Protective Security Advisors to perform Infrastructure Liaison duties in a Federal Joint Field Office in support of the Principle Federal Official and emergency support functions lead agencies, and to serve, when needed, as the “on-scene” Infrastructure Protection representative within State and local Emergency Operations Centers coordinating the response to potential or suspected terrorist attacks or other incidents. Performed Infrastructure Liaison duties in a Joint Field Office in support of the Principle Federal Official and emergency support functions lead agencies during incidents including the recent California Wildfires, Mid-West Floods, and Hurricanes Dolly, Ike and Gustav.
- Provided protective measures and Common Characteristics and Vulnerabilities, Potential Indicators of Terrorist Attack, and Protective Measures reports to facility owners and operators in preparation for incidents by Protective Security Advisors during steady state operations.
- Developed the Enhanced Critical Infrastructure Protection vulnerability assessment methodology and asset vulnerability weighting process to identify asset by asset and cross sector vulnerabilities, trends, and areas of focus. Conducted Enhanced Critical Infrastructure Protection vulnerability assessments on the Nation’s most critical infrastructure, to include all Tier 1 and 400 Tier 2 assets.
- Created Critical Infrastructure and Key Resources Vulnerability Baseline Program (being piloted in the Nuclear Sector) to establish a formalized rigorous information collection and analysis process for analyzing sector-wide consequence and vulnerability information.
- Applied information sharing and communications experiences, and knowledge gained in other Sector-Specific Agency Management sectors to the new Critical Manufacturing Sector, facilitating stand-up of the sector and enabling the sector to immediately work towards establishing effective coordination mechanisms and protective programs.
- Provided Sector-Specific Agencies with the first generation Sector-Specific Agency Concept of Operations and associated resource requirements. This will serve as the foundation for continuous improvement activities across Sector-Specific Agency Management sectors and enhances overall Infrastructure Protection capabilities in steady state protection, incident management, and risk management.
- Developed robust sector-specific incident management procedures and protocols to support each Infrastructure Protection Sector-Specific Agency’s responsibilities during an incident to include maintaining situational awareness; conducting analyses and assessments; sector-wide information sharing; and rapid responses to leadership Requests for Information.
- Coordinated regular threat briefings for Sector-Specific Agency Management sectors to increase threat awareness and to provide sector-specific context to threat information as mapped against

vulnerabilities and consequences. Conducted in partnership with DHS Office of Intelligence and Analysis.

- Served as the lead DHS representative during Homeland Security Presidential Directive-19 Report drafting; worked as co-chair with the Department of Justice's Federal Bureau of Investigation to formulate the DRAFT National Strategy for Combating Terrorist Use of Explosives in the United States Implementation Plan, required by the Homeland Security Presidential Directive-19 Report.
- Developed Multi-Jurisdiction Improvised Explosive Device Security Plans for the Detroit, Houston, and Oklahoma City metropolitan areas. The improvised explosive device security plan outlines specific bombing prevention actions that reduce vulnerability and mitigate risk within a multi-jurisdiction area against the primary terrorist attack method.
- Provided a uniform analysis of bomb squads, explosives detection canine teams, dive teams, and specialized weapons and tactics capabilities throughout the United States using a task-based methodology. This methodology measures readiness, equipment, training, and assets required for effective response to improvised explosive device threats. Integrated in the National Capabilities Analysis Database, this information provides a snapshot of national improvised explosive device preparedness that informs resource allocation and capability enhancements. This analysis was used for a congressionally mandated report on the capabilities of United States bombing prevention units.
- Provided improvised explosive device subject matter expert support to approximately 260 vulnerability assessments.
- Sponsored the delivery of 26 improvised explosive device Awareness Workshop training courses, 62 Surveillance Detection Courses, and 28 Soft Target Awareness Courses.

FY 2009 Mitigation Programs Planned Accomplishments

- Integrate the private sector into the Infrastructure Protection incident management planning process, including coordinated planning, readiness, and incident management execution activities. Establish routine Information Sharing and Analysis Center presence at National Infrastructure Coordinating Center watch. Develop concept for Sector Coordinating Council/Partnership for Critical Infrastructure Security presence in Incident Management Cell when activated.
- Complete integration of the 24x7 watch and Incident Management Cell into a single operational construct as elements of the National Infrastructure Coordinating Center to improve incident management response and information sharing.
- Lead the cross-divisional effort to train and socialize the Infrastructure Protection incident management process with Federal, State, local, and industry partners.
- Establish regularly scheduled training, drilling and team-building events for Infrastructure Protection incident management personnel, including Infrastructure Protection Incident Management Cell surge teams, to facilitate rapid activation of Incident Management Cell and transition to incident management activities during no-notice incidents.
- Review Site Security Plans and begin limited inspections of Tier 1-4 facilities, with priority on Tier 1 and Tier 2 facilities as site security plans are completed.
- Coordinate DHS regulatory authorities related to the chemical sector with other DHS and Federal agencies.
- Develop rulemaking to regulate the sale and transfer of Ammonium Nitrate.

- Deploy 10 additional Protective Security Advisors to States currently without a Protective Security Advisor located within its boundaries. Field-deployed Protective Security Advisors will be located in Federal Government offices situated to best facilitate information exchange with State homeland security officials currently without a Protective Security Advisor. This will enable stronger relationships between DHS and the State and local governments, and critical infrastructure and key resource owners and operators.
- Train 70 percent of Protective Security Advisors to perform Infrastructure Liaison duties in a Federal Joint Field Office in support of the PFO and emergency support functions lead agencies with critical infrastructure and key resource analysis during incidents.
- Enhance bombing prevention (TRIPwire) capability to include additional partner content-providing organizations, and expand TRIPwire user base to 7,500 registered users, to include select private sector security and international partners through TRIPwire Community Gateway. Provide TRIPwire Community Gateway to 18 sectors and the TRIPwire Field Tool to better support the user community with increased utility and portability.
- Conduct capability assessments for over 150 of the Nation's public safety bomb squads, explosives detection canine units, specialized weapons and tactics teams, and dive teams using National Capabilities Analysis Database and develop a systematic methodology for coordinating closing identified gaps with interagency partners.
- Develop a list of priority cities for canine detection capabilities assessments; standardize curriculum package for canine explosive detection training; complete capability assessments of canine explosive detection in over 10% of selected high risk urban areas; and complete a national strategy for explosive detection canines. Additionally, the Bombing Prevention Project will continue support in the development of consensus-based best practices through the Scientific Working Group on Dog and Orthogonal Detector Guidelines and co-lead the Homeland Security Presidential Directive-19 effort to produce National canine certification and training standards.
- Sponsor and deliver 28 one-day improvised explosive device Awareness Workshop training courses, 70 three-day Surveillance Detection Courses, and 30 four-day Soft Target Awareness Courses for State and local law enforcement and private sector security partners; conduct six National Bombing Prevention and Awareness Campaign events in major metropolitan areas. Assess campaign progress and effectiveness.
- Develop 10 Multi-jurisdictional Improvised Explosive Device Security Plans in support of FEMA's Regional Catastrophic Preparedness Grant Program and the Regional Resiliency Assessment Program.
- Establish Critical Manufacturing Sector Government Coordinating Council and complete Sector-Specific Plan to enable effective sector coordination, information sharing, and implementation of comprehensive public-private sector security programs.
- Complete Draft Physical Security Criteria for Federal Facilities for Interagency Security Committee to enhance security at all non-military Federal facilities.
- Complete testing and development of the Voluntary Chemical Risk Assessment Tool, allowing chemical owners/operators to efficiently and accurately carry out an all-hazards risk assessment of their facilities.
- Conduct the 2009 Dams Sector Exercise Series: Columbia River Basin to develop an Integrated Regional Strategy to improve disaster resilience and preparedness for the Tri-Cities area of Washington State.

- Complete Nuclear and Chemical Sector Vulnerability Baseline Program and begin expansion to other sectors. This process develops a prioritized Baseline portfolio of the sector-wide risk landscape to guide decision making and measure the success of risk mitigation efforts.
- Develop a single voluntary Web-based Security Awareness Training tool that can be used by critical infrastructure and key resources employees in the Commercial Facilities, Critical Manufacturing, Dams, Emergency Services, and Nuclear Sectors to increase security awareness nationwide.

FY 2010 Mitigation Programs Planned Accomplishments

- Integrate critical infrastructure and key resources private sector incident management processes and information flow beyond Infrastructure Protection, including the National Operations Center, NPPD, FEMA, and the Sector-Specific Agencies, to fully realize benefits of critical infrastructure and key resources incident-specific information sharing in protection and restoration of critical infrastructure and key resources during incidents.
- Establish unscheduled drilling and exercise events for National Infrastructure Coordinating Center Incident Management Cell surge teams to facilitate rapid activation of Incident Management Cell during no-notice incidents.
- Expand the quality and quantity of collaborative incident management relationships with key critical infrastructure and key resources partners including the Sector Specific Agencies, private sector, and State/Local/Regional Fusion Centers.
- Evaluate Infrastructure Protection Readiness related training and exercise programs to ensure that programs and resources are adequate to produce qualified and sufficient Incident Response staff and surge teams.
- Complete all CONPLANs and Tactical Plans for 15 National Scenarios.
- Plan and pilot initial efforts for implementing annual review, assessment, and inspection cycle with Tier 1 facilities, biannual efforts with Tier 2 facilities, and initial efforts with Tier 3 and 4 facilities.
- Plan a phased approach to address Ammonium Nitrate (Section 563 requirements) reporting requirements by adjustment of the Chemical Security Assessment Tool as necessary (develop portal for Ammonium Nitrate registrations).
- Implement the Enhanced Critical Infrastructure Protection assessment methodology/ Infrastructure Survey Tool across all sectors. This methodology will be implemented across all sectors enabling a complete comparison of all asset vulnerabilities and will enable the ability to fully identify the most vulnerable sectors and security areas of concern across all 18 critical infrastructure and key resources sectors.
- Complete Critical Manufacturing, Commercial Facilities, and Dams Sector Vulnerability Baseline Program to establish a formalized rigorous information collection and analysis process for analyzing consequence and vulnerability information to identify systemic, sector-wide security issues and priorities. This process analyzes the overarching sector landscape to develop a prioritized baseline portfolio to guide decision making, programmatic resource allocation, and to measure success.
- Implement capabilities-based risk and prioritization program in Emergency Services Sector as a proof of concept that can be expanded to identify key Sector capability gaps and to guide prevention, protection, response and recovery programs to close gaps.
- Complete a full review and revision of all six Sector-Specific Agencies Management Project Sector-Specific Plans according to changing risk environment and new priorities. The review will be undertaken in close coordination with sector partners.

- Implement the National Dams Security Performance Program to assess and track status, trends, and gaps regarding sector-wide implementation of security and protection programs.
- Develop protective measures guide for owners/operators in Media, Public Assembly, Real Estate and Resorts sub-sectors of Commercial Facilities Sector. Guides will assist in planning and managing security at sub-sector, and will be based on successful Sports League Guide.
- Access partner provided content based upon expanded bombing prevention (TRIPwire) user base, including select private sector security and international partners through TRIPwire Community Gateway. Prototype the TRIPwire Field Tool to better support user community with increased utility and portability.
- Validate efforts of previous findings and complete assessments for 25% of the explosives detection canine units in UASI Tier I cities.
- Develop 12 Multi-jurisdictional Improvised Explosive Device Security Plans in support of FEMA's Regional Catastrophic Preparedness Grant Program and the Regional Resiliency Assessment Program.

Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Program Performance Justification
(Dollars in thousands)

PPA: NATIONAL CYBER SECURITY DIVISION

	Perm Pos	FTE	Amount
FY 2008 Actuals	83	32	\$ 153,542
FY 2009 Enacted	128	105	\$ 313,500
2010 Adjustments-to-Base	100	65	\$ 4,536
2010 Current Services	228	170	\$ 318,036
2010 Program Change	32	16	\$ 82,618
FY 2010 Request	260	186	\$ 400,654
Total Change 2009-2010	132	81	\$ 87,154

NPPD requests \$400,654,000 for the National Cyber Security Division, including 260 positions and 186 FTE. This represents a net increase of \$87,154,000 over the FY 2009 enacted budget of \$313,500,000. These funds support NPPD's role in the Comprehensive National Cybersecurity Initiative and the other cybersecurity activities of National Cyber Security Division's branches: United States Computer Emergency Readiness Team Operations; Federal Network Security; Network Security Deployment; Global Cyber Security Management; Critical Infrastructure Cyber Protections and Awareness; and Plans, Programs, Policies, and Administration.

The FY 2010 request includes adjustments-to-base for annualization of \$3,105,000 for 23 positions received in FY 2009; pay inflation of \$373,000; 100 additional Federal positions offset by \$5,956,000 in program/contract dollars; and an increase of \$1,058,000 for facilities and rent transferred from the NPPD Management and Administration appropriation. Program changes include an increase of \$13,000,000 for Cybersecurity Coordination; a increase of \$16,128,000 for US-CERT Operations; an increase of \$4,700,000 for Federal Network Security; an increase of \$800,000 for Global Cybersecurity Management; an increase of \$15,000,000 for Critical Infrastructure Cyber Protection and Awareness; a decrease of \$4,000,000 for a cyber system protection and analysis program at Idaho National Laboratory; and a \$3,500,000 decrease for the University of Texas at San Antonio Community Cyber Security Maturity Model. The FY 2010 request includes a \$40,490,000 increase for Network Security Deployment, including a \$10,000,000 increase for data center consolidation which will be used to continue ongoing system and application migration to the two existing DHS Enterprise Data Centers. The Data Center consolidation efforts will standardize IT resource acquisitions across components, streamline maintenance and support contracts, resulting in an enhanced DHS IT security posture, improved information sharing with stakeholders, and increased operational efficiencies over time.

CURRENT SERVICES PROGRAM DESCRIPTION

National Cyber Security Division	FY 2009 Enacted	FY 2010 Request
Personnel Costs	\$ 14,623.00	\$ 26,222.28
Program Costs	\$ 298,877.00	\$ 374,432.00
Total Costs	\$ 313,500	\$ 400,654

America's information technology infrastructures, including the Internet, telecommunication networks, and computer systems are increasingly being targeted for exploitation and disruption. Because America's critical cyber infrastructures are under constant attack, the National Cyber Security Division was created to enhance federal cyber readiness; analyze cyber threats and vulnerabilities; disseminate threat warning information; and coordinate incident response activities. The National Cyber Security Division mission operates under authorities derived from the Homeland Security Act of 2002, the Federal Information Security Management Act of 2002, the 2003 White House - *National Strategy to Secure Cyberspace*, and Homeland Security Presidential Directive-7, *Critical Infrastructure Identification, Prioritization and Protection*.

Subsequently, the National Security Presidential Directive-54/Homeland Security Presidential Directive-23 formalized a series of efforts known collectively as the Comprehensive National Cybersecurity Initiative. National Cyber Security Division is the Federal Executive Agent in carrying out many of the Comprehensive National Cybersecurity Initiative mandates. The Comprehensive National Cybersecurity Initiative is a multi-year plan that builds on previous efforts to individually secure federal cyber networks; guides inter-Departmental roles and responsibilities; lays out a phased 12 initiative strategy to mitigate risk; and fosters partnerships between public and private sector domains. DHS' approach to implementing the Comprehensive National Cybersecurity Initiative is leading to a fundamental shift in the way public and private industry cybersecurity is viewed.

To respond to National Security Presidential Directive-54/Homeland Security Presidential Directive-23 mandates, DHS vetted, and consequently established, the National Cybersecurity Protection Program and National Cybersecurity Protection System. The National Cybersecurity Protection Program encompasses the people, activities, processes, and technologies necessary to enable DHS to execute its critical cyber mission of defending, protecting, and reducing the vulnerability of Federal networks, and is comprehensively executed through National Cyber Security Division's six branches. The National Cybersecurity Protection System is the hardware, software, and other components being procured to support the implementation of the Comprehensive National Cybersecurity Initiative established under the National Security Presidential Directive-54/Homeland Security Presidential Directive-23.

The National Cyber Security Division mission is to work collaboratively with public, private and international entities to protect and secure the Nation's cyber assets. This broad mission gives the National Cyber Security Division a pivotal role in providing cyber analysis, intrusion detection and warning, intrusion prevention, information sharing, vulnerability reduction, and incident response. The National Cyber Security Division works in coordination with public and private sectors to promote the security, resilience, and reliability of the Nation's cyber infrastructure. Moreover, the National Cyber Security Division coordinates public and private sector cyber preparedness activities and aids in the preparation for, response to and recovery from catastrophic incidents that would degrade or overwhelm our national cyber systems.

The National Cyber Security Division develops capabilities to prepare for and respond to catastrophic incidents that could degrade or overwhelm network and cyber critical infrastructure and key resources assets that comprise the Nation's information technology infrastructures. Comprehensive National Cybersecurity Initiative funds enable the National Cyber Security Division to reduce vulnerabilities and mitigate threats, thus ensuring that cyber intrusions and disruptions are infrequent and cause minimal damage to public and private sector networks.

To date, the National Cyber Security Division has leveraged its current investments in people and technology to provide baseline capabilities to secure the federal domain and support key initiatives in the following mission areas:

- Alert, Warning, and Analysis activities use a standardized, repeatable, and reliable methodology to assess the severity of cyber activity reported through a myriad of sources to assess the threat to the Nation's cyber infrastructures in order to publish alerts and warnings on vulnerabilities, incidents, and exploits through established programs and mechanisms.
- Coordination and Collaboration activities receive information on cyber activity affecting the Nation's cyber infrastructure and coordinate with Federal Departments and Agencies, private industry, and other key stakeholders to develop situational awareness. Under this current structure, in order to complete this mission, a reliance on coordination and collaboration with a number of communities of interest is critically important.
- Response and Assistance activities provide advice to federal civilian government communities of interest during malicious cyber activity. This includes releasing products that contain mitigation strategies or assisting other departments in incident response, and analysis of malware and digital media.
- Protect and Detect activities develop and deploy "Einstein 1.0" provides basic technologies to detect cyber activity within the .gov domain and assist with the protection of the federal departments' external Internet connection points.

As the Nation's cyber risks increase in scope and severity, it is critical that investments are commensurately expanded in the National Cyber Security Division. Funding enables the National Cyber Security Division to support current baseline operations in areas such as technology, process, and people, allowing the National Cyber Security Division to expand mission area efforts across the Federal Government.

The National Cyber Security Division programs ensure that the statutory and derivative responsibilities underlying the Comprehensive National Cybersecurity Initiative for protecting the Nation's cyber infrastructure are effectively executed. Planned activities will facilitate DHS' ability to close capability gaps in mission-critical areas and enhance the National Cyber Security Division's ability to support cybersecurity statutory mandates.

The National Cyber Security Division requests a change in its FY 2010 budget structure to better align appropriated resources in its current services programs and activities. The old budget structure was comprised of: US-CERT, Strategic Initiatives, Outreach and Awareness, and Planning and Programs. Under this realignment, the National Cyber Security Division will request funding based on its organizational structure. The National Cyber Security Division consists of six branches: United States Computer Emergency Readiness Team Operations, Federal Network Security, Network Security Deployment, Global Cyber Security Management, Critical Infrastructure Cyber Protection and Awareness, and Plans, Programs, Policies and Administration. The updated structure allows the

National Cyber Security Division to fulfill its expanded mission requirements in a transparent and efficient manner. The project/activity budgets are restated in the new structure in FY 2009 for comparison purposes to the FY 2010 request.

FY 2009-2010 Budget Crosswalk

FY2009 Enacted & FY2010 Total Request Crosswalk		FY09 ENACTED (Revised)			FY10 REQUEST		
FY08 & FY09 Congressional Budget Structure	New PPA	FTE	FTP	Request	FTE	FTP	Request
US-CERT		71	93	\$ 254,229	144	207	\$ 333,629
	Cyber Security Coordination						13,000
	US-CERT Operations	35	47	66,015	71	98	83,892
	Federal Network Security	6	6	11,948	11	17	16,670
	Network Security Deployment	10	15	154,467	22	32	195,668
	Global Cyber Security Management	6	11	10,139	12	14	11,634
	Critical Infrastructure Cyber Protection Awareness Plans, Programs, Policies, & Administration	14	14	11,660	28	46	12,766
Strategic Initiatives		21	22	\$ 49,973	28	37	\$ 57,679
	Cyber Security Coordination						
	US-CERT Operations						
	Federal Network Security	3	3	3,011	3	3	3,022
	Network Security Deployment						
	Global Cyber Security Management	5	5	5,890	6	8	5,908
	Critical Infrastructure Cyber Protection Awareness Plans, Programs, Policies, & Administration	13	14	41,071	19	26	48,749
Outreach & Awareness		4	4	\$ 4,996	5	7	\$ 5,012
	Cyber Security Coordination						
	US-CERT Operations						
	Federal Network Security						
	Network Security Deployment						
	Global Cyber Security Management						
	Critical Infrastructure Cyber Protection Awareness Plans, Programs, Policies, & Administration	4	4	4,996	5	7	5,012
Planning & Programs		9	9	\$ 4,303	9	9	\$ 4,334
	Cyber Security Coordination						
	US-CERT Operations						
	Federal Network Security						
	Network Security Deployment						
	Global Cyber Security Management			2,250			2,250
	Critical Infrastructure Cyber Protection Awareness Plans, Programs, Policies, & Administration	9	9	2,053	9	9	2,084
Total Requested Budget		105	128	\$ 313,500	186	260	\$ 400,654
FY 2010 Congressional Budget Structure (New PPA)							
	Cyber Security Coordination			\$ -			\$ 13,000
	US-CERT Operations	35	47	\$ 66,015	71	98	\$ 83,892
	Federal Network Security	9	9	\$ 14,959	14	20	\$ 19,691
	Network Security Deployment	10	15	\$ 154,467	22	32	\$ 195,668
	Global Cyber Security Management	11	16	\$ 18,279	18	22	\$ 19,792
	Critical Infrastructure Cyber Protection Awareness Plans, Programs, Policies, & Administration	17	18	\$ 46,067	24	33	\$ 53,761
		23	23	\$ 13,713	37	55	\$ 14,850
Total Requested Budget		105	128	\$ 313,500	186	260	\$ 400,654

United States Computer Emergency Readiness Team Operations Branch

\$ thousands	Activity	FY 2009			FY 2010			Change		
		FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
	Salaries & Benefits	35	47	\$5,057	71	98	\$10,019	36	51	\$4,962
	Current Operations			\$33,378			\$39,763			\$6,385
	Future Operations			\$4,107			\$5,199			\$1,092
	Mission Support			\$23,473			\$28,911			\$5,438
	Program Costs			\$60,958			\$73,873			\$12,915
	Total	35	47	\$66,015	71	98	\$83,892	36	51	\$17,877

The United States Computer Emergency Readiness Team leads a public-private partnership to protect and defend the Nation's cyber infrastructure. The United States Computer Emergency Readiness Team coordinates and facilitates information sharing with federal civilian agencies, defense and intelligence

agencies, state and local governments, private sector partners, infrastructure owners and operators, international allies, and the public to collect and disseminate cybersecurity threat and attack information.

To fulfill its mission, the United States Computer Emergency Readiness Team disseminates threat, vulnerability, risk, analysis, and mitigation strategies, and works with partner organizations to continually update information assurance policies and technologies to defend the Federal computer network space. Through monitoring, communications, and coordination activities, the United States Computer Emergency Readiness Team provides timely and accurate cyber threat mitigation guidance and serves as the focal point for collaborative cyber awareness, mitigation, and reduction for threats and vulnerabilities.

The United States Computer Emergency Readiness Team is striving to fulfill the Comprehensive National Cybersecurity Initiative mission under the National Security Presidential Directive-54/Homeland Security Presidential Directive-23, with a particular focus on partnering in the Federal community. Challenges continue to evolve as threats and vulnerabilities grow in complexity. Investments in new technology deployments demand new thinking on how to leverage all resources in the following areas:

- Refining and enhancing delivery of core cyber products and services.
- Improving the existing interagency process to generate a new, more expansive customer services community and collaborative environment across the .gov community.
- Fulfilling human capital requirements across all United States Computer Emergency Readiness Team programmatic pillars, with emphasis on trained analysts and managers.
- Increasing organizational capital through development of advanced standard operating procedures and concepts of operations.
- Developing precise, actionable metric programs to measure and enhance the United States Computer Emergency Readiness Team's performance and accountability.
- Supporting the United States Computer Emergency Readiness Team programmatic goals through targeted external communication and public relations efforts to stakeholders across the Federal government, State and local governments, and the private sector.

The United States Computer Emergency Readiness Team's strategic goals fall under the following six programmatic pillars.

- Governance/Synchronization: Deliver ability to set priorities, allocate resources, and ensure successful completion of milestones.
- Detection: Actions taken to identify threat activity.
- Threat: Connect the community to cyber risk activity that customers would not any otherwise have the means/ability to gain/obtain and maintain on their own.
- Vulnerability: Connect the community with the authoritative vulnerability and malware repository and prioritize risk activity.
- Mitigation: Analyzing threat activity and devising timely and accurate ways of providing solutions to contain and resolve risks.
- Reflection: Mature capability to execute information assurance mission.

It is through these pillars that the United States Computer Emergency Readiness Team will provide its public and private sector customers with value, new products, services, and improved security, while adapting to an ever-changing threat environment.

To assist the Nation in protecting its infrastructure and information against the evolving threats and cyber attacks, the United States Computer Emergency Readiness Team has expanded its 24-hour early watch and warning center operations to help government and industry analyze and respond to cyber threats and vulnerabilities. The Department is investing in additional personnel, processes, and systems to support the expansion of the United States Computer Emergency Readiness Team Watch Center.

To expand its capabilities, the United States Computer Emergency Readiness Team will leverage technology from the concurrent deployment of Block 2 sensors across the Federal government, which will enable the United States Computer Emergency Readiness Team to identify malicious traffic with a combination of flow- and signature-based detection. The United States Computer Emergency Readiness Team will then be able to analyze patterns of malicious code, mitigate cyber threats, and stop or reduce intrusion events.

To provide near real-time response, the United States Computer Emergency Readiness Team will use traffic flow analysis, intrusion detection tools, partner organization vulnerability data, intelligence information, commercial vulnerability data feeds, and open source mechanisms. The United States Computer Emergency Readiness Team will analyze network traffic to identify emerging threats and detect and respond to cyber attacks in near real time as possible. The United States Computer Emergency Readiness Team bulletins will serve to notify public and private stakeholders of cyber incidents so that the stakeholder community can then find the infected machine and mitigate the intrusion.

To successfully complete its mission, the United States Computer Emergency Readiness Team must rely on coordination and collaboration with a number of communities of interest. The United States Computer Emergency Readiness Team coordinates and facilitates information sharing with federal agencies, defense and intelligence agencies, state and local governments, private sector partners, infrastructure owners and operators, international allies, and the public to collect and disseminate cybersecurity threat and attack information, including timely and accurate mitigation guidance.

To respond to cyber attacks, the United States Computer Emergency Readiness Team must provide timely technical assistance to its communities of interest in a wide range of cyber activities from routine to catastrophic. Timely and precise cyber analysis allows for rapid escalation methodologies to effectively allocate resources for response. As a result, the United States Computer Emergency Readiness Team employs sets of tools to effectively identify, analyze, prioritize and communicate emerging vulnerabilities and threats. These tools allow the United States Computer Emergency Readiness Team to relay cybersecurity alerts and warnings to its communities of interest.

To support partners and stakeholders, the United States Computer Emergency Readiness Team is doubling efforts to improve its customer service relationships with departments and agencies. It envisions this new environment as a seamless protected community, in which departments and agencies are responsible for protecting their cyber infrastructures. In addition to trained analysts, the United States Computer Emergency Readiness Team's new Joint Agency Cyber Knowledge Exchange shifts the focus internally by ensuring that Departments and Agencies have the appropriate technical information to detect and defend their networks from threat. Through weekly meetings and ongoing information exchanges, the United States Computer Emergency Readiness Team provides information on detection and mitigation risk strategies to protect the United States Government systems. Such initiatives allow the United States Computer Emergency Readiness Team Operations to protect the community as a whole and assist Departments and Agencies in protecting their own systems.

National Computer Forensics Institute is an advanced, modern training facility operated by the U.S. Secret Service for electronic crime investigators in Hoover, Alabama. The training is modeled on the current U.S. Secret Service Electronic Crimes Special Agent Program curriculum, and provides training in three major areas of electronic crimes: Level I Basic Electronic Crimes Investigation Program; Level II Network Intrusion Investigation; and Level III Computer Forensics. National Cyber Security Division will provide \$4 million to support the National Computer Forensics Institute in FY 2010.

FY 2008 United States Computer Emergency Readiness Team Operations Accomplishments:

- Developed plans to fully establish a national cyber analysis and warning capability, emphasizing expansion of human capital to ensure that alerts, warnings, bulletins, and other publications remain targeted, actionable, and timely.
- Built initial capability to detect, analyze, and respond to multiple, simultaneous national-level cyber events.
- Provided a standardized platform for incident reporting across the Federal civilian government, which utilizes the United States Computer Emergency Readiness Team's new incident tracking mechanism, resulting in an enhanced and streamlined capability to produce immediate actionable information, allowing for more detail as additional facts emerge.
- Expanded the National Vulnerability Database and helped establish a national baseline of specific standards to enable automated vulnerability management, measurement, and policy compliance evaluation.
- Provided the ability to detect, respond to, and send notice of cyber incidents using analysis tools.
- Created new and expanded United States Computer Emergency Readiness Team Concept of Operations procedures to define Personal Identifiable Information reporting requirements.
- Developed lessons learned from incidents and cyber exercises, including Cyber Storm II.
- Increased staffing for the 24x7 Security Operations Center to provide capability for in-depth incident tracking, detecting, and mitigating, in able to fulfill around the clock analysis and fusion support.
- Hosted Chief Information Security Officer meetings to facilitate lessons learned, Federal Information Systems Management Act Score Improvement Strategies, and Cyber Protection Strategies.
- Held Government Forum of Incident Response and Security Teams annual conference to educate the various levels of the Government Forum of Incident Response and Security Teams community on incident response activities.
- Identified and incorporated technical and functional requirements from other cyber initiatives.
- Enhanced the frequency and quantity of information being published to the National Cyber Alert System and to the Current Activity Really Simple Syndication feeds and mailing list.
- Redesigned and provided new graphic interface on the United States Computer Emergency Readiness Team website to better visualize cybersecurity trends and allow users to navigate more easily.
- Enhanced the Incident Reporting Form to allow Departments and Agencies to report incidents with greater ease.
- Established new cyber stakeholder relationships in order to publish information through new channels including constituent newsletters, websites, and reports.
- Enhanced the United States Computer Emergency Readiness Team Portal features to offer additional tools for situational awareness.

- Created new information products specific to the intelligence community to be published on the Homeland Security Data Network website and eventually the Joint Worldwide Intelligence Communications System website.
- Annually verified, updated, and confirmed the alert systems and Standard Operating Procedures for the United States Computer Emergency Readiness Team Operations.

FY 2009 United States Computer Emergency Readiness Team Operations Planned Accomplishments:

- Develop a plan to outline a staff mentoring program that will be targeted to maximize staff capabilities.
- Evaluate the United States Computer Emergency Readiness Team Operations' Classification program and develop an Action Plan so that the United States Computer Emergency Readiness Team Operations is better able to share mitigating actions.
- Improve the release of actionable information by establishing a Joint Agency Cyber Knowledge Exchange Program to provide Federal agency Security Operations Centers with information on the cyber threats to their networks as well as mitigation techniques for protection.
- Solicit feedback from stakeholders on a quarterly basis to enhance products and thus better meet the needs of each sector. As part of this endeavor, the United States Computer Emergency Readiness Team Operations will improve the accuracy of its distribution lists for each product.
- Improve relationships with industry to more quickly validate vulnerabilities and develop mitigation strategies to enhance and strengthen its relationships with its industry partners to validate vulnerabilities and develop mitigation strategies in a much shorter time period. As a key component of this effort, the United States Computer Emergency Readiness Team will actively collaborate with the Information Technology Information Sharing and Analysis Center in order to create more actionable products allowing the recipients to take immediate mitigation steps.
- Further develop and enhance the United States Computer Emergency Readiness Team Alert Level process to ensure threat descriptions and risk thresholds are appropriate and that the process for working with stakeholders and releasing cyber notifications is thoroughly socialized and refined with the stakeholders.
- Develop a plan and supporting procedures to enhance "Fly Away" Team capabilities.
- Lead the effort for the Information Technology Security Service Provider implementation to support working level discussions and activities to promote trusted information exchange on cybersecurity events.
- Collaborate with private sector stakeholders from the information technology and communications sectors and co-draft a sector specific Concept of Operations to serve as an appendix to the United States Computer Emergency Readiness Team Operations Concept of Operations.
- Expand the Chief Information Security Officer Forum to fully coordinate with top level leadership at each department and agency and provide situational awareness of pertinent cybersecurity information.
- Design and implement a single, integrated quality assurance training initiative to baseline business processes, formally integrate process requirements, and identify priority processes to refine critical capability gaps.
- Establish operating routines to support senior staff, external expectations, and communications, including strategic plans, roadmaps, and balanced scorecard initiatives.

FY 2010 United States Computer Emergency Readiness Team Operations Planned Accomplishments:

- Support deployment of Block 2 to Cabinet and high-priority departments and agencies across the Federal enterprise in parallel with the reduction of external network connections across the Federal government.
- Support operations and provide resources to monitor, analyze, and mitigate activity detected by Block 2 technology.
- Establish a better understanding of network assets and traffic patterns throughout the Federal Enterprise through the Joint Agency Cyber Knowledge Exchange program and Domain Name System log analysis.
- Better utilize the Government Forum of Incident Response and Security Teams to disseminate information quickly to Federal, State, and local governments.
- Develop a Federal Department and Agency partnership program to assign United States Computer Emergency Readiness Team personnel to work with specific .gov partners, thus creating a more specialized, customer service-focused program.
- Enhance the capability to provide timely warnings and notifications by sharing information on daily and weekly calls with National Security Agency, National Technical Operations Center, Intelligence Community-Incident Response Center, Defense Cyber Crime Center and National Counterintelligence Joint Task Force, and Joint Task Force for Global Network Operations.
- Integrate customer feedback into quality assurance and other process improvement initiatives, and comprehensively overhaul plans, procedures, and Concept of Operation to include feedback from process improvement initiatives and strategic trends in cybersecurity technology and policy.
- Analyze existing Federal Information Security Management Act processes to reflect on information assurance policies and requirements to improve guidance and requirements based on current threats and vulnerabilities. Continue to implement policies and requirements while moving toward Federal Information Security Management Act implementation to accommodate additional cyber defense processes.
- Expand agency advocate program to additional departments and agencies .
- Develop more comprehensive internal metrics to measure progress toward cybersecurity goals and objectives.
- Advance capabilities of the United States Computer Emergency Readiness Team to oversee individual Department/Agency Certification & Accreditation packages to gain an increased view of system security postures.

Federal Network Security Branch

\$ thousands	Activity	FY 2009			FY 2010			Change		
		FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits		9	9	\$1,246	14	20	\$1,933	5	11	\$687
	<i>Federal Information Systems</i>			\$2,600			\$2,600			\$0
	<i>Trusted Internet Connection</i>			\$2,881			\$5,062			\$2,181
	<i>Compliance & Oversight</i>			\$7,232			\$8,875			\$1,643
	<i>Infrastructure Security Management</i>			\$1,000			\$1,221			\$221
	Program Costs			\$13,713			\$17,758			\$4,045
	Total	9	9	\$14,959	14	20	\$19,691	5	11	\$4,732

Federal Network Security utilizes a holistic approach to Federal government network security that enables Federal partners to address cybersecurity challenges in a manner that maximizes value and minimizes risks associated with technology and security investments. It addresses common challenges faced by the Federal enterprise and designs, implements, and maintains solutions that address these challenges.

Federal Network Security provides the Federal enterprise with leadership, direction and day-to-day operations support for improving effectiveness and consistency of information systems security across the Federal enterprise. Its purpose is to analyze current conditions in all Federal government sectors, determine immediate and root causes of information security vulnerabilities and gaps, and to provide leadership and direction for mitigating risk due to determined vulnerabilities and gaps.

Each Federal partner will maintain responsibility for their operations and the security of their internal network. The Federal Network Security mission is to reduce duplication of individual Federal partner efforts, provide enhanced capabilities for small Federal partners, and increases the baseline security of Federal Government networks. It also assists Federal partners with implementation and compliance management of information systems security policies and guidelines to ensure long-term prevention of attacks against the Federal enterprise.

In addition, Federal Network Security activities provide the capability to enable long-term strategic prevention of attacks against Federal government networks by addressing common challenges faced by across the Federal enterprise. Design, implementation, and maintenance of evolving security solutions that address the aggregate needs of the Federal enterprise is leading to substantial improvements in Federal government information system security effectiveness and consistency will occur.

The Federal Network Security branch is organized into four sections: *Federal Information Systems Security, Trusted Internet Connections Initiative, Compliance and Oversight, and Security Management*. Existing efforts and processes are also leveraged within the Information Systems Security Line of Business.

Federal Information Systems Security

Federal Information Systems Security evaluates existing capabilities within the Federal enterprise based upon defined requirements. It establishes mechanisms for Federal partners to deploy standardized tools and services at a reduced cost, paving the way for a collaborative environment that enables sharing of best practices and common security challenges and shortfalls. Based upon defined requirements, Federal Information Security Systems monitors implementation and operation of Shared Service Centers and evaluates existing capabilities within the Federal government. It also supports the Federal Systems Security Governance Board by identifying common information security needs and solutions across the Federal enterprise.

FY 2008 Federal Information Systems Security Accomplishments:

- Finalized certification and accreditation requirements for Statement of Capability and Statement of Work.
- Defined common performance metrics and created standard Memorandum of Understanding and Service Level Agreement templates for Shared Service Centers.
- Achieved cross-agency concurrence of Situational Awareness Incident Response Tier I requirements and established and implemented a SmartBUY Federal government-wide procurement.
- Finalized role-based training requirements for Situational Awareness and Incident Response Tier II in order to identify Shared Service Providers.

FY 2009 Federal Information Systems Security Planned Accomplishments:

- Define, advise, assess, and designate Federal enterprise-wide Shared Service Centers with Federal partners.
- Award a Federal enterprise-wide acquisition in order to provide Situational Awareness and Incident Response Tier I products and services with the General Services Administration to a.
- Define and advise commercial Shared Service Center for Certification and Accreditation services with the General Services Administration to a.
- Define technical requirements for Situational Awareness and Incident Response Tier II products and services Collaborate with Federal partners.

FY 2010 Federal Information Systems Security Planned Accomplishments:

- Identify common solutions for information systems security that will reduce cost through shared services, providing benefits and cost efficiencies by eliminating duplication, increasing expertise through specialization, freeing-up resources for mission specific requirements, and other tailored security requirements.
- Strengthen the Federal government's information systems security through adherence to the management and reporting regulations of the Federal Information Security Management Act which will result in improved effectiveness and consistency in securing Federal government information systems.
- Support key components of the governance structure to improve information security decision making by providing a model for initiating, managing, and maintaining an approach for a range of security needs in a dynamic security environment. Elevate decision-making for common activities of information systems security from local programs to an enterprise level that ensures consistency and strengthens information systems security government-wide.

Trusted Internet Connections Initiative

The Trusted Internet Connections Initiative seeks to optimize network security services into a common solution for the Federal government and facilitate the reduction of external connections, including Internet points of presence. The reduction of external connections will have a number of benefits for the Federal government, particularly when coupled with other security measures, and will allow for the establishment of a central oversight and compliance function.

While the Office of Management and Budget maintains oversight of the overall effort of the Trusted Internet Connections Initiative, implementation relies on the technical expertise of the Federal Network Security branch to synchronize the efforts of all participating Federal partners. Through the Trusted Internet Connections Initiative, Federal Network Security will monitor and oversee Federal partners' transition to becoming a Trusted Internet Connection Access Provider, and consequently manage their baseline information systems security requirements. Additionally, the Trusted Internet Connections Initiative will facilitate the roll out of the National Cybersecurity Protection System intrusion detection system across the Federal enterprise. This will provide improved situational awareness, earlier identification of malicious activity, and a more comprehensive network defense.

FY 2008 Trusted Internet Connections Initiative Accomplishments:

- Conducted Plan of Action and Milestones collection and analysis.
- Developed Trusted Internet Connections Access Points Technical and Information Systems Security Requirements and Trusted Internet Connection Access Provider selection criteria.
- Identified capable Trusted Internet Connection Access Provider candidates.

- Assessed Federal enterprise network reduction and consolidation in order to establish a baseline inventory of existing external connections.

FY 2009 Trusted Internet Connections Initiative Planned Accomplishments:

- Establish a baseline inventory of existing external connections and complete Initial Operating Capability Assessment for Trusted Internet Connection Access Providers.
- Oversee Office of Management and Budget designated Trusted Internet Connection Access Providers implementation of technical requirements.
- Bundle Trusted Internet Connection compliant managed security services through the NETWORX contract vehicle with General Services Administration.
- Monitor Federal partner transition to Trusted Internet Connection compliant, managed security services through the NETWORX contract vehicle.
- Establish a process to annually review and update the Trusted Internet Connection Access Points Technical and Information Systems Security Requirements and Trusted Internet Connection Architecture documentation.

FY 2010 Trusted Internet Connections Initiative Planned Accomplishments:

- Manage continued Federal enterprise reduction and consolidation efforts of external connections, enabling efficient monitoring and alerting on suspicious activity occurring across the Federal enterprise.
- Conduct a combined feasibility study and cost-benefit analysis on the optimization of reducing Trusted Internet Connection access points. Explore at least two options for optimization in order to determine the extent to which consolidation efforts will continue to yield cost-effective optimization of Federal security and the point of diminishing returns on investment.
- Analyze and update the Trusted Internet Connection Access Points Technical and Information Systems Security Requirements and Trusted Internet Connection Architecture to remain aligned with Federal security strategy, address identified solution gaps; provide Federal agencies clear guidance for the migration of existing infrastructure; and implementation of new capabilities in a manner consistent with the overall Federal security strategy.
- Align NETWORX requirements and coordinate with the General Services Administration to adapt the NETWORX contract vehicle to meet applicable Internet Connections/ Trusted Internet Connection Access Points Technical and Information Systems Security Requirements, in order to continue to provide Federal partners a cost effective solution for the implementation of capabilities necessary to comply with the overall Federal security strategy.

Compliance and Oversight

The Compliance and Oversight section oversees activities to ensure that implementation efforts across the Federal enterprise are in compliance with information technology security policy directives and statutes. It provides a Federal enterprise-level perspective to the customer base on information systems security trends and approaches, and can also offer recommendations on process improvements.

Trusted Internet Connection Compliance Validations at Trusted Internet Connection location sites and Security Operations Centers are conducted by the Compliance and Oversight section. The Compliance and Oversight section develops and manages a compliance program capable of monitoring, evaluating, and enforcing ongoing compliance with Federal information technology security directives and initiatives. As part of the process, the Compliance and Oversight section collects and distributes best

practices information relating to lessons learned with the goal of improving Federal partners' compliance rates.

The Compliance and Oversight section also collaborates with Federal partners to create metrics that will verify Trusted Internet Connection Access Providers compliance to the Trusted Internet Connection technical requirements and the Security Operations Centers' Computer Network Defense Security Program. This results in a Trusted Internet Connection Access Providers security program that monitors, evaluates, and enforces ongoing compliance with Trusted Internet Connection technical requirements.

FY 2008 Compliance and Oversight Accomplishments:

- Developed, drafted, and socialized the Compliance and Oversight section strategic work plan.
- Developed process guidelines and Statements of Purpose for the Compliance and Oversight programmatic elements.

FY 2009 Compliance and Oversight Planned Accomplishments:

- Create Trusted Internet Connection compliance assessments teams and establish follow-on contract for assessment team resources.
- Develop assessment metrics to measure long-term compliance of Trusted Internet Connection Access Providers.
- Conduct and evaluate eight Trusted Internet Connection Access Providers using Trusted Internet Connection compliance assessments, utilizing developed metrics and to recommend changes to policy or architecture.

FY 2010 Compliance and Oversight Planned Accomplishments:

- Perform Trusted Internet Connection compliance assessments to ensure agencies have the appropriate operational capabilities in place to meet the Trusted Internet Connection Initiative objectives.
- Map Trusted Internet Connection compliance assessment criteria to other common Federal and industry compliance, audit, and certification criteria to allow parties engaged in the assessment process to leverage existing documentation to satisfy checks and eliminate unnecessary duplication of effort.
- Expand Trusted Internet Connection compliance assessment capabilities to support Comprehensive National Cybersecurity Initiative implementation by identifying and adding required capability checks to the compliance catalog, creating a broader compliance program of which the Trusted Internet Connection compliance assessment are a subset

Security Management

The Security Management section monitors Federal partners' progress by implementing Federal cybersecurity directives and statutes, including Office of Management and Budget and National Institute of Standards and Technology guidelines and special publications. In addition, the Security Management section collaborates with the Committee on National Security Systems to ensure best practices are promulgated when appropriate. By ensuring that Federal partners comply with mandatory cybersecurity practices, the Security Management section provides support for cross-government initiatives as necessary. The Security Management section also acts as a liaison between Federal

partners and critical infrastructure and key resources stakeholders by serving as a conduit for information security best practices and trends.

FY 2008 Security Management Accomplishments:

The Security Management section was not established in FY 2008; as such, it does not have accomplishments for FY 2008.

FY 2009 Security Management Planned Accomplishments:

The Security Management section was not established in FY 2009; as such, it does not have accomplishments for FY 2009.

FY 2010 Security Management Planned Accomplishments:

- Monitor implementation of Federal cybersecurity policies by Federal partners, providing coordination, guidance, and tracking the progress in implementation of information security policies. This will creating an environment of improved information security and awareness pertaining to the protection of federal information and information systems from unauthorized access, use, disclosure, disruption, modification, or destruction.
- Identify five key best practices that can be shared across the Federal enterprise to aid in the interpretation and implementation of regulations in collaboration with the National Institute for Standards and Technology.
- Assess the viability of a government-off-the-shelf Cyber Security Vulnerability Assessment tool to determine if it is feasible to distribute from a Federal enterprise standpoint as a common standardized tool that will minimize/eliminate the need for each Federal partner to develop or procure its own duplicative capability.

Network Security Deployment Branch

\$ thousands	Activity	FY 2009			FY 2010			Change		
		FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits		10	15	\$1,415	22	32	\$3,202	12	17	\$1,787
	<i>System Engineering & Integration</i>			\$19,063			\$18,884			-\$179
	<i>Acquisition Deployment and Logistics</i>			\$76,125			\$99,703			\$23,578
	<i>Operations Support</i>			\$31,302			\$37,436			\$6,134
	<i>Investment Budget and Business Operations</i>			\$26,562			\$26,443			-\$119
	<i>Data Center Migration</i>			\$0			\$10,000			\$10,000
	Program Costs			\$153,052			\$192,466			\$39,414
	Total	10	15	\$154,467	22	32	\$195,668	12	17	\$41,201

The Network Security Deployment branch leads the development and performance of cybersecurity technologies to counter national cyber threats and apply effective risk mitigation strategies to detect and threats in support of the Comprehensive National Cybersecurity Initiative. Collaborating with public and private industry partners, it provides the technological innovation and development that promotes the overall effectiveness of the cybersecurity effort.

Under National Cyber Security Division authorities, the Network Security Deployment branch is responsible for the development, acquisition, deployment, and support required for the Department’s segment of the Comprehensive National Cybersecurity Initiative. It executes this responsibility through the National Cybersecurity Protection System, which is an integrated intrusion detection system that

encompasses the hardware, software, and other components being procured specifically to support the Department's Comprehensive National Cybersecurity Initiative mission.

The National Cybersecurity Protection System is providing intrusion detection and protection capabilities through three discrete increments: Block 1, Block 2, and Block 3. These blocks include the current state, or Block 1, and three follow-on end-to-end system upgrades, including Block 2 through Block 3. Details are as follows:

- Block 1 was deployed at thirty-one sites between 2003 and 2008 and reflects the "as is," or current, state of the National Cybersecurity Protection System. Its capabilities include flow collection at Federal partner site, centralized data storage, visualization, correlation, knowledgebase, flow analysis tools, and contextual data feeds.
- Block 2 will be deployed in four phases at up to a total of 100 sites¹ from the year 2008 to the year 2012. Block 2 includes capability improvements provided via Block 1.0 system upgrades. Block 2 includes three parts: Blocks 2.0, 2.1, and 2.2 that will provide updated visualization and correlation tools and other updated capabilities based on Federal partner-gathered data sets.
 - Block 2.0 includes flow collection and intrusion detection system at federal partner sites, centralized data storage, visualization, correlation, knowledge base/management, flow analysis, intrusion detection system tools, contextual data feeds, and a prototype environment.
 - Block 2.1 includes increased capabilities in event detection and management including data collection, correlation, analysis, and visualization.
 - Block 2.2 includes increased functionality including information sharing environment across multiple agencies. Also includes establishing agreements on the nature of information to be shared via Service Level Agreements/Memoranda of Understanding actions that are needed for collaboration.
 - Block 3 includes classified capability improvements. Its architecture and deployment are completely separate from Blocks 1 and 2. Its capabilities are committed to implementing the Comprehensive National Cybersecurity Initiative. The planned activities under this section can be provided via classified channels.

With enhanced capabilities, Network Security Deployment will be able to implement improvements within the National Cybersecurity Protection System. The end-to-end system upgrades of each block will be deployed in four phases that will add flow collection and intrusion detection system at agency sites, intrusion detection system analysis tools, and a prototype environment. Phase I involves deployment at one Department. Phase II includes plans to deploy systems initially five, and later up to eighty-nine sites. Phase III involves one to five NETWORKX installations, and Phase IV involves all remaining installations.

The National Cybersecurity Protection System helps protect Federal civilian government information technology enterprises through the analysis of network flow information from Federal partners. It provides a high-level perspective from which to observe potential malicious activity in Federal partners' computer network traffic by providing capabilities that support automated processes to collect, correlate, analyze, and share cybersecurity information across Federal government computer networks.

¹ Deployments may change as the NETWORKX environment matures. Federal partners may transition to manage services as opposed to deploying at Federal partner sites.

This will, in turn, provide the United States Computer Emergency Readiness Team and Federal partners with increased situational awareness.

Under National Cyber Security Division leadership, the National Cybersecurity Protection System will:

- Gain expanded near- and real-time situational awareness of current and future threats to the Nation's cyber infrastructure. In particular, it will result in new abilities to identify new threat vectors and other priority areas of concern, including analysis, aggregation, correlation, visualization, and an aggregate intrusion detection system with flow data monitoring.
- Integrate technologies and establish enhanced procedures to expand and automate information sharing on critical cyber incidents for all stakeholders in the Federal civilian government. The enhanced data sharing between Federal partners and National Cyber Security Division provides an advanced cyber view and analysis of the Federal government's critical cyber networks.
- Leverage technology investments in order to accommodate on-site support for multiple Federal government agencies simultaneously. In addition, the enhancements will facilitate precise escalation processes, enable a more effective resource allocation in operational response, prioritize alert monitoring, and create a more rapid standardization incident reporting and alerts.
- Increase its capability to enable the United States Computer Emergency Readiness Team analysts to monitor government agencies' networks, improve network security, increase the resiliency of critical electronically delivered government services, and help enhance the survivability of the internet.

Network Security Deployment, in conjunction with United States Computer Emergency Readiness Team analysts and Federal Network Security compliance assessment teams, will increase operational monitoring and situational awareness of the .gov space, secure network transport of data, centralize data center storage and aggregation, implement a comprehensive and direct metadata research capability, provide enhanced capabilities for micro agencies, and ensure the long-term prevention of attacks against the Federal enterprise by assisting in implementation of information systems security policies and guidelines.

FY 2008 Network Security Deployment Accomplishments:

- Deployed sixty-six Block 1.0 Flow Data Sensors to thirty-one sites in order to provide initial detection capabilities of threats to Federal Department and Agencies.
- Transitioned Block 1.0 to sustainment to ensure capabilities are maintained at the prescribed quality of service needed to ensure detection.
- Developed, tested and deployed flow collection capability.
- Incorporated centralized data storage to support monitoring and analyzing of information which aided in coordinated threat management and response to cyber attacks. The capability for centralized data storage supported information visualization, correlation, and knowledge management across Department and partner sites.
- Completed Block 2.0 deployment to one DHS site in order to validate that the capability/technology is stable enough for enterprise deployment.
- Piloted intrusion detection capability and automated analyst notification.
- Conducted system requirements analysis, trade studies, and proof of concept for the Security Information and Event Management, which provided the National Cybersecurity Protection System with disparate data source event extraction, data normalization, automatic correlation analysis, intelligent event monitoring, and served as an automated enabler to National Cybersecurity Protection System to maintain actionable intelligence.

FY 2009 Network Security Deployment Planned Accomplishments:

- Perform Operations and Maintenance, as required including new security patch management, hardware and software upgrades, and other actions needed to support improved communication.
- Attain Initial Operating Capability at Department level and complete National Cyber Security Protection System Block 2 deployments to five additional Departments/Agencies.
- Provide an initial intrusion detection capability for an expanded set of Departments/Agencies.
- Complete deployments to the awarded NETWORKX Vendors' Trusted Internet Connection locations, which will expand intrusion detection capability to protect future Departments/Agencies that leverage General Services Administration NETWORKX Managed Trusted Internet Protocol Service Trusted Internet Connection services.
- Provide automated near real-time notification of detected intrusion events.
- Stand up a redundant, warm site data center to increase the availability and reliability of the detection and correlation capabilities.
- Establish a Continuity of Operations facility for the United States Computer Emergency Readiness Team Operations to increase the availability and reliability of the analytical services provided to the Federal .gov.
- Baseline the Block 2.0 engineering and programmatic in preparation for entering the Obtain/Deploy/Full Rate Production phase.
- Design, test, and deploy initial Security Information and Event Management and correlation capability.
- Incorporate automated aggregation, data correlation, and visualization of information including sensor data collection, analytics, processing, and action.
- Procure and begin installation of the central Block 2.1 hardware and software at the Services and Operations Center resulting in a decreased analyst workload through automation of data correlation and analysis.
- Aggregate and correlate data feeds from Blocks 1.0 and 2.0 and up to four industry data feeds to provide analysts a more robust capability for targeting threats based on vulnerabilities identified from the National Cybersecurity Protection System inherent sensors and industry data.
- Develop Service Level and Memorandum of Agreements among partners for information sharing and collaboration environment.

FY 2010 Network Security Deployment Planned Accomplishments:

- Reduce potential alerts pool by 70 percent, automatically filtering out false positives, increasing likelihood analysts are examining and mitigating true incidents.
- Increase the ability to aggregate and correlate identified events at deployed locations to 80 percent of events aggregated and correlated daily.
- Perform Operations and Maintenance while phasing out on Block 1.0 equipment as Block 2.0 installations are completed.
- Deploy Block 2.0 data flow collection and intrusion detection system at 16 federal sites.
- Block 2.0 baseline system enhanced to include the following: centralized data storage, visualization, correlation, knowledge base/management, flow analysis and intrusion detection system tools, contextual data feeds, and a prototype environment.
- Block 2.1 baseline system enhanced to increased capabilities in event detection and management including data collection, correlation, analysis, and visualization.
- Block 2.2 baseline system enhanced to include at minimum information sharing environment capability.

- Incorporate interoperable information sharing environment across multiple departments/agencies and data centers to support Continuity of Operations.

Global Cyber Security Management Branch

\$ thousands	Activity	FY 2009			FY 2010			Change		
		FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits		11	16	\$1,503	18	22	\$2,573	7	6	\$1,070
	<i>Software Assurance</i>			\$1,868			\$1,809			-\$59
	<i>Standards, Best Practices, and R&D Coordination</i>			\$4,257			\$4,138			-\$119
	<i>Training & Education</i>			\$6,069			\$6,809			\$740
	<i>Supply Chain Risk Management</i>			\$4,582			\$4,463			-\$119
	Program Costs			\$16,776			\$17,219			\$443
Total		11	16	\$18,279	18	22	\$19,792	7	6	\$1,513

Global Cyber Security Management promotes cybersecurity by developing and promulgating sound practices for software developers, information technology security professionals, and other critical infrastructure and key resources stakeholders.

Global Cyber Security Management is organized into four components: Software Assurance, Standards, Best Practices, and Research and Development Coordination, Cyber Education, and Supply Chain Risk Management.

Software Assurance

Global Cyber Security Management seeks to improve software development and acquisition processes by way of forums, working groups, and best practices collaborations. The Software Assurance program reduces software vulnerabilities, minimizes exploitation, and addresses means to improve capabilities that routinely develop and deploy trustworthy software products, enabling more resilient assets within the cyber critical infrastructure.

FY 2008 Software Assurance Accomplishments:

- Updated the “Build Security In” web portal consistent with stakeholder needs in software assurance sound practices for development, acquisition, and sustainment.
- Updated the Software Assurance Acquisition Guide to include due-diligence questionnaires, sample statements of work, templates for acquisition language, procurement and outsourcing, criteria for evaluating capabilities of software suppliers, and began development of a course curriculum based on the Software Assurance Acquisition Guide.
- Updated the Software Assurance Common Body of Knowledge with awareness materials and frequently asked questions guide to inform and educate other Federal agencies, private industry, academia, and international entities.
- Collaborated with the National Institute for Standards and Technology to provide final draft of a base-line source code security analysis tool specifications document and a test plan covering capabilities, weaknesses, and false positive rate.

FY 2009 Software Assurance Planned Accomplishments:

- Update the Software Assurance Community Resources and Information Clearinghouse, “Build Security In” web sites, and online resources consistent with stakeholder needs in software assurance sound practices for development, acquisition, and sustainment.

- Conduct semi-annual Software Assurance forums for other Federal agencies, private industry, academia, and international entities to facilitate the ongoing collaboration to identify methods for improving processes and practices throughout the software development lifecycle.
- Host Software Assurance Working Groups to advance focused portfolio efforts.
- Collaborate with the National Institute for Standards and Technology to further develop final base-line source code security analysis tool specification document and a test plan document, Software Assurance Metrics and Tool Evaluation Reference Dataset test suite, and Web Application Scanner Tool Functional Specifications test suite.
- Collaborate with the National Institute for Standards and Technology to provide Test Case Generator, which will generate thousands of small test programs embodying the weaknesses described in Object Management Group's *Semantics of Business Vocabulary and Business Rules*.

FY 2010 Software Assurance Planned Accomplishments:

- Collaborate with the National Institute of Standards and Technology and tool vendors to create standards and certification mechanisms from which tools can be qualified for software security verification.
- Leverage international standards efforts including those of the Institute of Electrical and Electronics Engineers, Inc., the International Organization for Standardization/International Electrotechnical Commission and in the Software Assurance Program's Working Groups to create deliverables that seek to modify national and international standards that will better address software assurance needs.
- Participate in the Institute of Electrical and Electronics Engineers, Inc. Computer Society and the International Organization for Standardization and International Electrotechnical Commission Joint Technology Council "Software and Systems Engineering" Standards Committees, and contribute to efforts to publish a systems and software assurance standard that could be used to communicate claims about the safety, security, and dependability of software products.
- Conduct semi-annual Software Assurance forums for other Federal agencies, private industry, academia, and international entities to facilitate the ongoing collaboration to identify methods for improving processes and practices throughout the software acquisition and development lifecycles.
- Host Software Assurance Working Groups to advance focused portfolio efforts.
- Facilitate the promulgation, adoption, and enhancement of common indexing and reporting capabilities for malware, exploitable software vulnerabilities, and common attacks which target software by providing standardized schema for naming, indexing, describing, and cataloging. This will support daily update of capabilities which enable the automation, use and evolution of these capabilities within the IT security community.
- Provide criteria for evaluating capabilities of software suppliers, and in collaboration with the Defense Acquisition University complete development of a course curriculum based on the Software Assurance Acquisition Guide that began in FY 2008.
- Provide a repository and on-line resources of Software Assurance material suitable for use in education and training.
- Provide Software Assurance models and outlines to integrate Software Assurance in graduate and undergraduate education along with training through coordination with academia and training and certification organizations in support of Cyber Education and Training.

- Provide Software Assurance outreach through presentations and articles in professional journals, pocket guides, and handouts based on Software Assurance documents for development, acquisition, testing, measurement, and education.

Standards, Best Practices, and Research and Development Coordination

Standards, Best Practices, and Research and Development Coordination promotes sound practices and standards that improve cybersecurity. It sponsors and collaborates with numerous programs, committees, and working groups that seek to improve standardization of information across both public and private industry. Standards, Best Practices, and Research and Development Coordination helps support Federal partners by providing them with cybersecurity research and development requirements to support their missions

Through sponsorship of the Common Vulnerabilities and Exposures and Open Vulnerability and Assessment Language program, Standards, Best Practices, and Research and Development Coordination works to standardize cyber vulnerability nomenclatures. The standardization makes it possible to respond to vulnerabilities more efficiently as information is correlated across vendor products. Standards, Best Practices, and Research and Development Coordination also sponsors the National Institute of Standards and Technology Security Compliance Automation Protocol program, which allows stakeholders to use commercial-off-the-shelf tools to check and map the security status and controls of their systems.

Standards, Best Practices, and Research and Development Coordination collaborates with the National Institute of Standards and Technology on the National Vulnerabilities Database program. The National Vulnerabilities Database program is built on the outputs of the Common Vulnerabilities and Exposures program. It provides stakeholders a comprehensive resource of publicly available United States Government vulnerability resources including industry-specific information. It also collaborates with the Department's Science and Technology Directorate to coordinate cybersecurity research and development priorities conducted through the Department's various programs. Through this collaboration, Standards, Best Practices, and Research and Development Coordination is able to participate in research and development program topic selections, proposal evaluations, vendor selection, and research and development program technical reviews.

FY 2008 Standards, Best Practices, and Research and Development Coordination Accomplishments:

- Promoted common naming conventions for vulnerabilities through sponsorship of the Common Vulnerabilities and Exposures program and Open Vulnerability and Assessment Language to improve standardization of information across security advisories, tools, databases, and services.
- In collaboration with the National Institute of Standardization and Technology, maintained the National Vulnerability Database and the Security Content Automation Protocol, which improves access to standardized vulnerability information and to allow organizations to use commercial-off-the-tools to automatically check their security and map to technical compliance requirements.
- Identified requirements in direct support of the Department's research and development goals and objectives.
- Provided technical expertise to cybersecurity standards committees and to the Institute for Information Infrastructure Protection Consortium Grant Program, in order to promote research and development cyber-related topics of interest to the Department.

- Facilitated updates to the Information Technology Sector Specific Plan, particularly the research and development section.

FY 2009 Standards, Best Practices, and Research and Development Coordination Planned

Accomplishments:

- Share common naming conventions for vulnerabilities through further sponsorship of the Common Vulnerabilities and Exposures program and Open Vulnerability and Assessment Language to improve standardization of information across security advisories, tools, databases, and services.
- Participate in and provide technical expertise to various cybersecurity standards committees including the Department's Standards Committee, the Committee on National Security Systems, the International Organization of Standardization security standards committees, and other associated national research and development standards committees.
- In collaboration with Federal partners, private industries, and international stakeholders, conduct workshops and conferences on innovative cybersecurity standards and requirements topics, as well as best practices.

FY 2010 Standards, Best Practices, and Research and Development Coordination Planned

Accomplishments:

- Develop technologies for the automated analysis of software and systems for exploitable vulnerabilities and malicious code.
- Develop metrics that will be used for economically-informed, risk-based cyber security decision making.
- Develop configuration settings, guidance and tools to reduce exposure to vulnerabilities.
- Participate in appropriate standards committees to ensure the development and promotion of cyber security standards.
- Conduct approximately five cyber security standards workshops that focus on emerging technologies, public forums, and current events occurring throughout the public and private sector.
- Develop automated reconfiguration tools that may be used to recover from attacks.
- Develop standards and policies for the creation, use, and maintenance of identities and privileged information.

Cyber Education

Cyber Education proactively addresses cybersecurity workforce and professional development issues. Through strategic workforce development programs, it facilitates the development of trained professionals to support the Nation's cybersecurity needs, thus preparing the information technology workforce to meet current and future cybersecurity challenges. Cyber Education focuses resources on improving cybersecurity education, increasing the efficiency of existing cybersecurity training programs, and promoting cybersecurity workforce development.

Cyber Education co-sponsors numerous cybersecurity and information assurance education programs, including collaboration with the National Security Agency and the National Science Foundation to sponsor the National Centers of Academic Excellence in Information Assurance Education program and the Federal Cyber Service: Scholarship for Service program, respectively.

Cyber Education also collaborates with stakeholders to promote innovative training programs and best practices to facilitate the availability of qualified professionals in the pipeline for the future Federal cybersecurity workforce.

In accordance with the Comprehensive National Cybersecurity Initiative, the Expand Cyber Education Initiative addressed the need to build a skilled cyber workforce for today's and tomorrow's Federal Government. The Expand Cyber Education Initiative establishes the framework for shaping and delivering a cyber-capable workforce, with a focus on those requiring the specialized skills needed to protect, deter, and respond to threats to United States Government networks. In turn, these priority initiatives will be informed by, and will inform, partnerships with advisory bodies, public, private, academic and other-government circles. These partnerships will form the foundations needed to prepare a skilled workforce for effective performance of cyber missions and promote a continuing pipeline of skilled individuals for future Federal Government employment. After in-depth reviews of cyber-related reports and studies, a high-level survey of current Federal government cyber education opportunities, and interviews with government and non-government actors, the Expand Cyber Education Senior Steering Committee identified three compelling drivers for change without which the proposed strategy will not work.

The drivers for change have been identified as the following:

- Federal Cyber Workforce Development must keep pace with the speed of technological change;
- The Federal government needs a systematic approach for determining the ability of United States personnel to secure and operate safely in cyberspace; and
- A larger pipeline from which to hire cyber workers is required to meet the needs of the Federal government.

FY 2008 Cyber Education Accomplishments:

- Collaborated with the National Science Foundation, the National Security Agency, colleges, and universities to strengthen and expand academic programs aimed at improving information assurance in higher education institutions through the National Centers of Academic Excellence in Information Assurance Education and Centers of Academic Excellence-Research programs.
- Sponsored the National Centers of Academic Excellence representatives' annual meeting and participated in the annual review process to accredit institutions under both the National Centers of Academic Excellence and Centers of Academic Excellence-Research programs.
- Co-sponsored the annual National Collegiate Cyber Defense Competition and encouraged participation of the National Centers of Academic Excellence-accredited programs.
- Co-sponsored with the National Science Foundation, the Office of Personnel Management, and the Federal Chief Information Officer Council, the annual Scholarship for Service Symposium and Job Fair to increase placement of program graduates in Federal positions and internships.
- Conducted agency briefings on the Federal Cyber Service: Scholarship for Service program in order to increase awareness of the program throughout the Federal government to facilitate improved student placement rates.
- Through workshops and professional conferences, implemented mass marketing and messaging campaign, promoted cross-industry acceptance and adoption of the Information Technology Security Essential Body of Knowledge, and refined its content to increase alignment with other Information Technology security industry initiatives.
- Led efforts to develop a state government information security workforce development model based on the Essential Body of Knowledge in collaboration with Chief Information Officers from six states.

- Supported a working group of digital forensic subject-matter experts, Federal Agents and members of academia to move forward in application to the Forensic Science Education Programs Accreditation Commission for accreditation of Bachelor's and Master's degree accreditation.
- Developed a draft program management plan to strengthen and expand cyber Federal-wide education and training programs including baseline results, desired end state and requirements from other Comprehensive National Cybersecurity Initiative initiatives.
- Performed a high-level baseline of current cyber educational capabilities of civilian and military agencies.
- Developed a draft report identifying a strategy and recommendations to prioritize and redirect current educational efforts to build a skilled cyber workforce.
- Drafted a report on findings to improve the Federal Cyber Service: Scholarship for Service and the Information Assurance Scholarship Program.

FY 2009 Cyber Education Planned Accomplishments:

- Continued sponsorship of the National Centers of Academic Excellence in Information Assurance Education program including annual program reviews, annual meeting, the Federal Cyber Service: Scholarship for Service program and annual Job Fair, the Colloquium for Information Systems Security Educators, and the National Collegiate Cyber Defense Competition.
- Further collaborate with the National Science Foundation, the National Security Agency, colleges, and universities to strengthen and expand training and academic programs aimed at improving cybersecurity in higher education institutions, including the development of a framework to recognized community colleges in conjunction with the National Centers of Academic Excellence in Information Assurance Education program.
- Coordinate and vet Information Technology Security Essential Body of Knowledge through sector training and certification vendors and academia to begin collaborative development of information security educational and training standards with all external stakeholders.
- Complete development of a State and local government model for information technology security workforce development based on the Information Technology Security Essential Body of Knowledge framework in order to enhance development of information security core competences in State and local government entities.
- Expanded cyber curriculum and increased student capacity in Department of Defense specialized skills training for National Security Agency and Department of Defense Service Cryptologic Elements:
 - Initiated transition of specialized CNO training from an operations organization to the national Cryptologic School;
 - The Naval Air Station Pensacola/Corry Station began a pilot of an expanded 24-week program in Computer Network Exploitation and Computer Network Defense, intended to replace the current 7-week program.
- Expanded partnerships for more effective delivery of cyber skills training:
 - Established relationship with the Network of Transformation Chairs resident at Department of Defense Service Academies and Schools to leverage expertise and integrate cyber training concepts across the Federal cyber education community of interest.
 - Researched the use of next generation training methodologies to accelerate the learning process for cyber skills (gaming technologies and exercises), and connected with several

Federal Virtual Worlds communities to facilitate partnerships with educators in early stages of implementing the use of gaming technologies and capabilities.

- Lead a competency working group to synchronize skills requirements into a core set of cyber skills to build the foundation for specialized skill communities and promote coherency through skills assessment.
- Improve the availability of learning activities in role-based, specialized skills and increase the throughput of students in cyber-related programs.
- Employ the next generation of training methodologies (games, interactive simulations, formal exercises, on-line learning opportunities) to improve the learning process.
- Support career development through research and development experience, in partnership with other Comprehensive National Cybersecurity Initiative working groups.

FY 2010 Cyber Education Planned Accomplishments:

- Sponsor the National Centers of Academic Excellence representatives' annual meeting, the Federal Cyber Service Scholarship for Service symposium/job fair, the Federal Information Systems Security Educators Association Conference, and the National Collegiate Cyber Defense Competition.
- Complete work started in FY 2009 to memorialize and vet an initial draft of State and local government model for Information Technology security workforce development based on the Information Technology Security Essential Body of Knowledge framework throughout State and local partner governments' planning and programming competencies to facilitate adoption and implementation of the Essential Body of Knowledge State/local government model for information security workforce development.
- Furthering analysis and support to the Expand Cyber Education Initiative under the Comprehensive National Cybersecurity Initiative.

Supply Chain Risk Management

Under the Comprehensive National Cybersecurity Initiative, the Supply Chain Risk Management section works collaboratively with the Department of Defense to develop a method to provide the Federal enterprise the ability to manage and mitigate global information and communications technology supply chain risks.

The Supply Chain Risk Management section provides a set of comprehensive resources that can be used to appropriately manage supply chain risk across the lifecycle of networks, systems, and components. In order to achieve this, the Supply Chain Risk Management section brings together disparate policy, thus providing Federal partners with the necessary guidance to improve their protective posture from vulnerabilities arising out of the information and communications technology supply chain.

The Supply Chain Risk Management section conducts its activities through a principal interagency steering committee and three interagency working groups. The Senior Steering Group coordinates the analysis and recommendations of the three working groups into the Comprehensive National Cybersecurity Initiative. The Threat Information Sharing Working Group recommends processes for sharing vendor threat analysis across the Federal enterprise. The Acquisition Policy and Legal Analysis Working Group recommends enhancement strategies for Federal acquisition policy to address supply chain risk. These recommendations are based on legal evaluations of the application of intelligence community supply chain risk management process to non-intelligence community Federal partners. The

Lifecycle Processes and Standards Working Group recommends criteria for identifying Federal Government systems and networks that would benefit from enhanced supply chain risk management efforts and recommending approaches for enhancing Federal technical expertise, guidance, and standards to manage supply chain risks.

FY 2008 Supply Chain Risk Management Accomplishments:

- Developed an initial Supply Chain Risk Management Strategy and Implementation Plan, which included a legal and policy evaluation of the potential application of all-source counterintelligence risk assessments, an intelligence community all-source counterintelligence risk assessment Concept of Operations to include threat information, vulnerability analyses, technical mitigations, and criteria to identify high priority systems.

FY 2009 Supply Chain Risk Management Planned Accomplishments:

- Implement robust Supply Chain Risk Management projects to establish a body of best practices, guidance, and lessons learned across the Federal enterprise, thus identifying available Federal guidance and industry best practices sufficient for successful and consistent applications.
- Execute pilot Supply Chain Risk Management programs in the civilian government and provide training opportunities to civilian agencies participating in the pilot programs, which involve streamlining and enhancing the execution of Supply Chain Risk Management for civilian agency pilot programs.

FY 2010 Supply Chain Risk Management Planned Accomplishments:

- Develop a training program for key Federal partners in order to provide security systems professionals with a Supply Chain Risk Management capability.
- Review results of Supply Chain Risk Management pilots to analyze potential application of best practices to other departments and agencies.
- Identify Supply Chain Resource Management requirements for National Cybersecurity Protection System integration.

Critical Infrastructure Cyber Protection and Awareness Branch

\$ thousands	Activity	FY 2009			FY 2010			Change		
		FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits		17	18	\$2,317	24	33	\$3,425	7	15	\$1,108
	<i>Outreach and Awareness</i>			\$4,424			\$4,245			-\$179
	<i>Control Systems Security</i>			\$22,000			\$27,563			\$5,563
	<i>CIP - Cyber Security</i>			\$5,731			\$8,552			\$2,821
	<i>Cyber Exercises</i>			\$11,595			\$9,976			-\$1,619
	Program Costs			\$43,750			\$50,336			\$6,586
	Total	17	18	\$46,067	24	33	\$53,761	7	15	\$7,694

The Critical Infrastructure Cyber Protection and Awareness branch collaborates with the public and private sectors to assess and mitigate risk to the Nation’s cyber critical infrastructure and key resources. The Critical Infrastructure Cyber Protection and Awareness branch is organized into four sections: Control Systems Security, Critical Infrastructure Protection-Cyber Security, and Cyber Exercises, and Outreach and Awareness.

Control Systems Security

Control Systems Security focuses on reducing the cyber risk to the Nation's critical infrastructure and key resources control systems. It focuses on identification, analysis, and remediation of control systems vulnerabilities. The program also develops partnerships and provides guidance through programs aimed at reducing the likelihood of success and severity of impact of a cyber attack against the Nation's industrial control systems.

Control Systems Security also coordinates with public and private partners to increase capabilities within critical infrastructure and key resources stakeholders to improve vulnerability assessment and mitigation, information dissemination, awareness, training, and tools in the area of control systems security.

FY 2008 Control Systems Security Accomplishments:

- Established and participated in a Federal government-wide Federal Control Systems Working Group to collaborate on creating a control systems strategy to be applied across the Federal enterprise.
- Developed, tested, and deployed a control system cyber security self-assessment tool for Federal government and private industries to include scenarios that illustrate little known vulnerabilities and a standardized catalog of control systems procurement specifications that can be used by any agency or business to ensure that security is built into systems before they are purchased.
- Worked with the United States Computer Emergency Readiness Team to establish a national capability to receive, manage, and respond to incidents and vulnerabilities that affect the Nation's control systems.
- Conducted outreach activities and developed training videos, classes, workshops, and conferences to educate the control systems community on the risk of cyber attacks against control system and mitigation solutions.

FY 2009 Control Systems Security Planned Accomplishments:

- Enhance the control systems testing environment by evaluating additional technologies, such as wireless connectivity.
- Expand control systems malware analysis within the United States Computer Emergency Readiness Team by establishing a malware test bed in conjunction with the existing laboratory facilities, and support it by helping to secure control systems through the production and dissemination of timely situational awareness information about control systems security and through the identification, analysis, and reduction of control system threats and vulnerabilities.
- Recapitalize the existing infrastructure of the control systems test bed in order to conduct scenario verification of control systems to capture the root cause of events and identify and disclose to public and private partners' protective measures and potential mitigation techniques.
- Implement the Federal Coordination Strategy for Securing Control Systems and the Control Systems Security Protection Framework as the central framework for coordinating Federal activities with State and local government, private industries, international entities, and control systems vendors.
- Establish the Industrial Control Systems Joint Working Group and use the forum as the primary outreach mechanism, and consequently expand the development, vetting, and distribution of control systems cyber security best practices, standards, and guidelines.
- In coordination with the appropriate Information Sharing and Analysis Center, identify key vulnerabilities and mitigation strategies to mitigate both previously and newly discovered high-priority weaknesses, and consequently provide control systems vendors with important control

systems security information that can be used to patch or eliminate security holes within products.

- Conduct vulnerability assessments on six legacy or commercial-off-the-shelf control systems components, operating systems, or networks to provide public and private partners with critical information on control security weaknesses, providing vendors with important control systems security information they can use to patch or eliminate security holes within their products, resulting in more secure products and applications.

FY 2010 Control Systems Security Planned Accomplishments:

- Enhance risk and vulnerability assessments on commercial-off-the-shelf control systems components, operating systems, or networks to provide public and private partners with critical information on control security weaknesses, providing vendors with important control systems security information they can use to patch or eliminate security holes within their products, resulting in more secure products and applications.
- In accordance with the Control Systems Security Program Strategy, update and maintain the Federal Coordination Strategy for Securing Control Systems and the Control Systems Security Protection Framework as the central framework for coordinating Federal activities with State and local government, private industries, international entities, and control systems vendors.
- Create and publish a report on next generation control systems security research and development requirements and initiatives for the Department's Science and Technology Directorate.
- Expand the control systems content of the United States Computer Emergency Readiness Team's website, promoting it as a central repository for control systems cyber security information, control system vulnerability reporting, and cross-sector control systems information sharing for public and private partners.
- Review and widely distribute the Control Systems Security Self-Assessment Tool across the control systems community, including public and private partners to further the situation awareness information on the cyber status and health of critical infrastructure and key resources stakeholders' control systems.

Critical Infrastructure Protection-Cyber Security

Critical Infrastructure Protection-Cyber Security strengthens the Nation's preparedness through public and private partnerships that work to improve the security of the Information Technology Sector. The Critical Infrastructure Protection-Cyber Security provides assistance across all critical infrastructure and key resources sectors for cybersecurity.

Critical Infrastructure Protection-Cyber Security works with NPPD/Infrastructure Protection to develop and implement the National Infrastructure Protection Plan Information Technology Sector Specific Plan. It also assists other Sector Specific Agencies in assessing and mitigating cyber risks. As part of its work on the National Infrastructure Protection Plan, Critical Infrastructure Protection-Cyber Security provides support to the National Infrastructure Protection Plan Program Management Office and the National Critical Infrastructure and Key Resources Annual Report. Working on these projects with Sector Specific Agencies permits Critical Infrastructure Protection-Cyber Security the opportunity to enhance cybersecurity in all critical infrastructure and key resources sectors via the cross-sector perspectives and activities on common vulnerabilities and protective measures, interdependencies, and risk assessment methodologies and mitigation strategies.

FY 2008 Critical Infrastructure Protection-Cyber Security Accomplishments:

- Developed a risk assessment methodology for the IT Sector that identifies and assesses vulnerabilities, threats, and consequences to the critical functions of the sector from cyber, physical, manmade and natural threats.
- Developed the automated Cyber Security Vulnerability Assessment tool for use by critical infrastructure and key resources stakeholders.
- Convened a threat product working group with Homeland Infrastructure Threat and Risk Analysis Center and other cross-sector security partners to ensure the incorporation of cybersecurity expertise into products and briefings in order to facilitate the dissemination of high-quality analytical and threat warning products to critical infrastructure and key resources stakeholders.
- Creating and implementing the Information Technology Sector Specific Plan and to address other critical infrastructure and key resources protection initiatives with Information Technology Government and Sector Coordinating Councils.
- Created a Cross-Sector Cyber Security Working Group to focus on assessing and mitigating risk to the networks of all eighteen critical infrastructure and key resources sectors. The Group addressed special projects, shared information, recommended practices and took on projects that included the review of cyber content in the 2007 Sector Specific Plan and next steps for the Internet Disruption Working Group.

FY 2009 Critical Infrastructure Protection-Cyber Security Planned Accomplishments:

- Conduct the Information Technology Sector baseline risk assessment.
- Distribute and implement the automated cybersecurity vulnerability assessment for use by critical infrastructure and key resources stakeholders and conduct on-site assessments in coordination with the PSA program.
- Convene workshop and follow-up meetings on research and development within the information technology sector and share results with public and private sector security partners invested in research and development.
- Lead efforts through the Cross Sector Cyber Security Working Group to enhance information sharing, metrics for success across the 18 sectors, and identify incentives for cyber security, as appropriate.
- Participate in the Committee on Foreign Investment in the United States Interagency Working Group process to provide technical review and assistance on cybersecurity and/or information technology-related cases.

FY 2010 Critical Infrastructure Protection-Cyber Security Planned Accomplishments:

- In close collaboration with Information Technology Government Coordinating Council and Information Technology Sector Coordinating Council, review and update the Information Technology Sector Specific Plan to reflect changes in the information technology and cybersecurity landscape.
- Implement long-term actions as outlined in the Information Technology Sector Specific Plan to manage risk, identify protective programs, enhance information sharing, set the pace for the research and development agenda of the information technology sector, and track its progress.
- Contribute to the development of cybersecurity risk assessment methodologies including provision of cybersecurity content for risk and vulnerability assessment methodologies developed by the Department to assist critical infrastructure and key resources sectors with implementation.

- Develop cybersecurity guidance for the Department's grants programs that promote efforts to enhance the security of State and local governments, which in turn will aid in the development and implementation of State and local critical infrastructure and key resources cybersecurity protection plans.

Cyber Exercises

The Cyber Exercises section plans, coordinates, and conducts cyber-focused exercises that prepare and enhance incident operational capabilities for the Department and its Federal, State, local, regional, international, and private sector partners. Working collaboratively with stakeholders, the Cyber Exercises section develops, designs, and executes cyber exercises that range from policy process exercises that facilitate cybersecurity operations to network simulations that test command and control procedures, response mechanisms, and cross-sector coordination.

The Cyber Exercises Program section manages the bi-annual Cyber Storm exercises series, which involves hundreds of cross-sector critical infrastructure and key resources participants. The construction of a national cyber exercise supports Federal partners and State and local governments in identifying gaps in cybersecurity processes and procedures, demonstrating interdependencies between response organizations and the information technology, and improving cyber preparedness for the delivery of critical government services. By providing an opportunity to strengthen cyber preparedness via active exercises, the Cyber Exercises section presents cyber critical infrastructure and key resources with the change to be an integral part of the Nation's cybersecurity mission and vision.

FY 2008 Cyber Exercises Accomplishments:

- Executed Cyber Storm II National Cyber Exercise including all planning and scenario development conferences and full after-action process and reports for Cyber Storm II.
- Sponsored, planned, and coordinated appropriate cybersecurity scenario content in the Top Officials 4 Full-Scale Exercise conducted through the Cyber Working Group in close collaboration with the Office of Grants and Training.
- Coordinated with the Department's Science and Technology Directorate on the testing and deployment of the Exercise Modeling Tool, CyberSMART, and integrated the CyberSMART tool into the planning of the Massachusetts State Cyber Exercise.

FY 2009 Cyber Exercises Planned Accomplishments:

- Initiate the 18-to-24-month planning process for Cyber Storm III, currently planned for 2010, and integrate aspects of Comprehensive National Cyber Initiative into Cyber Storm III planning and development.
- Develop and deploy Cyber Exercise Technical Assistance and Cyber Exercise Support Program to bolster support and participation in cyber exercises with the full range of critical infrastructure partners, thus enhancing collective cyber security preparedness and identifying interdependencies in cyber preparedness and response.
- Publish, disseminate, and socialize the Cyber Storm II After-Action Report to further develop findings, identify areas for improvement, and formulate a roadmap based on the observations laid out in the Cyber Storm II After-Action Report.
- Begin Prototyping Cyber Exercise Range, which will provide the capability to execute technical level cyber exercises for the Federal government and State and local governments, providing the possibility of eventual expansion into private industries.

- Manage cooperative agreement with University of Texas at San Antonio Center for Infrastructure Assurance and Security to conduct State and local cyber security preparedness assessments and exercise activities.

FY 2010 Cyber Exercises Planned Accomplishments:

- Execute Cyber Storm III National Cyber Exercise and during exercise activities, test and validate Cyber Exercise Range, which will provide the capability to execute technical level cyber exercises for the Federal government and State and local governments, providing the possibility of eventual expansion into private industries.
- Include sponsorship and support of cyber exercises with State, local, regional, and private sector security partners as part of the Cyber Exercise Technical Assistance and Cyber Exercise Support program. Provide technical exercise assistance to the United States, Canada, Australia, New Zealand, and United Kingdom and continue execute an exercise plan to facilitate operational interaction with these nations and continue to work with the International Watch and Warning Network to integrate capabilities into future cyber exercise plans
- As necessary, support National Cyber Response Coordination Group efforts to conduct tabletop and other exercises.

Outreach and Awareness

Outreach and Awareness promotes cybersecurity awareness among and within the general public and key communities, maintains relationships with governmental cybersecurity professionals to share information about cybersecurity initiatives, and develops partnerships to promote collaboration on cybersecurity issues. As part of its role, Outreach and Awareness works closely with other National Cyber Security Division programs to ensure that the public and key stakeholders are aware of the efforts and activities National Cyber Security Division conducts in support of cybersecurity.

Outreach and Awareness is organized into five functional areas:

- Public Affairs focuses on coordination and development of internal and external communications, including the development of messages that support the advancement of Department cybersecurity priorities, and coordinating the channels by which those messages are disseminated to stakeholders. This includes developing talking points and speeches for leadership, coordinating speaking engagements across the Division, and providing support for all public affairs needs, including media engagement.
- Cyber Security Awareness focuses on increasing awareness with small and medium sized businesses, educational institutions, home computer users, and the general public. It also aims to increase knowledge in government—at all levels—about the capabilities, and services that National Cyber Security Division provides.
- Stakeholder Engagement concentrates on building and maintaining information sharing relationships with both internal and external stakeholders (e.g., other Federal agencies, private industry, associations, State and local governments, international partners, etc.).
- International Affairs engages in a number of bilateral, regional, and multilateral relationships to build situational awareness, strengthen operational information sharing, improve incident response capabilities, contribute to cybersecurity capacity building efforts, and coordinate on strategic policy issues.

- Public Policy coordinates cybersecurity policy activities with both internal DHS components and external entities and stakeholders, such as the United States Congress, the Government Accountability Office, and the Office of the Inspector General. Specifically, the Public Policy Program collaborates with DHS and the National Cyber Security Division to: articulate Department cybersecurity policy positions; initiate and engage in information sharing activities within the Department and with external entities and stakeholders; and coordinate responses to cybersecurity policy activities.

FY 2008 Outreach and Awareness Accomplishments:

- Planned, organized, and implemented Departmental participation in the 2008 Rivest, Shamir, Adleman Security Conference to promote cybersecurity and the Department's cybersecurity priorities to over 18,000 information security professionals.
- Sponsored National Cyber Security Awareness Month to educate the American public about cybersecurity preparedness, resulting in over thirty outreach events throughout the month.
- Coordinated activities and messaging with the National Cyber Security Alliance to promote cybersecurity awareness to the general public, small and medium size enterprises, and education community.
- Collaborated with the Multi-State Information Sharing and Analysis Center to engage with state and local government cybersecurity representatives through participation in monthly and annual meetings, working groups on specific topics, and creation of deliverables.
- Held a workshop on the value of cybersecurity exercises at the bi-annual meeting of the Asia Pacific Economic Cooperation Telecommunications and Information Working Group, which includes government representatives from twenty-one member-economies.
- Contributed to the Meridian Programme Committee comprised of over ten nations to advance the work of the Meridian Process and Conference, a forum that seeks to bring together senior policy makers to collaborate on critical information infrastructure protection.
- Coordinated bilateral workshops, briefings, and meetings with officials from Australia, Canada, Sweden, the United Kingdom, Japan, Finland, New Zealand, Norway, Singapore, Israel, and Taiwan to advance information and collaboration sharing on cybersecurity issues of mutual concern.
- Advanced the collaborative work of the Usual 5, Australia, Canada, New Zealand, the United Kingdom, and the United States, which included finalization of a Terms of Reference.
- Spearheaded national public affairs campaign and VIP Visitor Program for the Department's Cyber Storm II Exercise.
- Designed and held the Cyber Storm II Observer Program for twenty-two representatives of International Watch and Warning Network, representing fifteen member-nations.
- Continued engagement in various multilateral forums in collaboration with the U.S. interagency to advance dialogue on cybersecurity and represent the National Cyber Security Division's equities to include the Organization for Economic Cooperation and Development, NATO, the Group of 8 High Tech Crime Sub-Group, the Inter-American Committee against Terrorism of the Organization of American States, the International Telecommunication Union, among others.
- Advance bilateral collaboration through international DHS engagements including the United States-United Kingdom Joint Contact Group and the Security and Prosperity Partnership of North America.

FY 2009 Outreach and Awareness Planned Accomplishments:

- Plan, organize, and implement Departmental participation in the 2009 Rivest, Shamir, Adleman Security Conference and sponsor the 2009 National Cyber Security Awareness Month.
- Coordinate activities and messaging with the National Cyber Security Alliance to promote cybersecurity awareness to the general public, small and medium size enterprises, and education community, to include the creation of a cyber volunteer education program, a K-12 baseline study on cyber education, and lessons plans for educators to promote cybersecurity education.
- Finalize and present report on the value of cybersecurity exercises to the Asia Pacific Economic Cooperation Telecommunications and Information Working Group.
- Lead the Meridian Programme Committee and undertake planning initiative in preparation to host the Meridian Conference in 2009.
- Initiate planning for Cyber Storm III with the fifteen member nations of the International Watch and Warning Network.
- Continue engagement in various multilateral forums in collaboration with the U.S. interagency to advance dialogue on cybersecurity and represent the National Cyber Security Division's equities to include the Asia Pacific Economic Cooperation Telecommunication and Information Working Group, the Organization for Economic Cooperation and Development, NATO, the Group of 8 High Tech Crime Sub-Group, the Inter-American Committee against Terrorism of the Organization of American States, and the International Telecommunication Union, among others.
- Further advance bilateral collaboration through international DHS engagements including the US-UK Joint Contact Group, the US-Germany Security Cooperation Group, and the Security and Prosperity Partnership of North America.
- Coordinate bilateral workshops, briefings, and meetings with officials from Australia, Canada, Sweden, the United Kingdom, Japan, New Zealand, France, Estonia, and others to advance information and collaboration sharing on cybersecurity issues of mutual concern.

FY 2010 Outreach and Awareness Planned Accomplishments:

- Plan, organize, and implement Departmental participation in the 2010 Rivest, Shamir, Adleman Security Conference and sponsor the 2010 National Cyber Security Awareness Month.
- Lead implementation of national public affairs campaign effort initiated in FY 2009 for the Department's Cyber Storm III Exercise.
- Host the biannual "Usual 5" meeting, to advance collaboration with a specific focus on planning for Cyber Storm III.
- Lead the Meridian Programme Committee and host the Meridian Conference in 2010 to bring together senior policymakers to collaborate on critical information infrastructure protection.
- Finalize and present report on cybersecurity awareness to the Asia Pacific Economic Cooperation Telecommunications and Information Working Group.
- Continue engagement in various multilateral forums in collaboration with the U.S. interagency to advance dialogue on cybersecurity and represent the National Cyber Security Division's equities to include the Asia Pacific Economic Cooperation Telecommunication and Information Working Group, the Organization for Economic Cooperation and Development, NATO, the Group of 8 High Tech Crime Sub-Group, the Inter-American Committee against Terrorism of the Organization of American States, and the International Telecommunication Union, among others.
- Continue previous year efforts to further advance bilateral collaboration through international DHS engagements including the United States-United Kingdom Joint Contact Group, the US-Germany Security Cooperation Group, and the Security and Prosperity Partnership of North America.

Plans, Programs, Policies and Administration

\$ thousands	FY 2009			FY 2010			Change		
	Activity	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP
Salaries & Benefits	23	23	\$3,085	37	55	\$5,070	14	32	\$1,985
<i>Programs, Policy, Plans & Administration</i>			\$5,674			\$3,768			-\$1,906
<i>Facilities</i>			\$4,954			\$6,012			\$1,058
Program Costs			\$10,628			\$9,780			-\$848
Total	23	23	\$13,713	37	55	\$14,850	14	32	\$1,137

Plans, Programs, Policies and Administration is responsible for supporting the National Cyber Security Division leadership in setting direction to overall cybersecurity strategy and planning; in ensuring appropriate resources are available to support the mission; developing strategic implementation plans, including performance measures and milestones, focusing on the division's priorities, initiatives, and financial processes; and in preparing, justifying, and administering the National Cyber Security Division budget. Plans, Programs, Policies and Administration integrates resource management, human capital, facilities, performance management, and policy development and implementation into the broad array of issues addressed by National Cyber Security Division leadership.

It advises the development of national cybersecurity policy and acts as a liaison for: matters related to the Government Performance and Results Act; the implementation of the President's Management Agenda; the coordination of responses to audit groups, such as the Office of the Inspector General and the Government Accountability Office; and the development of performance measurement and vital information to justify five-year resource requests through the Future Years Homeland Security Program. Additionally, it provides comprehensive responses to Congressional Testimony and other inquiries, as well as informs the Department's internal and external stakeholders about cybersecurity issues and activities. It is responsible for security policy development and oversight and management of the overall security of the Department's information technology systems including the Mission Operating Environment, the National Cybersecurity Protection System and the US-CERT.gov portal.

Plans, Programs, Policies and Administration works to ensure that facilities and real estate profiles accommodate not only the normal office and cubicle requirements for unclassified staff operations, but also the highly specialized requirements supporting secure and classified cyber and communications operations. Interim and long-range plans for improving facilities, infrastructure and communications will permit the National Cyber Security Division to fully execute its responsibilities under the Comprehensive National Cybersecurity Initiative and protect the Nation's critical infrastructure and key resources.

FY 2008 Plans, Programs, Policies and Administration Accomplishments:

- Developed and implemented standard business functions to support human capital, planning, budgeting, and acquisition.
- Captured United States Computer Emergency Readiness Team operations facility requirements and prepared and presented one-time and recurring cost estimates required to cover the build-out of the United States Computer Emergency Readiness Team Watch Center.
- Prepared Concept of Operations to capture newly formulated operational directives.
- Prepared and submitted Statement of Objectives and Independent Government Cost Estimate for procurement processing.

- Prepared and packaged the Information Technology Acquisition Review documents for review and approval by the Department's Chief Information Officer.

FY 2009 Plans, Programs, Policies and Administration Planned Accomplishments:

- Conduct programmatic evaluation of cost, schedule, and performance activities relative to goals and objectives.
- Successfully move the United States Computer Emergency Readiness Team into new space without interruption to service or capability.
- Enhance the United States Computer Emergency Readiness Team's visualization and display capture capability to more effectively handle incidents and response.
- Provide compression and expansion options for key vendors and government staff in order to enhance information sharing.
- Develop and implement process improvements that reduce the time required to develop and process procurement requests.
- Develop and implement new acquisition Department Management Directive requirements for program planning.
- Work with Cybersecurity and Communications Budget and Finance Division to implement standardized budget policies and procedures.

FY 2010 Plans, Programs, Policies and Administration Planned Accomplishments:

- Prepare, with the DHS Chief Administrative Officer, a National Cyber Security Division Facility Blueprint Plan to guide facility short-term, interim, and long-term plans that address real estate, security and infrastructure issues.
- Work with the Cybersecurity and Communications and NPPD human capital leadership to improve the on-boarding of personnel and track all key events within the Department on-boarding cycle.
- Develop a viable Facility Management operation to include analysts, project managers, engineers, and management.
- Enhance internal National Cyber Security Division transparency and efficiency by the establishment of governance, protocols, and standard procedures.

**Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Program Performance Justification
(Dollars in thousands)**

PPA: PRIORITY TELECOMMUNICATIONS SERVICE

	Perm Pos	FTE	Amount
FY 2008 Actual	42	26	\$ 85,932
FY 2009 Enacted	40	40	\$ 58,740
2010 Adjustments-to-Base	1	1	\$ 3,033
2010 Current Services	41	41	\$ 61,773
2010 Program Change	0	0	\$ (5,000)
FY 2010 Request	41	41	\$ 56,773
Total Change 2009-2010	1	1	\$ (1,967)

* In FY 2008, \$3,831,000 and 1 FTE/2 positions for the National Command and Coordination Capability were appropriated in Priority Telecommunications Service PPA.

In FY 2010, NPPD requests \$56,773,000 for the Priority Telecommunications Service, including 41 positions/FTE. This represents a decrease of \$1,967,000 below the FY 2009 enacted budget of \$58,740,000. These funds support the operation of the Government Emergency Telecommunications System, the Wireless Priority Service, Special Routing Agreement Service, and Industry-Government and Interagency Processes, as well as support for the Office of the Assistant Secretary for Cybersecurity.

The FY 2010 request includes adjustments-to-base for pay inflation of \$128,000; 1 additional Federal positions offset by \$133,000 in program/contract dollars; and a \$2,905,000 increase for facilities and rent as a transfer from NPPD Management and Administration. This transfer will support facilities and rent requirements across all four National Communications System PPAs (Priority Telecommunications Service, Programs to Study and Enhance Telecommunications, Critical Infrastructure Protection, Next Generation Networks). Program changes include a \$5,000,000 reduction for the Wireless Priority Service.

CURRENT SERVICES PROGRAM DESCRIPTION

Priority Telecommunications Service

\$ thousands	Activity	FY 2009			FY 2010			Change		
		FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
	Salaries & Benefits	40	40	\$5,022	41	41	\$5,283	1	1	\$261
	<i>Wireless Priority Service</i>			\$30,000			\$24,867			-\$5,133
	<i>GETS</i>			\$19,708			\$19,708			\$0
	<i>SRAS</i>			\$2,267			\$2,267			\$0
	<i>Next Generation Networks (NGN)</i>			\$0			\$0			\$0
	<i>Priority Telecommunications Operations</i>			\$0			\$0			\$0
	<i>Industry-Government & Interagency Processes</i>			\$1,743			\$1,743			\$0
	<i>Facilities</i>			\$0			\$2,905			\$2,905
	Program Costs			\$53,718			\$51,490			-\$2,228
	Total	40	40	\$58,740	41	41	\$56,773	1	1	-\$1,967

Priority Telecommunications Service is specially designed telecommunications services to support the national security and emergency preparedness user community during natural or man-made disasters when conventional communications services are ineffective. In addition to enhancing critical infrastructure protection, these telecommunication services are used to coordinate response and recovery efforts and, in severe conditions, to assist with continuity programs.

Specifically, Priority Telecommunications Service enhances the ability of national security and emergency preparedness users to complete calls during crisis or emergency through a degraded public switched network using any of the following three components:

Government Emergency Telecommunications Service. A nationwide landline telephone service that provides priority national security and emergency preparedness telecommunications for the President, Federal, State and local governments, and industry organizations during periods of network stress by utilizing the existing public switched network augmented by national security and emergency preparedness enhancements.

Wireless Priority Service. A nationwide wireless telephone service that complements and interoperates with Government Emergency Telecommunications Service and provides end-to end priority national security and emergency preparedness telecommunications via selected commercial wireless carriers, thereby enhancing the probability of call completion.

Special Routing Arrangement Service. Government Emergency Telecommunications Service for special users that provides for the highest level of non-traceable priority telecommunications service during times of severe public switched network congestion or disruption as may result from acts of war.

Priority Telecommunications Service helps to ensure the preparedness of the Nation to prevent, respond to, and recover from, threatened and actual domestic terrorist attacks, major disasters, and other emergencies in accordance with the National Response Framework and the National Infrastructure Protection Plan, and the National Incident Management System. Enhancements to the preparedness of the Nation's telecommunications infrastructure can effectively and economically address continuity needs while also providing a significant benefit of assured communications during national security and emergency preparedness incidents to the broader Federal, State, local, and non-government national security and emergency preparedness community. The National Communications System successfully

leverages the commercially owned public switched network, an extremely robust and survivable network, to provide Priority Telecommunications Service.

FY 2008 Priority Telecommunications Service Accomplishments

- Identify top 5% of critical users without Government Emergency Telecommunications Service/Wireless Priority Service and assure delivery of services.
- Increased total Wireless Priority Service users to 85,756 and increased total Government Emergency Telecommunications Service cards to 208,944, providing outreach to qualified national security and emergency preparedness personnel.
- Develop and test Wireless Priority Service Code Division Multiple Access Nortel/Motorola Interoperability Specification.
- Test final phased Wireless Priority Service Code Division Multiple Access national security and emergency preparedness carrier enhancements in Verizon Wireless and Sprint Nextel networks.
- Tested Universal Mobile Telecommunications System Directed Retry Handover in cellular Global System for Mobile Communications Wireless Priority Service carriers.

FY 2009 Priority Telecommunications Service Planned Accomplishments

- Increase total Government Emergency Telecommunications Service cards to 229,838 and increase total Wireless Priority Service users to 102,907.
- Ensure that 90% of the Executive Departments and Agencies have Government Emergency Telecommunications Service and Wireless Priority Service cards at their headquarters and alternate operating facilities in support of Continuity of Operations and Continuity of Government requirements.
- Achieve Wireless Priority Service Full Operational Capability.
- Deploy Wireless Priority Service Code Division Multiple Access Nortel/Motorola Interoperability Specification in Verizon Wireless and Sprint Nextel networks to eliminate the ~20% network cellular Wireless Priority Service coverage gaps.

FY 2010 Priority Telecommunications Service Planned Accomplishments

- Increase total Government Emergency Telecommunications Service cards to 252,822 and increase total Wireless Priority Service users to 113,198.
- Achieve 90% GETS call completion rate during emergency communications periods.

Industry-Government and Interagency Processes

Industry-Government and Interagency Processes manages the National Communications System Issuance System and conducts analyses of the ever-changing technological and corporate environments of the communications industry and monitors governmental, legislative, regulatory, and political climates. The activity sustains joint industry-government national security and emergency preparedness and critical infrastructure protection communications strategic planning, coordination and risk reduction. Specifically, this activity supports the National Communications System Committee of Principals chaired by the Under Secretary of National Protection and Programs Directorate by direction of Executive Order 12472, the President's National Security Telecommunications Advisory Committee as directed by Executive Order 12382 and the National Infrastructure Protection Plan and

implementation activities as prescribed in Homeland Security Presidential Directive-7. Additionally, this activity seeks and establishes partnerships and alliances with key industry and government entities associated with homeland defense, critical infrastructure protection, and national security and emergency preparedness communications. It manages a strategic outreach to raise awareness about the National Communications System and its programs and activities.

FY 2008 Industry-Government and Interagency Processes Accomplishments

- Provided support to the National Communications System Committee of Principals, including technical, logistical, executive, planning and managerial support in the identification, development, and analysis of national security and emergency preparedness communications issues and recommended solutions.
- Maintained strong relations with the telecommunications industry and the National Communications System Committee of Principals to facilitate joint planning, operational activities, and coordination of assessments, information sharing, and restoration and recovery of the critical telecommunications infrastructure.
- Provided secretariat support for the National Security Telecommunications Advisory Committee, including quarterly National Security Telecommunications Advisory Committee Principal conference calls, the annual full-committee meeting, monthly Industry Executive Subcommittee meetings, task force, working group, and ad hoc meetings.
- Submitted National Security Telecommunications Advisory Committee membership analysis and recommendations for committee composition to the President.
- Collaborated with the National Infrastructure Advisory Council and other industry and governmental bodies involved in continuity communications, critical infrastructure protection, and homeland security.
- Assisted in the implementation of the National Response Framework, particularly the Emergency Support Functions relating to Communications and Information Technology.
- Developed the 2008 Communications Critical Infrastructure and Key Resources Sector Annual Report and reported on Sector Specific Plan metrics.
- Performed ongoing reporting on the Tier 1, Tier 2 critical asset program to identify and prioritize critical infrastructure and key resources within the Communications Sector, to include the following activities:
 - Ongoing facilitation between DHS Protective Security Advisors with industry partners
 - Establishing a Communications Sector infrastructure taxonomy for the Office of Infrastructure Protection
 - Coordinating sector partner review of state responses to critical infrastructure data calls
 - Facilitating ongoing dialogue with DHS Office of Infrastructure Protection Homeland Infrastructure Threat and Risk Analysis Center and Strategic Homeland Infrastructure Risk Analysis program offices to exchange information on critical infrastructure and threats
 - Submitting approved critical infrastructure lists to DHS Office of Infrastructure Protection
- Managed ongoing critical infrastructure and key resources protection outreach and awareness for the Communications Sector stakeholders, customers, and owners and operators on sector protective programs, best practices and risk reduction capabilities.

FY 2009 Industry-Government and Interagency Processes Planned Accomplishments

- Provide support to the National Communications System Committee of Principals, including technical, logistical, executive, planning and managerial support in the identification, development, and analysis of current national security and emergency preparedness communications issues and recommended solutions.
- Finalize National Communications System Committee of Principals' Communications Dependency on Electric Power Report and deliver to the Executive Office of the President.
- Maintain strong relations with the telecommunications industry and the National Communications System Committee of Principals to facilitate joint planning, operational activities, and coordination of assessments, information sharing, and restoration and recovery of the critical telecommunications infrastructure.
- Provide logistical and technical support to the National Communications System Committee of Principals working groups to address emerging continuity communications matters and minimum essential functions and processes under all circumstances, including crisis or emergency, attack, recovery, and reconstitution.
- Manage National Communications System Committee of Principals' role in evaluating the Presidents National Security Telecommunications Advisory Committee Report Recommendations providing interagency comments to Executive Office of the President.
- Provide Secretariat Support for the National Security Telecommunications Advisory Committee, including quarterly National Security Telecommunications Advisory Committee Principal conference calls, the annual full-committee meeting, monthly Industry Executive Subcommittee meetings, task force, working group, and ad hoc meetings.
- Submit National Security Telecommunications Advisory Committee membership analysis and recommendations for committee composition to the President.
- Update to Memorandum of Agreements with each of the 24 Federal members of the National Communications System as directed by National Communications System Directive 1-1.
- Managing the implementation of the Communications Sector Specific Plan and risk management framework, in response to Homeland Security Presidential Directive-7, and the National Infrastructure Protection Plan.
- Develop the 2009 Communications critical infrastructure and key resources Sector Annual Report.
- Develop and report quarterly Communications Sector Specific Plan implementation metrics to the DHS Office of Infrastructure Protection.
- Perform ongoing reporting on the Tier 1, Tier 2 critical asset program to identify and prioritize critical infrastructure and key resources within the Communications Sector.
- Provide reports on sector plan implementation, as needed, against calls for data from DHS, and the Legislative and Executive Branches of the Federal Government.
- Provide ongoing critical infrastructure and key resources protection outreach and awareness for the Communications Sector stakeholders, customers, and owners and operators on sector protective programs, best practices and risk reduction capabilities.

FY 2010 Industry-Government and Interagency Processes Planned Accomplishments

- Provide support to the National Communications System Committee of Principals, including technical, logistical, executive, planning and managerial support in the identification,

development, and analysis of current national security and emergency preparedness communications issues and recommended solutions.

- Represent National Communications System and DHS interest during Quarterly Committee of Principals meetings and the subordinate working groups.
- Maintain strong relations with the telecommunications industry and the National Communications System Committee of Principals to facilitate joint planning, operational activities, and coordination of assessments, information sharing, and restoration and recovery of the critical telecommunications infrastructure.
- Provide technical and logistical support to the National Communications System Committee of Principals working groups to address emerging continuity communications matters and minimum essential functions and processes under all circumstances, including crisis or emergency, attack, recovery, and reconstitution.
- Provide Secretariat Support for the National Security Telecommunications Advisory Committee, including quarterly National Security Telecommunications Advisory Committee Principal conference calls, the annual full-committee meeting, monthly Industry Executive Subcommittee meetings, task force, working group, and ad hoc meetings.
- Submit National Security Telecommunications Advisory Committee membership analysis and recommendations for committee composition to the President.
- Collaborate with the National Infrastructure Advisory Council and other industry and governmental bodies involved in continuity communications, critical infrastructure protection, and homeland security.
- Implement the Communications Sector Specific Plan and risk management framework, in response to Homeland Security Presidential Directive-7, and the National Infrastructure Protection Plan.
- Develop the cross sector risk assessments to define communications dependencies, corresponding risk mitigation activities, and recommended follow on activities such as research and development, capabilities' development, and protective programs.
- Publish 2010 triennial rewrite of the Communications Sector Specific Plan.
- Develop a 2010 Communications critical infrastructure and key resources Sector Annual Report.
- Develop and report quarterly Communications Sector Specific Plan implementation metrics to the DHS Office of Infrastructure Protection.
- Report on the Tier 1 and Tier 2 critical asset program to identify and prioritize critical infrastructure and key resources within the Communications Sector.
- Provide critical infrastructure and key resources protection outreach and awareness for the Communications Sector stakeholders, customers, and owners and operators on sector protective programs, best practices and risk reduction capabilities.

**Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Program Performance Justification
(Dollars in thousands)**

PPA: PROGRAMS TO STUDY AND ENHANCE TELECOMMUNICATIONS

	Perm Pos	FTE	Amount
FY 2008 Actuals	25	20	\$ 12,941
FY 2009 Enacted	25	25	\$ 15,100
2010 Adjustments-to-Base	2	2	\$ 82
2010 Current Services	27	27	\$ 15,182
2010 Program Change	1	1	\$ 4,092
FY 2010 Request	28	28	\$ 19,274
Total Change 2009-2010	3	3	\$ 4,174

In FY 2010, NPPD requests \$19,274,000 for the Programs to Study & Enhance Telecommunications, including 28 positions/FTE. This represents an increase of \$4,174,000 over the FY 2009 enacted budget of \$15,100,000. These funds support modeling, simulation, technology assessments, National Security and Emergency Preparedness standards, and vulnerability assessments on advanced technologies and converged networks.

The FY 2010 request includes adjustments-to-base for pay inflation of \$82,000 and 2 additional Federal positions offset by \$266,000 in program/contract dollars. Program changes include a \$1,592,000 for a classified program and \$2,500,000 to develop and implement a continuity communications architecture.

CURRENT SERVICES PROGRAM DESCRIPTION

\$ thousands	FY 2009			FY 2010			Change			
	Activity	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits		25	25	\$3,219	28	28	\$3,727	3	3	\$508
<i>Modeling, Analysis & Tech.</i>				\$7,622			\$7,356			-\$266
<i>NS/EP Standards</i>				\$2,107			\$2,107			\$0
<i>CNS / Advanced Technology</i>				\$2,152			\$4,652			\$2,500
<i>Classified Program</i>				\$0			\$1,432			\$1,432
Program Costs				\$11,881			\$15,547			\$3,666
Total		25	25	\$15,100	28	28	\$19,274	3	3	\$4,174

Modeling, Analysis and Technology Assessment

Modeling, Analysis and Technology Assessment develops models and conducts technical studies and analyses of public communications infrastructures to identify approaches to fulfill national security and emergency preparedness communications objectives and support priority service and Comprehensive National Cyber Initiative programs. The extensive dataset and software-based commercial and government off the shelf analytic tools analyzes natural and man-made disruptions on communications infrastructure, conducts vendor independent analyses, and identifies network effectiveness solutions. Modeling, Analysis and Technology Assessment also conducts communications technology assessments, such as those required by the Committee on Foreign Investment in the United States in

support of the DHS Office of Policy, and studies that quantify the dependence of critical government networks on Internet service provider infrastructure.

FY 2008 Modeling, Analysis and Technology Assessment Accomplishments

- Developed and deployed version 3.2 of the Infrastructure Mapping Tool to improve Emergency Support Function #2 operations.
- Performed cyber and communications modeling and analysis studies in support of emerging requirements, such as the impact of undersea cable infrastructure damage on the communications infrastructure.
- Provided an internal and external network analysis of the Export-Import Bank of the United States in support of the Trusted Internet Connection initiative.
- Analyzed diverse geographic locations for Trusted Internet Connection portals to reduce the potential risk associated with consolidating Government Internet connections.
- Refined communications sector risk analysis methodology and conducted National Sector Risk Assessment for the telecommunications sector.
- Provided subject matter expertise in assessing the technical aspects of Federal Communications Commission applications during the review of Team Telecom cases by DHS Policy.
- Studied and reported on the potential effect of inter-carrier routing policies on national security and emergency preparedness communications.
- Developed proprietary Voice-over-Internet Protocol models to evaluate the survivability and performance of national security and emergency preparedness communications under damage scenarios
- Developed a Network Discovery Tool to map and analyze internal networks in support of the Trusted Internet Connection program
- Participated in the Global Multi-Service Forum Interoperability test to demonstrate multi-vendor interoperability for emerging next-generation architecture.
- Integrated Internet Protocol Multimedia Subsystem infrastructure technologies within a prototype framework to test the effectiveness of potential solutions for optimizing national security and emergency preparedness services within next-generation architectures.
- Developed voice, data, and video prototype capabilities to determine the impact of newly introduced public network technologies on the priority services mission.

FY 2009 Modeling, Analysis and Technology Assessment Planned Accomplishments

- Develop and deploy version 3.3 of the Infrastructure Mapping Tool to improve the Emergency Support Function #2 operations which will integrate the Federal Communications Commission's Disaster Information Reporting System and include an enhanced weather mapping function.
- Develop an enhanced Internet Analysis Capability to improve Emergency Support Function #2 and United States Computer Emergency Readiness Team operations.
- Support the National Cyber Security Division's activities under the Trusted Internet Connection initiative.
- Model and analyze the effectiveness of solutions offered by the Next Generation Networks Access Industry Requirements working group for achieving survivable national security and emergency preparedness services.

- Study and report on the role of Digital Integrated Services Network Real Time Services, call admission control, and Internet Protocol Multimedia Subsystem models within next-generation architectures
- Enhance the Network Discovery Tool with additional software features and improved visualization capabilities
- Provide subject matter expertise in assessing the technical aspects of Federal Communications Commission applications (e.g., the type of telecommunications infrastructure at issue, and the potential effects of changes to that infrastructure) during the review of Team Telecom cases by DHS Office of Policy.
- Analyze physical infrastructure diversity, or “last-mile” connectivity, for National Communications System member agencies to ensure primary mission essential functions are preserved.
- Study the dependence of two other critical infrastructure sectors on the telecommunications sector.
- Develop proprietary network carrier models to evaluate survivability and performance of national security and emergency preparedness communications under damage scenarios.
- Improve National Communications System modeling and analysis capabilities through incorporation of Department of Defense analysis tools and datasets
- Partner with a major carrier to test the effectiveness of inter-network solutions for providing end-to-end national security and emergency preparedness services within next-generation architectures

FY 2010 Modeling, Analysis and Technology Assessment Planned Accomplishments

- Develop and deploy version 3.4 of the Infrastructure Mapping Tool to continue improving Emergency Support Function #2 operations which will integrate a web-enabled platform and contain enhanced security levels.
- Develop the comprehensive Internet Analysis Capability to further improve Emergency Support Function #2 and United States Computer Emergency Readiness Team operations, as well as NPPD’s common operational picture.
- Continue to support the National Cyber Security Division’s activities under the Trusted Internet Connection initiative.
- Model and analyze the effectiveness of solutions offered by the Next Generation Networks Access Industry Requirements working group for achieving survivable national security and emergency preparedness services.
- Enhance the Network Discovery Tool with additional software features based on requirements from the Trusted Internet Connection program.
- Perform cyber and communications modeling and analysis in support of emerging threats and requirements.
- Provide subject matter expertise in assessing the technical aspects of Federal Communications Commission applications (e.g., the type of telecommunications infrastructure at issue, and the potential effects of changes to that infrastructure) during the review of Team Telecom cases by DHS Office of Policy.
- Analyze physical infrastructure diversity, or “last-mile” connectivity, for five National Communications System member agencies to ensure primary mission essential functions are preserved.

- Study the dependence of three other critical infrastructure sectors on the telecommunications sector.
- Develop proprietary network carrier models to evaluate survivability and performance of national security and emergency preparedness communications under damage scenarios.

National Security and Emergency Protection Standards Team

The Standards Team works national and international industry standards organizations to ensure that evolving communications standards address the technical requirements of national security and emergency preparedness communications. The Standards Team performs under Presidential Executive Order 12472 which directs National Communications System to take into consideration the development of evolving industry consensus standards with respect to national security and emergency preparedness communications. The Standards Team is also directed by the OMB Circular A-119 to adapt the products of commercial/industry consensus standards committees for Government needs, and to participate in their development.

Traditional national security and emergency preparedness telecommunications services were designed around the legacy circuit-switched infrastructure of the public switched telephone network. Public networks are now merging with packet-switched infrastructures and converging into Next Generation Networks. As this evolution continues to mature, national security and emergency preparedness telecommunications services will be guided by commercial standards and technologies based on packet-switching Internet Protocol based networks. Wireless public networks have also become increasingly vital during national security and emergency preparedness events. The Standards Team focuses on these changes by working proactively with industry in standards development organizations. The national security and emergency preparedness standards efforts involve a two-pronged approach. The first standards effort is to establish national security and emergency preparedness service requirements within the standards bodies, and the second is to work to develop standards-based technical capabilities to support National Communications System programs and missions.

The Standards Team also provides direct support to the U.S. Department of State by Chairing the International Telecommunications Advisory Committee Telecommunications Sector Study Group 'B'. The Team also serves as senior Government advisors and leaders to a variety of international meetings on communications. When requested, the Standards Team takes specific requirements from North Atlantic Treaty Organization and other member organizations and introduces them into the international standards process. In addition, the Standards Team members actively participate in the work of the following industry groups:

- Alliance for Telecommunications Industry Solutions
- Telecommunications Industry Association
- International Telecommunication Union
- Internet Engineering Task Force
- TeleManagement Forum
- Third Generation Partnership Project
- Third Generation Partnership Project 2
- Multi-Service Switching Forum
- Institute of Electrical and Electronics Engineers

The Government Emergency Telecommunications Service, Wireless Priority Service, Special Routing Arrangement Service and the Telecommunications Service Priority are all international standards based

national security and emergency preparedness services implemented in the public infrastructure. As these services converge, the Standards Team must migrate the functional requirements to the Next Generation Networks.

FY 2008 Standards Team Accomplishments

- Approved Supplement 57 - Signaling Requirements to Support the Emergency Telecommunications Service in Internet Protocol Networks in January 2008.
- Approved Series H, Supplement 9 - Gateway Control Protocol: Operation of H.248 with H.225, SIP, and ISUP in support of Emergency Telecommunications Service/International Emergency (Preference Scheme in April 2008.)
- Approved X.1205 - Overview of Cybersecurity in April 2008.
- Approved Recommendation Y.2701 – Security Requirements for Next Generation Networks (Release 1 in January 2008.)
- Approved Recommendation Y.2205 – Emergency Telecommunications – Technical Considerations. (Approved in September 2008.)
- Approved Recommendation Y.2702 - Authentication and Authorization Requirements for Next Generation Networks. (Approved in September 2008.)
- Approved Recommendation Y.2720 - Next Generation Networks identity management framework was approved.
- Collaborate with Alliance for Telecommunications Industry Solutions on standards:
 - Approved Alliance for Telecommunications Industry Solutions -1000020 in October 2007 - Emergency Telecommunications Service Packet Priority for Internet Protocol Network to Network Interfaces – Requirements for a Separate Expedited Forwarding Mechanism.
 - Approved Alliance for Telecommunications Industry Solutions -1000023.2008 in June 2008 - Emergency Telecommunications Service Phase 1 Network Element.

FY 2009 Standards Team Planned Accomplishments

- Work with Internet Engineering Task Force to develop standards for priority communications during network congestion.
- Incorporate the Resource Priority Header field into Internet Engineering Task Force standards.
- Submit plan to Internet Engineering Task Force on how preferential treatment can be signaled or conveyed to prioritize flows, and exempt them from degraded service during periods of wide-scale congestion.
- Develop baseline Next Generation Networks security and signaling requirements in the Alliance for Telecommunications Industry Solutions technical reports and standards.
- Work with TeleManagement Forum experts on the development of Service Level Agreement application note(s) to aid national security and emergency communications users in acquiring services in a multi-vendor environment.
- Create Emergency Telecommunications Service Internet Protocol Multimedia Subsystem requirements in Third Generation Partnership Project and Third Generation Partnership Project 2.
- Develop Security and Signaling technical requirements within the Next Generation Network.

- Actively engage industry experts to ensure that Emergency Telecommunication Service requirements are included in developing wireless technical standards.

FY 2010 Standards Team Planned Accomplishments

- Define management plane security and the associated security management system functional requirements to contribute to International Telecommunication Union-Telecommunication Sector.
- Approve Next Generation Networks Requirements to contribute to International Telecommunication Union-Telecommunication Sector.
- Develop transport requirements for Emergency Telecommunications Service core Internet Protocol Multimedia Subsystem.
- Develop security contributions for Emergency Telecommunications Service Next Generation Networks and Cyber.
- Work with Alliance for Telecommunications Industry Solutions experts on the development of baseline Emergency Telecommunications Service Next Generation Networks security and signaling technical reports and standards.
- Contribute to TeleManagement Forum guidebook on national security and emergency preparedness management applications in Next Generation Networks.
- Develop Security and Signaling technical Requirements and Specifications for Priority Services.
- Work with voluntary consensus standards organizations on evolving Next Generation Networks related standards; this work will be based on the standards gap analysis completed through the Access Internet Protocol Multimedia Subsystem Industry Requirements process.
- Work with Internet Engineering Task Force to develop standards for priority communications in packet based during network congestion.

Advanced Technologies/Converged Networks

Advanced Technologies/Converged Networks provides a vulnerability assessment of new technologies to Telecommunication Electromagnetic Disruptive Effects and their impact on the infrastructure. The National Communications System is the Federal Government focal point for electromagnetic pulse technical data and studies concerning telecommunications (Code of Federal Regulations Title 47, Part 215). This work includes coordinating and approving Telecommunication Electromagnetic Disruptive Effects tests and studies, communicating timely information to homeland security partners and stakeholders, and developing mitigation techniques to prevent upset of telecommunications equipment from High-Altitude Electromagnetic Pulse attacks.

Advanced Technologies/Converged Networks work also includes identification and assessment of the vulnerabilities of satellite communications systems, coordination with commercial vendors in conducting studies on physical vulnerabilities, development of plans to mitigate interference, leadership and coordination efforts across DHS to ensure that satellite capabilities required to prevent, protect, respond to and recover from acts of terrorism, natural disasters, and other emergencies are available when needed.

FY 2008 Advanced Technologies/Converged Networks Accomplishments

- Reported on the identification of vulnerabilities of Voice-over-Internet Protocol telecommunication systems and Wireless Priority Service to Telecommunication Electromagnetic Disruptive Effects.

- Completed report on “Disruption of Fiber-Optic Telecommunication Links Due To Secondary Effects Associated With X-Ray Illumination.”
- Completed report on “Undersea Cable Vulnerability and Risk Analysis” that examines the current status of undersea cables, identifies vulnerabilities, postulates threat scenarios and proposes mitigations to reduce risk.
- Completed report on “Telecom-Power Dependencies” examines the interdependencies of the telecommunications and power infrastructures.
- Completed report on “Timing and Synchronization Analysis,” which covers the vulnerabilities and possible risk mitigations of Global Positioning System and other synchronization technologies that support wireless networks.
- Completed “Worldwide Interoperability for Microwave Access” report on key activities and developments, describing the technology and network capabilities, evaluates performance projections, identifies vulnerabilities, and examines the need for additional priority capabilities.
- Completed report on “Airborne Passenger Internet Network” that analyzes existing airborne networks, describes the services offered and technology utilized, assesses its security and use for commercial communications and for surveillance monitoring of airplane systems. It offers high-speed, real-time Internet access for email and web browsing applications via satellite communications utilizing a network of Geosynchronous Earth Orbit satellite transponders.
- Completed an investigation of the potential leveraging of Department of Defense and Intelligence Community Transformation Communications Architecture Integration and Final Security Review.
- Completed three Technical Information Bulletin and issued National Communications System Handbook 3-10-1: *Guidance for Improving Route Diversity within Local Access Networks*:
 - “National Security and Emergency Preparedness Mobility” identifies key mobility issues for access to Internet Protocol-based Emergency Preparedness information and communications networks.
 - “Private Integrated Services Network” examines the International Standards associated with the Private Integrated Services Network.
 - Short Messaging Service, Multimedia Messaging Service, and Enhanced Messaging Service traffic Saturation: This Technical Information Bulletin presents the effects of increased mobile data transmissions, including Short Messaging Service, Enhanced Messaging Service, and Multimedia Messaging Service messages, and considers the resulting impact of increased data service usage on the network performance of wireless service providers.

FY 2009 Advanced Technologies/Converged Networks Planned Accomplishments

- Issued National Communications System Handbook 3-10-1 – “Guidance for Improving Route Diversity within Local Access Networks” in February 2009.
- Issued National Communications System Change Notice – “Updates to National Communications System Manual 3-10-1, Guidance for Implementing National Communications System Directive 3-10” in February 2009.
- Recommended updates to the National Communications System Directive 3-10, “Minimum Requirements for Continuity Communications Capabilities” to the Office of Science and Technology Policy in April 2009.
- Concluded IPTV Protocol Technology Studies.

- Concluded Broadband over Cellular Protocol Vulnerability studies.
- Conclude Loran timing variance studies. Report due 4/30/2009
- Conclude Identity Management studies. Report due 6/30/2009

FY 2010 Advanced Technologies/Converged Networks Planned Accomplishments

- Issue revisions to National Communications System Manual 3-10-1 – “Guidance for Implementing National Communications System Directive 3-10”, based upon Office of Science and Technology Policy approval of recommended updates.
- Modify data collection tools to support the data surveys of Federal Executive Branch department and agencies of their “As-Is” continuity communications architecture deployed capabilities.
- Develop a continuity communications architecture (CCA) to ensure, under all conditions, federal executive branch cross-department and agency communications. Developing the architecture will require identifying existing continuity communication capabilities, shortfalls or gaps, and developing technical requirements to improve the overall continuity communications posture. Implementation will ensure agencies can execute primary mission essential functions in support of the eight national essential functions.

**Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Program Performance Justification
(Dollars in thousands)**

PPA: CRITICAL INFRASTRUCTURE PROTECTION PROGRAMS

	Perm Pos	FTE	Amount
FY 2008 Actuals	29	21	\$ 14,654
FY 2009 Enacted	29	29	\$ 11,260
2010 Adjustments-to-Base	0	0	\$ 92
2010 Current Services	29	29	\$ 11,352
2010 Program Change	9	7	\$ 2,500
FY 2010 Request	38	36	\$ 13,852
Total Change 2009-2010	9	7	\$ 2,592

In FY 2010, NPPD requests \$13,852,000 for the Critical Infrastructure Protection programs, including 38 positions and 36 FTE. This represents an increase of \$2,592,000 over the FY 2009 enacted budget of \$11,260,000. These funds support National Coordinating Center; Critical Infrastructure Protection operations, planning, policy; training and exercises; network security information exchange, and the Telecommunications Service Priority program.

The FY 2010 request includes adjustments-to-base for pay inflation of \$92,000. Program changes include an increase of \$2,500,000, 7 FTE and 9 positions to support the Emergency Support Function #2 mission.

CURRENT SERVICES PROGRAM DESCRIPTION

\$ thousands	FY 2009			FY 2010			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	29	29	\$3,605	36	38	\$5,097	7	9	\$1,492
<i>NCC Operations</i>			\$4,536			\$4,536			\$0
<i>CIP Operations, Plans & Policy</i>			\$1,346			\$1,346			\$0
<i>Training & Exercises</i>			\$691			\$691			\$0
<i>NSIE</i>			\$392			\$392			\$0
<i>TSP</i>			\$690			\$690			\$0
<i>Contingency Planning</i>			\$0			\$1,100			\$1,100
Program Costs			\$7,655			\$8,755			\$1,100
Total	29	29	\$11,260	36	38	\$13,852	7	9	\$2,592

The Critical Infrastructure Protection Programs ensure the continued availability of national security and emergency preparedness telecommunications services under all circumstances, including crisis or emergency, attack, recovery, and reconstitution. Initiatives include:

- Operations and maintenance of the National Coordinating Center for Communications;
- Near real-time telecommunication analyses;
- Continuity planning and operational support;
- Training and exercise of communications emergency response personnel;
- Production and maintenance of operational procedures, policies and support tools; and

- Management of a structured forum for Government and telecommunication industry collaboration on national security and emergency preparedness telecommunications policies, procedures and issues.

This Project includes the following Activities: *National Coordinating Center Operations; Critical Infrastructure Protection Operations, Plans, and Policy; Training and Exercises; Network Security Information Exchanges; and Telecommunications Service Priority.*

National Coordinating Center

National Coordinating Center Operations is a joint industry-government body that provides a mechanism to respond to national security and emergency preparedness telecommunications incidents. The mission of the National Coordinating Center is to assist in the initiation, coordination, restoration, and reconstitution of national security and emergency preparedness telecommunications services or facilities under all conditions, crises, or emergencies. Government membership includes 24 Federal departments and agencies with significant national emergency responsibilities or critical telecommunications requirements. The Communications Information Sharing and Analysis Center is made up of industry members representing the country's wireline and wireless service providers, equipment vendors, internet service providers, satellite industry, and cable industry. The strength of the National Coordinating Center lies in the trusted relationship between government and industry. This relationship is critical to the National Coordinating Center in its role as the primary mechanism within the National Communications System for executing Emergency Support Function #2 – Communications under the National Response Framework during an incident.

The National Coordinating Center is governed by Executive Order 12472, which establishes a joint industry-government National Coordinating Center; Homeland Security Presidential Directive-5, which directs the National Coordinating Center to provide support to the National Response Framework; and Section 706 of the Communications Act of 1934, which governs National Coordinating Center engagement in Continuity of Operations and Continuity of Government activities. National Coordinating Center Operations is comprised of three sub-activities:

National Coordinating Center Watch. This sub-activity serves as the operational arm of the National Communications System. The National Coordinating Center Watch provides 24x7 situational awareness of the health of the telecommunications infrastructure and facilitates the initiation, coordination, restoration and reconstitution of national security and emergency preparedness telecommunications services or facilities during emergency events. Senior level information assurance analysts located on site in the National Coordinating Center Operations Center are closely integrated with the Government National Coordinating Center operations staff and resident and non-resident Industry representatives from the National Coordinating Center's member companies. The National Coordinating Center Watch enhances physical and cyber security of the Nation's critical communications infrastructures by facilitating cooperation, information sharing, and system-to-system interaction among critical infrastructures and between the Government and the private sector. On a daily basis, the National Coordinating Center Watch provides:

- Monitoring and situational awareness of essential communications facilities through exchanges with network owners and operators, open source reporting, and the Federal, State, local, and tribal partners,
- Consultation with private industry to exchange status information and develop coordinated action plans; and

- Assessing threats and vulnerabilities to national security and emergency preparedness communications needs of the Federal Government.

National Coordinating Center Programmatic Support. Provides planning and preparedness activities in support of national security and emergency preparedness. This includes internally focused activities for designing, developing, and implementing plans and operating procedures and addressing policy development and implementation. External activities focus on relationship building, information sharing, and operational planning and execution under the joint government/industry Communications Information Sharing and Analysis Center and Government partners of National Communications System.

High Frequency Radio Program. Provides technical, administrative, operational, and readiness support to four emergency High Frequency radio operational activities: SHARed RESources High Frequency Radio Program, National Coordinating Center High Frequency Radio Program, the National Communications System Regional Managers High Frequency Radio Program, and the National Communications System Auxiliary High Frequency Radio Program. These programs support a nationwide radio network of approximately 1,400 high frequency radio stations contributed by 100 Federal, State and industry organizations to form a nationwide emergency message-handling network. SHARed RESources has made a notable contribution to national security and emergency preparedness support in over 42 emergencies since it was formally established in 1989 and serves as a backup high frequency communications vehicle linking key Federal entities with the major telecommunications infrastructure service providers. It was vital for ensuring communications during Hurricane Katrina between isolated emergency operations centers. The National Communications System High Frequency Radio Program supports the National Communications System mission of executing Emergency Support Function #2 under the National Response Framework and is essential in supporting the National Coordinating Center mission.

Critical Infrastructure Protection Operations, Plans, and Policy

Continuity of Operations. The goal of Continuity of Operations is to improve the overall readiness, operations and execution of mission essential functions, including Enduring Constitutional Government, and Continuity of Government operations. It also establishes the framework to ensure all National Communications System staff members are trained to work continuity operations during an all-hazards event or incident. Homeland Security Presidential Directive-20 and the National Continuity Policy require departments and agencies to have plans in place to continue their mission at alternate facilities if their primary facilities become uninhabitable for an extended period.

The Continuity of Operations Plan provides guidance for the organization, its leaders, and all assigned staff, should National Communications System be directed to deploy during a Continuity of Operations event. The Continuity of Operations Plan identifies the mission essential functions of each National Communications System Branch, the order of succession for leadership, Emergency Relocation Group and Advance Relocation team members, mission critical systems, vital records and databases, and required communications for the Relocation Facility.

National Level Planning. Supports the Executive Office of the President and provides operational, technical, and administrative support to the Director of the Office of Science and Technology Policy, who serves as Chairman of the Joint Telecommunications Resources Board. The Joint Telecommunications Resources Board was established under Executive Order 12472 to facilitate the need for Federal Government action in response to a non-wartime or wartime crisis or emergency situation that adversely affects the Nation's communications infrastructure. National Level Planning

assists in resolving competing demands for telecommunications services, discussing telecommunications services policy issues, and providing necessary service reprioritizations resulting from non-wartime emergency situations. This activity supports the requirements in Homeland Security Presidential Directive-20 to develop, implement, and maintain comprehensive continuity communications architecture. The National Communications System leads the Continuity Communications Management Office which oversees Title Globe continuity testing and the implementation of the National Communications System Directive 3-10, *Minimum Requirements for Continuity Communications Capabilities*.

Operational Analysis. Supports the development, documentation, implementation and maintenance of policies, procedures, and capabilities to ensure the conduct of comprehensive, accurate, and rapid analytical assessments of the communications infrastructure. This activity supports all phases of Emergency Support Function #2 execution – from planning and preparedness, to full recovery of the telecommunications infrastructure. During significant disasters or crises, the Operations Analysis activity leads the Analysis Response Team in providing communications analysis support to the National Coordinating Center.

To improve the ability to provide critical communications assessments quickly and accurately during emergency response operations, this sub-activity has conducted a series of in-depth regional characterizations of the communications infrastructure in high-risk areas (e.g. Washington D.C., Philadelphia, etc.). These characterizations significantly reduce the preliminary research and data gathering time normally associated with any analysis in the case of an event and assists in preparedness activities. During an incident, operational analysis models provide critical information to bridge the gap from when the incident occurs to when actual data becomes available post-event.

Training and Exercise Program

The Training and Exercise Program ensures that the National Communications System has a cadre of emergency response personnel prepared to respond across the spectrum of crises and emergencies. These personnel are organized in accordance with the Emergency Support Function #2 Annex of the National Response Framework and are tasked to coordinate the restoration and provisioning of national security and emergency preparedness communications during an incident or disaster. In response to the recommendations of the *Hurricane Katrina After Action Report*, the National Communications System is enhancing its readiness for emergency response operations with an increased tempo of training and exercises for personnel who have Emergency Support Function #2 collateral duties. The National Communications System participates in exercises involving scenarios as varied as continuity of operations, continuity of government, natural disasters, weapons of mass destruction, critical infrastructure protection, and cyber intrusion. The training program will combine distance learning instruction with a periodic conference to provide interaction among the team members.

Network Security Information Exchanges

This activity provides technical and administrative support to both the National Security Telecommunications Advisory Committee and Government Network Security Information Exchanges. The Network Security Information Exchanges consists of two bodies: the Government Network Security Information Exchange which represents Federal agencies that have research, standards, regulatory, law enforcement, or intelligence functions related to the public network, or are major telecommunications users, and the President's National Security Telecommunications Advisory Committee Network Security Information Exchange which includes representatives from telecommunications service providers, equipment vendors, systems integrators, and major users.

Participation also includes representatives from the Canadian and United Kingdom government and telecommunications industry involved in the United Kingdom and Canadian Network Security Information Exchanges. The Network Security Information Exchanges forum provides a trusted environment in which industry and Government representatives exchange information on threats to and vulnerabilities of the public network. These bodies meet jointly on a bimonthly basis to address major technical and operational issues affecting the security of the public network, such as unauthorized penetration or manipulation of the public network software, databases, and other infrastructures supporting national security and emergency preparedness telecommunications services. The Network Security Information Exchanges exchange ideas on technologies and techniques for addressing and mitigating the risks to the public network and its supporting infrastructures.

Emergency Support Function #2 Contingency Planning. The National Response Framework designates the National Communications System as the Primary Agency for Emergency Support Function #2. This sub-activity revises operational plans to align more closely with the National Response Plan and clearly outline the coordination requirements and procedures at all levels (e.g., national, regional, local Emergency Support Function entities, State/local government, and private companies). This sub-activity also continues to develop, implement, and maintain Emergency Support Function #2 plans, policies and procedures in the face of new legislation, changing DHS organizational structure, and lessons learned from Emergency Support Function #2 activations.

Telecommunications Service Priority Program. Established by a Federal Communications Commission Report and Order 88-341, November 17, 1988, Telecommunications Service Priority is the regulatory, administrative, and operational system authorizing and providing for priority treatment of national security and emergency preparedness telecommunications services. The program provides national security and emergency preparedness users with priority restoration and provisioning of telecommunications services that are vital to maintaining readiness or response to an incident. As a result of hurricanes, floods, earthquakes, and other natural or man-made incidents, telecommunications service vendors may become overwhelmed with requests for new telecommunications services and requirements to restore existing telecommunications services. The Telecommunications Service Priority Program provides service vendors with a Federal Communications Commission mandate for prioritizing service requests by identifying those services critical to national security and emergency preparedness. A telecommunications service with a Telecommunications Service Priority assignment is assured of receiving full attention by the service vendor before a non-Telecommunications Service Priority service. The Telecommunications Service Priority Program has two components: restoration and provisioning. A restoration priority is applied to telecommunications services to ensure restoration before any other services. A provisioning priority is obtained to facilitate priority installation of new telecommunications services.

Currently, over 1,000 organizations have over 201,000 active Telecommunications Service Priority assignments in support of national security and emergency preparedness communications. This service directly increases the organizations' ability to recover from an incident or a disaster. The Telecommunications Service Priority Program also plays a critical role in emergency response when new telecommunications service must be provisioned to support response operations.

FY 2008 Critical Infrastructure Protection Accomplishments

- Participated in internal and interagency continuity planning and exercises.
- Completed annual update of the National Communications System Continuity of Operations Plan.

- Completed annual update of the Multi-Year Strategy and Management Plan for Continuity of Operations.
- Tested Continuity of Operations Plan and procedures during National Level Exercise 2008
- Identified the National Communications System Primary Mission Essential Functions Primary Mission Essential Functions and Mission Essential Functions as required by Homeland Security Presidential Directive-20.
- Conducted Continuity of Operations Communications Managers Group meetings. This working group provides a forum for the discussion and exchange of ideas for development of policies and procedures for effective continuity communications.
- Continued development and dissemination of the biannual Continuity of Operations Communications Plan for the Federal Executive Branch Department and Agencies. This multifaceted plan provides essential contact and operational information for effective interoperable communications during emergencies that require the Federal Department and Agencies to operate from Emergency Relocation Facilities.
- Successfully conducted Title Globe testing for continuity communications with Federal Executive Branch Departments and Agencies
- Ensured communications readiness through planning and participation in exercise and training events including the National Level Exercise and CyberStorm II.
- Developed, in coordination with the National Cyber Security Division, plans and procedures to further realize synergies between the highly interdependent communications and information technology sectors. Ensured that there is significant coordination between the Communications Information Sharing and Analysis Center and the Information Technology Information Sharing and Analysis Center.
- Hosted discussions with representatives from the United Kingdom, Canada and Mexico to share ideas and vet appropriate procedures to decrease vulnerabilities. Coordinated next generation network application ideas and issues with Canadian counterparts.
- Conducted and documented in-depth telecommunications assessments of high profile geographical areas.
- Completed an in-depth telecommunication assessment for the 2008 Democratic National Convention in Denver and the 2008 Republican National Convention in Minneapolis.
- Completed an in-depth telecommunications assessment for the New York metropolitan area, the Los Angeles metropolitan area, and the Norfolk/Hampton Roads metropolitan area.
- Completed a telecommunications assessment for the National Level Exercise 2008.
- Developed and orchestrated of cross-sector discussions with other Information Sharing and Analysis Centers for the purpose of identifying interdependencies and cross-sector vulnerabilities.
- Participated in the National Cyber Response Coordination Group and the Internet Disruption Working Group.
- Developed information sharing protocols with industry partners for sharing intelligence information.
- Enhanced information sharing capabilities with other sector Information Sharing and Analysis Centers.
- Provided analytical support during emergency operations, such as with the Midwest flooding.
- Served as the focal point for State and local telecommunication data and analytical requests.

- Continued to pursue enhancements to the National Communications System Telecommunication analytical capabilities to include greater partnership and information sharing with Telecommunications Industry representatives, enhancement of data sets that provide greater insight into the operational components of the telecommunications infrastructure, and enhancement of analytical tools to provide quicker and more detailed analyses.
- Deployed support for temporary 911 calling center and supplemental sandbagging and pumps to ensure continued operation of telecommunications assets providing the disaster area connectivity during flooding in Iowa.
- Provided communications infrastructure threat analysis and situational awareness during California wildfires.
- Assisted with spectrum coordination for urban search and rescue, fuel delivery for broadcast facility, and power restoration prioritization during Hurricane Dolly.
- Prepared personnel to perform Emergency Support Function #2 operations during national and regional exercises. Participated in the exercise development and conduct of CyberStorm II and the National Level Exercise February, 2008.
- Developed documents to assist the Emergency Support Function #2 team members in performance of their team duties; provide knowledge-based training for the team members.
- Provided communications infrastructure analysis, situational awareness, and impact collection after the Mediterranean and Gulf undersea cable cuts in January/February 2008.
- Provided a communications specialist to Homeland Infrastructure Threat Risk and Analysis Center. Actions included providing assessment process improvement recommendations and communications infrastructure risk impact assessment against 15 threat scenarios under the Strategic Homeland Infrastructure Risk Assessment.
- Expanded the Emergency Support Function #2 family of plans to incorporate specific actions for notice and no-notice events.
- Develop and refine operational plans and procedures that execute the Emergency Support Function #2 duties specified in the National Response Framework.
- Targeted Telecommunications Service Priority outreach to State and local emergency response organizations, including the health care sector.
- Established a National Communications System certified Protected Critical Infrastructure Information program to accept, maintain industry-submitted data consistent with DHS Protected Critical Infrastructure Information Program office guidance.
- Expanded outreach efforts for Emergency Cellular protocol.
- Expanded National Coordinating Center Industry partnership to 49 entities with the inclusion of broadcaster representation via the National Association of Broadcasters and enhanced wireline, wireless, and satellite perspectives with the additions of FairPoint, Hughes, INMARSAT, Eutelsat, and Arrowhead. These partner additions provide greater insight into the collective status of communications elements and decision making during times of crisis.
- Hosted and conducted National Coordinating Center Industry Partner conference providing partners with orientation on the information sharing partnership and exchange. This exchange fostered understanding and perspective provided background on roles and responsibilities, response actions, decision making process, situational awareness needs, and prioritization thought processes to better respond for real-world events.

- Created National Communications System Emergency Notification System presence for National Coordinating Center Industry and Government partners, Emergency Relocation Group, and Individual Mobilization Augmentee communities of interest to improve alerting capabilities.
- Initiated monthly testing of National Communications System Emergency Notification System.
- Initiated weekly intelligence exchanges with National Coordinating Center Industry partners providing threats and vulnerabilities against the communications sector.
- Conducted regular video conference with Government of Canada counterparts providing situational awareness and sharing of communications and cyber threats and vulnerabilities.
- Completed installation and certification and accreditation of initial operational capability of secure conferencing capability Crisis Management System allowing for exchange of classified information with other Government locations.
- Initiated daily stand-up routine between National Coordinating Center and the United States Computer Emergency Readiness Team to provide operational awareness of events impacting both the communications and cyber infrastructure and to discuss physical and cyber threats to these inter-related sectors.
- Established the National Coordinating Center Watch as the Global Positioning System coordination focal point for outreach to the communications industry. This action was taken in partnership with United States Coast Guard Navigation Center to assist in understanding extent of visibility of Global Positioning System impacting events and provide situational awareness.
- Incorporated and integrated DHS Homeland Security Information Network capabilities into National Coordinating Center watch functions.
- Ensured SHARed RESources program operational readiness through completion of weekly/quarterly network checks and participation in nationwide exercises.
- Supported backup communications capabilities in response to California wildfires and Chino earthquake.
- Assisted Office of Science and Technology Policy in development of the Draft Joint Technology Requirements Board Standard Operating Procedures.

FY 2009 Critical Infrastructure Protection Planned Accomplishments

- Update and maintain the National Communications System portion of the integrated National Communications System/National Cyber Security Division Continuity of Operations Plan.
- Update Continuity of Operations and Continuity of Government Communication plans, policies and procedures, as required.
- Update emergency response plans, policies and procedures to reflect After Action/Lessons Learned reports from previous events.
- Conduct and document in-depth telecommunications assessments of high profile geographical areas in order to address and mitigate risks to the public network.
- Develop and implement a quantitative methodology to measure effectiveness of telecomm mitigation strategies.
- Produce a 2009 risk assessment of the threat to and vulnerability of the public communications Networks.
- Develop plans, policies and procedures to support Emergency Support Function #2 operations with regard to the 15 National Planning Scenarios and other high interest scenarios.

- Coordinate interagency participation to conduct Emergency Support Function #2 operations in the annual National Level Exercises, and support Emergency Support Function #2 participation in regional exercises.
- Support Emergency Support Function #2 participation in the New Madrid Seismic Zone workshops and exercises.
- Continue sponsorship of an annual Emergency Support Function #2 Training Conference.
- Conduct 6 to 9 distance learning teleconference training sessions for the Emergency Support Function #2 team members.
- Lead communications readiness efforts and outreach to Government and Industry partners in preparation for the communications infrastructure due to the mass gathering of transient users attending the 56th Inauguration activities in the mid-Atlantic region.
- Ensure operational readiness and validate information flow through participation in exercises such as CyberStorm, Top Officials, Pinnacle, Forward Challenge, National Response Framework Exercises, and other continuity readiness events.
- Provide annual review of existing internal National Coordinating Center plans to support national security and emergency preparedness activities; development of new internal plans based on identified requirements; and support external organizations in updating plans, such as the National Response Framework and National Incident Management System.
- Expand the National Coordinating Center and Communications Information Sharing and Analysis Center membership to keep pace with developing technologies and new entrants into communications sector.
- Foster sharing of threats and intelligence through maintenance of National Communications System Homeland Infrastructure Threat and Risk Analysis Center position and increasing the number of industry members with Top Secret/SCI clearances.
- Ensure operational readiness through weekly net checks; planning and coordination of one annual nationwide SHARED RESOURCES exercise; Support ad-hoc exercises as appropriate.
- Expand Radio-over-Internet Protocol network participation with Information Technology certification and deployment of Radio Over Internet Protocol to additional SHARED RESOURCES Control Station sites.

FY 2010 Critical Infrastructure Protection Planned Accomplishments

- Develop annual update of the National Communications System Continuity of Operations Plan
- Develop annual update of the Multi-Year Strategy and Management Plan for Continuity of Operations
- Support Emergency Support Function #2 participation in national security and emergency preparedness exercises before the 2010 Winter Olympics (January-February 2010).
- Provide Emergency Support Function #2 representatives to participate in the exercise development and conduct of the National Level Exercise 2010 (May 2010).
- Continue distance learning, teleconference training sessions for the Emergency Support Function #2 team members
- Plan and conduct the 2009 Emergency Support Function #2 Winter Conference (December 2009)
- Ensure operational readiness through participation in exercises such as CyberStorm, Top Officials, Pinnacle, Forward Challenge, National Response Framework Exercises, and other Continuity of Operations and Continuity of Government readiness events.

- Provide annual review of existing internal National Coordinating Center plans to support national security and emergency preparedness activities, development of new internal plans based on identified requirements, and support external organizations in updating plans such as the National Response Framework and National Incident Management System.
- Expand the National Coordinating Center and Communications Information Sharing and Analysis Center membership to keep pace with developing technologies and new entrants into communications sector.
- Improve information sharing and coordination between Government and Information Sharing and Analysis Center members by increasing members' participation in national security and emergency preparedness communications activities such as the annual National Coordinating Center Industry Partner Conference.
- Foster sharing of threats and intelligence through maintenance of the National Communications System Homeland Infrastructure Threat and Risk Analysis Center position and increasing the number of industry members with Top Secret/SCI clearances.
- Ensure operational readiness through weekly net checks; planning and coordination of one annual nationwide SHARED RESOURCES exercise.
- Expand Radio-over-Internet Protocol network participation with IT certification and deployment of Radio-over-Internet Protocol to additional SHARED RESOURCES Control Station sites.

**Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Program Performance Justification
(Dollars in thousands)**

PPA: NEXT GENERATION NETWORK

	Perm Pos	FTE	Amount
FY 2008 Actuals	0	0	\$ 17,248
FY 2009 Enacted	0	0	\$ 50,250
2010 Adjustments-to-Base	0	0	-
2010 Current Services	0	0	\$ 50,250
2010 Program Change	0	0	-
FY 2010 Request	0	0	\$ 50,250
Total Change 2009-2010	0	0	-

In FY 2010, NPPD requests \$50,250,000, for the Next Generation Networks, the same funding level as the FY 2009 enacted budget. These funds support the transition of national security/emergency preparedness communications systems from the public switch networks to the next generation networks.

CURRENT SERVICES PROGRAM DESCRIPTION

\$ thousands	Activity	FY 2009			FY 2010			Change		
		FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
	Salaries & Benefits	0	0	\$0	0	0	\$0	0	0	\$0
	<i>Next Generation Networks</i>			\$50,250			\$50,250			\$0
	Program Costs			\$50,250			\$50,250			\$0
	Total	0	0	\$50,250	0	0	\$50,250	0	0	\$0

The National Security and Emergency Preparedness Next Generation Networks Priority Service is a technology initiative to maintain and migrate legacy priority voice telecommunications services (Government Emergency Telecommunications Service and Wireless Priority Service) to the Next Generation Networks as the public switched network evolves from the circuit-based to Internet Protocol packet-based Next Generation Networks.

Since the mid-1990's, Government Emergency Telecommunications Service has provided emergency access and priority processing in the local and long-distance segments of the Public Switched Telephone Network. In order to provide Government Emergency Telecommunications Service on the Public Switched Telephone Network, augmentations and improvements to the network were needed. These were provided as a result of two primary American National Standards Institute standards¹. Government Emergency Telecommunications Service/Wireless Priority Service features have been implemented in both commercial local, wireless, and long-distance networks and inter-operate with international, government and private enterprise networks.

¹ T1.631-1993 Signaling System No. 7 (SS7) - High Probability of Completion (HPC) Network Capability, and ANSI standards T1.111-1996 Signaling System No 7 (SS7) - Message Transfer Part (MTP)

The commercial infrastructure of the Public Switched Telephone Network was built on circuit-switching technology. As the economic viability and technical feasibility of such advances as nationwide fiber optic networks, high-speed digital switching, and intelligent services are implemented in the existing communications infrastructure, the telecommunications industry must transition the communications networks from the legacy circuit-switched technology to the economically-attractive packet-based networks, termed the Next Generation Network.

The emerging network architecture to be used for providing public communications services in the Next Generation Network is provided by the Internet-Protocol Multimedia Subsystem.

The packet-switched Next Generation Network is much more data oriented than the legacy circuit-switched telephony networks. The Next Generation Network is designed to transmit packets of data from source to destination, without regard to the contents of these packets or to the underlying communications service (e.g., voice, video, text, etc.) that the data represent.

Executive Order 12472, *Assignment of National Security and Emergency Preparedness Telecommunications Functions*, (as amended by E.O. 13286, February 28, 2003) assigns the National Communications System the mission to coordinate the, “planning for and provision of national security and emergency preparedness communications for the Federal government under all circumstances, including crisis or emergency, attack, recovery and reconstitution. “In support of this mission, the National Communications System ensures that national communications architecture is developed that is:

- Responsive to the national security and emergency preparedness needs of the President and Federal organizations, including communications in support of national security leadership and continuity of government;
- Capable of satisfying priority communication requirements under all circumstances through use of commercial, government, and privately owned communications resources;
- Consistent, to the maximum extent practicable, with other national communications policies; and
- Incorporates the necessary combination of hardness, redundancy, mobility, connectivity, interoperability, restorability, and security to ensure the survivability of national security and emergency preparedness communications under all circumstances.

The National Communications System is leading the effort to develop and implement priority treatment capabilities in the packet-network environment, similar to the priority treatment capabilities currently available in the circuit-switched public switched telephone network. These efforts extend the Government Emergency Telecommunications Service voice telephony features into the new infrastructure and take advantage of the high bandwidths offered by the next-generation networks. Current priority telecommunications features and services will disappear as circuit-based segments of the networks are phased out, so the Next Generation Networks national security and emergency preparedness investment is needed to maintain current priority services and to eventually add priority data services to support national security and emergency preparedness user requirements.

National Communications System’s objective has been to ensure that national security and emergency preparedness requirements continue to be met through the period of convergence and deployment of these packet-based networks. Ensuring that National Communications System’s priority national security and emergency preparedness communications sessions have a high probability of being established and maintained, particularly in a network that might be damaged and congested, requires special features in each of the network's layers: The authority and identity of the originator of a priority

session are verified by an application server (*service layer*) prior to connecting the session. The session is established with special priority features (*control layer*) and the payload is transported with elevated priority through the network (*transport layer*).

In anticipation of this emerging migration of the public, circuit-switched telephony networks to Internet Protocol-based packet infrastructure, the National Communications System embarked on an effort to develop and implement priority capabilities in the packet-network environment similar to the priority capabilities currently available in the circuit-switched Public Switched Telephone Network. These efforts currently address voice telephony (Voice-over-Internet Protocol), thus extending the existing Government Emergency Telecommunications Service features into the new infrastructure. In recent years the National Communications System has been prototyping and analyzing alternate network configurations designed to achieve these objectives. These prototypes, based on existing and emerging international standards and on commercially-available networking equipment, have been used to test and demonstrate several methods of authorizing and processing priority sessions in the next-generation, Internet Protocol-based network.

FY 2008 Next Generation Network Accomplishments

- Provided proof of Concept Priority for Next Generation Network Video Teleconferencing Demonstrations to establish priority point-to-point video and multi-point video to include priority invocation and methods for user authentication and authorization.
- Developed Global Multi-Service Forum Interoperability 2008 test scripts for national security and emergency preparedness feature interoperability testing in Next Generation Networks via trunks between Europe and Asia.
- Initiated development of Internet Protocol Multimedia Subsystem Access national security and emergency preparedness Industry Requirements necessary to migrate Government Emergency Telecommunications Service/Wireless Priority Service functionality onto carriers' Next Generation Networks.
- Provided contributions leading to standardization of Internet Protocol Multimedia Subsystem Core national security and emergency preparedness features in the Alliance for Telecommunications Industry Solutions, Internet Engineering Task Force, Third Generation Partnership Project, Third Generation Partnership Project 2, and International Telecommunications Union.
- Began contributions leading to standardization of Internet Protocol Multimedia Subsystem Access national security and emergency preparedness features in the Alliance for Telecommunications Industry Solutions, Internet Engineering Task Force, Third Generation Partnership Project, Third Generation Partnership Project 2, and International Telecommunications Union.
- Initiated service engineering requirements development of Internet Protocol Multimedia Subsystem Core national security and emergency preparedness features for Government Emergency Telecommunications Service/Special Routing Arrangement Service and Wireless Priority Service.
- Tested Government Emergency Telecommunications Service/Wireless Priority Service (Segment 3) packet priority enhancements in AT&T's full operating capability internet-protocol Common Backbone network.

FY 2009 Next Generation Network Planned Accomplishments

- Develop NGN Standards in support of NGN priority voice-over-IP.
- Complete industry requirements core document for NGN priority voice services and continue development of Access Industry requirements.
- Develop NGN priority features in nationwide wireline network equipment.
- Develop and implement network design demonstration of priority wireline network equipment features including performance metrics and monitoring plan.
- Plan, test and deploy NGN priority enhancements in a National Wireline Network to reach Limited Capability (Phase I).
- Initiate work with industry to develop and implement NGN security measures, including survivability enhancements, and user identification management and authentication.
- Deploy Government Emergency Telecommunications Service/Special Routing Arrangement Service (Segment 3) packet priority enhancements in AT&T's full operating capability internet-protocol Common Backbone network.
- Complete development of Internet Protocol Multimedia Subsystem Access national security and emergency preparedness Industry Requirements necessary to migrate Government Emergency Telecommunications Service/Wireless Priority Service functionality onto carriers' Next Generation Networks.
- Complete standardization of Internet Protocol Multimedia Subsystem Core national security and emergency preparedness Industry Requirements for priority Voice over Internet protocol.

FY 2010 Next Generation Network Planned Accomplishments

- Develop NGN Standards in support of NGN priority voice-over-IP.
- Complete industry requirements Access document for NGN priority voice services.
- Develop NGN priority features in nationwide wireline network equipment.
- Conduct network design demonstrations of priority wireline network equipment features including performance metrics and monitoring plan.
- Complete planning, testing and deployment of NGN priority enhancements in a National Wireline Network to reach Limited Capability (Phase I).
- Conduct planning, architecture and deployment of NGN priority capabilities in two additional wireline service provider networks in support of the IOC milestone.
- Conduct planning and design of NGN voice-over-IP wireless prototype, and add priority data and video features.
- Conduct planning and architecture of priority NGN voice-over-IP features in nationwide wireless carriers.
- Continue NGN engineering assessments and demonstrations of NGN priority data and video services.
- Work with industry to develop and implement NGN security measures, including survivability enhancements, national security threats, and user identification management and authentication.

**Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Program Performance Justification
(Dollars in thousands)**

PPA: NATIONAL COMMAND AND COORDINATION CAPABILITY

	Perm Pos	FTE	Amount
FY 2008 Actuals	0	0	\$ -
FY 2009 Enacted	16	9	\$ 5,963
2010 Adjustments-to-Base	0	0	\$ -
2010 Current Services	16	9	\$ 5,963
2010 Program Change	-16	-9	\$ (5,963)
FY 2010 Request	0	0	\$ -
Total Change 2009-2010	(16)	(9)	\$ (5,963)

* In FY 2008, \$3,831,000 and 1 FTE/2 positions for the National Command and Coordination Capability were appropriated in Priority Telecommunications Service PPA.

In FY 2010, the DHS requests no funding, positions, or FTE for the National Command and Coordination Capability and is discontinuing this program.

CURRENT SERVICES DESCRIPTION

\$ thousands	FY 2009			FY 2010			Change		
	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits	9	16	\$1,509	0	0	\$0	-9	-16	-\$1,509
<i>National Command & Coordination Capability</i>			\$4,454			\$0			-\$4,454
Program Costs			\$4,454			\$0			-\$4,454
Total	9	16	\$5,963	0	0	\$0	-9	-16	-\$5,963

The scope of the National Command and Coordination Capability's mission encompassed a secure and non-secure, networked communications capability to support civil responses for domestic incidents requiring a coordinated Federal response.

This program is being discontinued. The Federal government, under National Communications System 3-10, is already purchasing secure and non-secure communications capabilities for continuity purposes in support of incident response and performance of primary mission essential functions. Additionally, there are considerable Federal communications capabilities in the field that can be leveraged during an event, and these existing, routinely used systems can be leveraged, as they are today, during a major incident.

**Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Program Performance Justification
(Dollars in thousands)**

PPA: OFFICE OF EMERGENCY COMMUNICATIONS (OEC)

	Perm Pos	FTE	Amount
FY 2008 Actuals	37	6	\$ 31,103
FY 2009 Enacted	47	42	\$ 38,300
2010 Adjustments-to-Base	5	10	\$ 1,931
2010 Current Services	52	52	\$ 40,231
2010 Program Change	0	0	\$ 3,829
FY 2010 Request	52	52	\$ 44,060
Total Change 2009-2010	5	10	\$ 5,760

In FY 2010, NPPD requests \$44,060,000 for the Office of Emergency Communications, including 52 positions/FTE. This represents an increase of \$5,760,000 over the FY 2009 enacted budget of \$38,300,000. These funds will support and promote the ability of emergency response providers and Federal Officials to continue to communicate in the event of natural disasters, acts of terrorism, or other manmade disaster.

The FY 2010 request includes adjustments-to-base for pay inflation for \$196,000; annualization of \$675,000 for 5 positions received in FY 2009; 5 additional Federal positions offset by \$665,000 of program/contract dollars, and an increase of \$1,060,000 for facilities and rent as a transfer from NPPD Management and Administration. A program change of \$3,829,000 is requested to support the implementation of the National Emergency Communications Plan.

CURRENT SERVICES PROGRAM DESCRIPTION

Office of Emergency Communications	FY 2009 Enacted	FY 2010 Request
Personnel Costs	\$ 7,690	\$ 9,227
Program Costs	\$ 30,609	\$ 34,834
Total Costs	\$ 38,299	\$ 44,061

In 2007, Congress created the Office of Emergency Communications to work with emergency responders and other stakeholders at all levels of government to improve interoperable communications throughout the emergency response community. The Office of Emergency Communications supports and promotes the ability of emergency responders and government officials to continue to communicate in the event of natural disasters, acts of terrorism, or other man-made disasters, and works to ensure, accelerate, and attain interoperable and operable emergency communications nationwide.

The Office of Emergency Communications' vision was developed through work with Federal, State, local, Tribal, and private sector stakeholders culminating in the National Emergency Communications Plan (July 2008) – the first National plan to coordinate emergency communications efforts. The

National Emergency Communications Plan sets a high-level course and outlines much of the work the Office of Emergency Communications, other DHS components, Federal Agencies, and stakeholders across the Nation will undertake over the next three years to improve emergency communications. The Office of Emergency Communications' strategy is based upon the vision for emergency communications set forth in the National Emergency Communications Plan - to ensure that emergency responders can communicate as needed, on demand, and as authorized, at all levels of government and across all disciplines. Emergency communications encompass operability, interoperability, and the continuity of communications across a full range of current and future capabilities for the exchange of voice, data, and video information.

In order to achieve the vision outlined above and to implement the National Emergency Communications Plan, the Office of Emergency Communications developed six key goals it will pursue to improve emergency communications and to support the broader strategic goals of DHS.

- Goal 1: Foster coordination between Federal, State, local, Tribal, and private sector emergency communications stakeholders.
- Goal 2: To improve emergency communications capability through targeted interaction with Federal, State, local, and Tribal agencies.
- Goal 3: Target Federal grants to the most critical emergency communications needs of States and localities in alignment with the National Emergency Communications Plan.
- Goal 4: Develop policies and plans that guide, promote, and enhance efforts to improve emergency communications nationwide.
- Goal 5: Develop innovative methods for addressing emergency communications gaps.
- Goal 6: Maintain a world-class organization to address the needs of the emergency response community.

To achieve its mission, goals, and objectives, the Office of Emergency Communications organized itself to be flexible and responsive to its users' needs, yet capable of delivering consistent, effective services.

The Office of the Director provides leadership, direction, and oversight for Office of Emergency Communications activities in support of its mission, and serves as the organization's principal advocate before Congress; other Federal, State, local, and Tribal agencies; key stakeholders; and the public. Three Divisions reporting to the Director carry out the Office's programmatic responsibilities, as follows:

Federal Communications Services. This division engages with Federal Departments and Agencies to improve emergency communications coordination, including policy development, investment planning, and direct assistance.

Multi-Jurisdictional Communications Services. This division engages with State, local and Tribal stakeholders to deliver targeted technical assistance.

Policy, Planning, and Analysis. This division identifies and assesses interoperable emergency communications capabilities and encourages Federal grants to be targeted to emergency responder needs, assistance, and capability development efforts to address gaps and challenges.

Crosswalk of FY 2009 Enacted Structure to the FY 2010 Congressional Justification Structure

In FY 2010, NPPD requests a change in budget structure to better align appropriated resources by five service offerings: 1) Coordination, 2) Demonstration Projects, 3) Grants, 4) Policy, and 5) Technical Assistance. NPPD believes that optimal mission success will be reached through a service offering model while maintaining organizational structure. The following exhibit provides a crosswalk of our proposed budget structure.

FY 2009 Enacted - FY 2010 PB Request Crosswalk				FY 2010 Request	
FY 2009 Congressional Budget Structure	10 Activity	FTE	Enacted	Request	
Office of the Director (OD)		5	\$ 1,150		
Salaries and Benefits	SAL		\$ 988		
Management and Administration	M&A		\$ 162		
Policy Planning and Analysis (PPA)		7	\$ 6,782		
Salaries and Benefits	SAL		\$ 1,112		
Management and Administration	M&A		\$ 797		
Interoperable Communications Grant Oversight	GR		\$ 120		
National Tools and Information Systems	CO		\$ 103		
Policy, Requirements, and Coordination	CO		\$ 1,013		
Policy, Requirements, and Coordination	GR		\$ 337		
National Engagement	PO		\$ 1,090		
National Assessments and Planning	PO		\$ 2,210		
Multi-Jurisdictional Communications Services (MCS)		21	\$ 17,579		
Salaries and Benefits	SAL		\$ 3,901		
Management and Administration	M&A		\$ 2,404		
National Tools and Information Systems	TA		\$ 1,465		
Stakeholder Engagement	CO		\$ 500		
Technical Assistance	TA		\$ 7,784		
Special Projects and Coordination	TA		\$ 1,022		
Special Projects and Coordination	DP		\$ 503		
Federal Communications Services (FCS)		9	\$ 12,788		
Salaries and Benefits	SAL		\$ 1,689		
Management and Administration	M&A		\$ 1,294		
Administrative Support	CO		\$ 452		
Participatory Engagement/Conferences	CO		\$ 268		
Emergency Communications Preparedness Center (ECPC)	CO		\$ 500		
Wireless Capabilities Development	TA		\$ 3,783		
Wireless Capabilities Development	DP		\$ 3,782		
Federal Spectrum Management	CO		\$ 170		
Federal Partners for Interoperable Communications (FPIC)	CO		\$ 850		
Total Requested Budget		42	\$ 38,300		
FY 2010 Congressional Budget Structure					
Office of the Director (OD)		5	\$ 1,150	\$ 2,235	
Salaries and Benefits (SAL)			\$ 988	\$ 1,146	
Program Costs			\$ 162	\$ 1,089	
Management and Administration (M&A)			\$ 162	\$ 29	
Rent/Facilities			0	1060	
Policy Planning and Analysis (PPA)		7	\$ 6,782	\$ 7,811	
Salaries and Benefits (SAL)			\$ 1,112	\$ 1,273	
Program Costs			\$ 5,670	\$ 6,538	
Management and Administration (M&A)			\$ 797	\$ 664	
Policy (PO)			\$ 3,300	\$ 4,300	
Coordination (CO)			\$ 1,116	\$ 1,116	
Grants (GR)			\$ 457	\$ 458	
Multi-Jurisdictional Communications Services (MCS)		21	\$ 17,579	\$ 21,184	
Salaries and Benefits (SAL)			\$ 3,901	\$ 4,942	
Program Costs			\$ 13,678	\$ 16,242	
Management and Administration (M&A)			\$ 2,404	\$ 2,138	
Coordination (CO)			\$ 500	\$ 500	
Technical Assistance (TA)			\$ 10,271	\$ 13,100	
Demonstration Projects (DP)			\$ 503	\$ 504	
Federal Communications Services (FCS)		9	\$ 12,788	\$ 12,831	
Salaries and Benefits (SAL)			\$ 1,689	\$ 1,865	
Program Costs			\$ 11,099	\$ 10,966	
Management and Administration (M&A)			\$ 1,293	\$ 1,160	
Policy (PO)			\$ 2,240	\$ -	
Coordination (CO)			\$ 3,783	\$ 2,240	
Technical Assistance (TA)			\$ 3,783	\$ 3,783	
Demonstration Projects (DP)			\$ -	\$ 3,783	
Total Requested Budget		42	\$ 38,300	\$ 44,060	

Office of the Director

\$ thousands	FY 2009			FY 2010			Change		
	Activity	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP
Salaries & Benefits	5	5	\$988	6	6	\$1,146	1	1	\$158
<i>Management & Administration/Working Capital Fund</i>			\$162			\$29			-\$133
<i>Facilities</i>			\$0			\$1,060			\$1,060
Program Costs			\$162			\$1,089			\$927
Total	5	5	\$1,150	6	6	\$2,235	1	1	\$1,085

The Office of the Director provides leadership, direction, and oversight of the Office of Emergency Communications activities conducted to accomplish this mission, and serves as the organization's principal advocate before Congress, the Nation's State, local and Tribal governments, other Departments and Agencies, key stakeholders, and the public.

Policy Planning and Analysis

\$ thousands	FY 2009			FY 2010			Change		
	Activity	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP
Salaries & Benefits	7	7	\$1,112	8	8	\$1,273	1	1	\$161
<i>Management & Administration/Working Capital Fund</i>			\$797			\$664			-\$133
<i>Policy</i>			\$3,300			\$4,300			\$1,000
<i>Coordination</i>			\$1,116			\$1,116			\$0
<i>Grants</i>			\$457			\$458			\$1
Program Costs			\$5,670			\$6,538			\$868
Total	7	7	\$6,782	8	8	\$7,811	1	1	\$1,029

Policy, Planning, and Analysis identifies challenges facing the advancement of interoperable emergency communications capabilities and develops policies and strategies to meet these challenges. Policy, Planning and Analysis also coordinates and prioritizes Federal grants assistance for the advancement of interoperable emergency communications capabilities. Responsibilities include coordinating with relevant Federal Agencies and Departments, State, local and Tribal governments, emergency response providers, and the private sector to establish national emergency communications policies. Policy, Planning, and Analysis provides a national assessment of existing and emerging emergency communications vulnerabilities in coordination with the Federal and Multi-Jurisdictional Communications Services Divisions. The Division develops and manages the implementation of the National Emergency Communications Plan establishing objectives and methods to address emergency communications challenges and vulnerabilities. Additionally, Policy, Planning, and Analysis works with the Federal Emergency Management Agency to develop emergency communications grant program guidance and evaluate progress achieved through grant programs. Policy, Planning, and Analysis ensures that Federal assistance is optimally targeted at addressing existing and emerging interoperable emergency communications challenges. Policy, Planning, and Analysis also prepares a periodic National Communications Capabilities Report, provides outreach to partners in industry, and manages the creation of a web portal with communications information for emergency responders at Federal, State, and local levels.

FY 2008 Policy Planning and Analysis Accomplishments

- Developed the National Emergency Communications Plan, the Nation's first strategic plan targeted at improving emergency response communications. This Plan complements

overarching homeland security and emergency communications legislation, strategies, and initiatives, and was developed through a collaborative effort with more than 150 public and private sector emergency communications officials at all levels of government and across disciplines.

- Established, in coordination with Federal Emergency Management Agency, the grant selection criteria to reinforce national emergency communications goals and objectives through the release of the grant guidance and application kit for the Interoperable Emergency Communications Grant Program. The FY 2008 Interoperable Emergency Communications Grant Program guidance made progress in governance, standard operating procedures, and training and exercises.

FY 2009 Policy Planning and Analysis Planned Accomplishments

- Develop foundational criteria to demonstrate the accomplishment of National Emergency Communications Plan Goal 1 by 2010 (90 percent of all high-risk urban areas are able to demonstrate response-level emergency communications² within 1 hour for routine events involving multiple jurisdictions and agencies).
- Develop foundational criteria to evaluate progress toward National Emergency Communications Plan Goal 1 by 2010 (90 percent of all high-risk urban areas are able to demonstrate response-level emergency communications within 1 hour for routine events involving multiple jurisdictions and agencies).
- Lead efforts to plan a national conference of Federal, State, local and Tribal emergency responders and government officials.

FY 2010 Policy Planning and Analysis Planned Accomplishments

- Improve emergency communications response relationships and build upon accomplishments of FY 2009 by reviewing local incident after action reports from the FY 2009 and FY 2010 Homeland Security Exercise and Evaluation Program to measure progress in achieving National Emergency Communications Plan Goal 1.
- Develop a self-assessment tool to facilitate measuring nationwide progress in achieving Goal 2 by 2011 (75 percent of non-Urban Areas Security Initiative jurisdictions are able to demonstrate response-level emergency communications within 1 hour for routine events involving multiple jurisdictions and agencies).
- Develop criteria required to measure progress in achieving Goal 3 of the National Emergency Communications Plan by FY 2013 (75 percent of all jurisdictions are able to demonstrate response-level emergency communications in the event of a significant incident, as outlined in national planning scenarios, within 3 hours). Policy Planning and Analysis will develop grant guidance, in collaboration with Federal Emergency Management Agency for Interoperable Emergency Communications Grant Program and other Departmental grant programs for emergency communications, to ensure that grant selection criteria continues to reflect strategic objectives.
- Prepare bi-annual progress reports for Congress on progress in implementing the National Emergency Communication Plan. To demonstrate continual progress achieved by Federal grants on implementation of Statewide Communications Interoperability Plans, the Policy, Planning and Analysis will prepare Statewide Communications Interoperability Plans and Interoperable Emergency Communications Grant Program progress reports for Congress.

²Response-level emergency communications is the capacity of individuals with primary operational leadership responsibility to manage resources and make timely decisions during a multi-agency incident without technical or procedural communications impediments

Multi-Jurisdictional Communications Services

\$ thousands	Activity	FY 2009			FY 2010			Change		
		FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits		21	26	\$3,901	28	28	\$4,942	7	2	\$1,041
	<i>Management & Administration/Working Capital Fund</i>			\$2,404			\$2,138			-\$266
	<i>Coordination</i>			\$500			\$500			\$0
	<i>Technical Assistance</i>			\$10,271			\$13,100			\$2,829
	<i>Demonstration Projects</i>			\$503			\$503			\$0
	Program Costs			\$13,678			\$16,241			\$2,563
	Total	21	26	\$17,579	28	28	\$21,183	7	2	\$3,604

Multi-Jurisdictional Communications Services establishes and administers services delivered to advance State, local, Tribal, and multi-jurisdictional interoperable emergency communications capabilities. Multi-Jurisdictional Communications Services focuses on providing the Office of Emergency Communication’s technical assistance and stakeholder engagement efforts through the Interoperable Communications Technical Assistance Program and SAFECOM programs. Technical assistance provides direct support through the development and delivery of training, tools, and on-site assistance to Federal, State, and local agencies for the implementation of the National Emergency Communications Plan and the advancement of public safety interoperable emergency communications capabilities. Through the SAFECOM program, the Office of Emergency Communications develops tools, best practices, and methodologies that emergency response agencies can use to enhance their interoperability efforts. The stakeholder engagement effort focuses on conducting outreach and consensus building activities with State, local, and Tribal government officials and national practitioner organizations to exchange best-practices and build consensus for common challenges.

FY 2008 Multi-Jurisdictional Communications Services Accomplishments

- Established 56 Statewide Communication Interoperability Plans and drafted 56 Statewide Communication Interoperability Plans Implementation Reports. Supported the development and approval of all 56 Statewide Communication Interoperability Plans —prior to this accomplishment, only eight States had strategic plans for interoperable communications. The implementation reports identify initiatives that States and territories are undertaking to advance interoperable emergency communications and the reports will help the Office of Emergency Communications to prioritize and target technical assistance offerings to fill interoperable emergency communications gaps.
- Completed 144 technical assistance requests to State, local, and Tribal governments with regard to interoperable communications, including support to States and territories in the development of Public Safety Interoperable Communications Grant Program Investment Justifications.
- Coordinated with the SAFECOM Emergency Communications and Emergency Response Council stakeholder groups to validate the National Emergency Communications Plan prior to finalizing publication.

FY 2009 Multi-Jurisdictional Communications Services Planned Accomplishments

- Provide guidance and technical assistance to States and territories to support the implementation of Statewide Communication Interoperability Plans and alignment of Statewide Communication Interoperability Plans to the National Emergency Communications Plan.

- Provide Statewide Communication Interoperability Plan Implementation Workshops to support States and territories in establishing concrete milestones for advancing interoperable emergency communications and identify priorities for the Office of Emergency Communications technical assistance services.
- Deploy Communications Unit Leader Training/Instructor Training that will ensure every State and territory has qualified personnel capable of coordinating on-scene emergency communications during a multi-jurisdictional response.
- Create the Statewide Interoperability Coordinators Council, which will enable Statewide Interoperability Coordinators to leverage each other to improve emergency communications in their respective States and territories by sharing best practices and lessons learned.

FY 2010 Multi-Jurisdictional Communications Services Planned Accomplishments

- Provide guidance and technical assistance to States and territories to support the implementation of Statewide Communication Interoperability Plans and alignment of Statewide Communication Interoperability Plans to the National Emergency Communications Plan.
- Deploy Communications Unit Technician Training in order to ensure that in the event of a multi-discipline, multi-jurisdictional response event, on site response practitioners are trained to a similar baseline. The Communications Unit Technician is responsible for assisting with the technical activities of incident response.
- Coordinate with the Statewide Interoperability Coordinator Council and Metropolitan Area Working Group to collect data related to the National Emergency Communications Plan Goal 1 (90 percent of all high-risk urban areas are able to demonstrate response-level emergency communications within 1 hour for routine events involving multiple jurisdictions and agencies).

Federal Communications Services

\$ thousands	FY 2009			FY 2010			Change			
	Activity	FTE	FTP	Enacted	FTE	FTP	Request	FTE	FTP	\$
Salaries & Benefits		9	9	\$1,689	10	10	\$1,865	1	1	\$176
<i>Management & Administration/Working Capital Fund</i>				\$1,293			\$1,160			-\$133
<i>Policy</i>				\$2,240			\$0			-\$2,240
<i>Coordination</i>				\$3,783			\$2,240			-\$1,543
<i>Grants</i>				\$3,783			\$3,783			\$0
<i>Demonstration Projects</i>							\$3,783			\$3,783
Program Costs				\$11,099			\$10,966			-\$133
Total		9	9	\$12,788	10	10	\$12,831	1	1	\$43

Federal Communication Services leads the Office of Emergency Communications efforts to coordinate and align Federal emergency communications programs and initiatives with national emergency communications goals. Through the Emergency Communications Preparedness Center and Joint Wireless Programs, the Office of Emergency Communications is establishing a forum for Federal Departments and Agencies to share information and coordinate related programs with the objectives of increasing awareness and reducing duplication of effort. The Office of Emergency Communications is connecting Federal emergency communications stakeholders with their State, local, Tribal, and private sector counterparts through national and regional-level forums, such as the Federal Partnership for Interoperable Communications and Southwest Border Communications Working Group. In addition, the Office of Emergency Communications is sponsoring workshops in regions critical to homeland security (e.g., northern border Cross-Border Interoperability Workshop) to help develop solutions to cross-border communications interoperability challenges. This collaboration helps to improve

interoperability, while also helping maximize the use of scarce funding resources through the identification of sharing opportunities.

Federal Communication Services provides direct assistance to Federal Departments and Agencies with critical interoperability needs. The Office of Emergency Communications is leading efforts to demonstrate innovative solutions for improving cross-border interoperability through the development of the Cross-Border Security Communications Network and Border Interoperability Demonstration Projects. The outputs of these demonstrations will include repeatable approaches for improving cross-border interoperability, and models for addressing technical, operational, and policy challenges. The Office of Emergency Communications also provides direct, field assistance to Federal Agencies with an expressed interoperability need.

FY 2008 Federal Communications Services Accomplishments

- Finalized the Joint Wireless Programs Memorandum of Understanding among DHS and the Departments of Justice and Treasury, which superseded the previous Integrated Wireless Network Memorandum of Understanding allowing for coordination under Joint Wireless Programs. This program will ensure that common, standards-compliant technologies are procured, thereby fostering communications interoperability among Federal Agencies for more effective and efficient enforcement activities, and enabling communications interoperability with State and local partners.
- Coordinated Federal requirements into the development of key technology standards through the Federal Partnership for Interoperable Communications. The Federal Partnership for Interoperable Communications serves as a coordination body to address technical and operational issues relevant to interoperability within the Federal wireless communications community.
- Facilitated the integration of Federal users onto the Wyoming communications system by developing a low cost technical solution and negotiating effective spectrum use to address frequency gaps. This project provided an innovative solution to sharing scarce spectrum resources that can be duplicated throughout the Nation.
- Developed the Action Plan for Improving Cross Border Communications, which was approved by the High Level Consultative Commission on Telecommunications Principals in May 2008. Federal Communication Services co-chairs the U.S.-Mexico High Level Consultative Commission on Telecommunications Security Communications Task Group, which is tasked with implementing the Action Plan. The solution will transform bi-national emergency response capabilities by establishing 10 permanent microwave links between existing U.S. Customs and Border Protection and Mexican C4 Center sites.
- Facilitated the establishment of the Emergency Communications Preparedness Center Working Group to draft the charter, mission, and scope. The Emergency Communications Preparedness Center is legislatively mandated to serve as the central conduit for intergovernmental emergency communications information sharing.

FY 2009 Federal Communications Services Planned Accomplishments

- Officially establish the Emergency Communications Preparedness Center following final approval of the charter by all 22 member Departments and Agencies.

- Implement the public Emergency Communications Preparedness Center Clearinghouse on DHS.gov. This activity will eliminate duplication of emergency communications efforts and provide users access to a document library and a centralized information source.
- Coordinate with the DHS Wireless Working Group, the Departments of Justice and Treasury to enact the Joint Wireless Program governance structure, determine DHS emergency communications priorities and identify commonalities with external agencies.
- Co-convene the first U.S.-Canada Cross Border Workshop in May 2009. This workshop will address key challenges to cross-border interoperability.
- Coordinate with more than 50 agencies to develop the Integrated Interoperable Communications Plan for the 2010 Winter Olympic and Paralympic Games.

FY 2010 Federal Communications Services Planned Accomplishments

- Implement the final phase of the U.S.-Mexico High Level Consultative Commission on Telecommunications Security Communications Task Group Action Plan. This phase includes completing system implementation and finalization of bi-national and domestic standard operating procedures.
- Coordinate with the DHS Wireless Working Group and the Departments of Justice and Treasury to determine DHS emergency communications priorities, identify commonalities with external agencies, and fund identified priorities through Interagency Agreements with DHS Components.
- Implement the secure Emergency Communications Preparedness Center Clearinghouse. This activity will increase intergovernmental information sharing regarding emergency communications.
- Convene two Border Interoperability Workshops in partnership with Mexican and Canadian officials to address key challenges to cross-border interoperability.

IV. Program Justification of Changes

**Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Justification of Program Changes
(Dollars in Thousands)**

Program Change 1: Vulnerability Assessments

Strategic Goal(s) & Objective(s): Goal 3: Protect Critical Infrastructure; Objective 3.1 Protect and Strengthen the Resilience of the Nation’s Critical Infrastructure and Key Resources

PPA: Identification and Analysis

Program Increase: Positions: 0 FTE: 0 Dollars: \$3,000,000

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							16	16	23,522
Program Increase							0	0	3,000
Budget Request	33	33	15,936	33	33	23,409	16	16	26,522

Description of Item

The Vulnerability Assessment Project’s activities are directed by Homeland Security Presidential Directive-7, which call for assessing critical infrastructure and key resource vulnerabilities and consequences. The Vulnerability Assessment Project is an important project required to execute Infrastructure Protection’s risk reduction mission. Current efforts cover the spectrum of field teams conducting single Site Assistance Visits and Buffer Zone Plans to larger-scale assessments of systems and regions via the Regional Resiliency Assessment Program. The Computer-Based Assessment Tool complements these assessment tools by integrating assessment data with geospatial video, providing planners with a computer-based, cross-platform tool that enables informed decisions and quicker incident response. A regionally-based vulnerability assessment capability will provide DHS with the ability to more effectively target grant and other programs ensuring the most effective impact on risk reduction to the region rather than just individual assets. The ability to collect this data in a more holistic manner will provide more accurate information used in sector-based Common Vulnerabilities, Protective Measures, and Potential Indicators of Terrorist Activities reports.

The Energy Policy Act of 2005 (Section 657, Department of Homeland Security Consultations) requires Infrastructure Protection to perform security consultation for Nuclear Regulatory Commission new nuclear reactor license applications. Through the Vulnerability Assessment Project, NPPD provides security consultations for areas where new nuclear reactors will be located. As part of the application process for new nuclear reactor licenses, NPPD provides its findings in reports to the

Nuclear Regulatory Commission that describes assessment results within reviewed areas and identify potential vulnerabilities and threats to proposed new reactors.

Additionally, the Vulnerability Assessment Project established the Regional Resiliency Assessment Program, which is a cooperative government–led, interagency assessment of specific critical infrastructure and key resources and a regional analysis of the surrounding infrastructure. The emphasis for the Regional Resiliency Assessment Program will be on infrastructure “clusters,” regions, and systems in major metropolitan areas, identified through application of risk-based criteria. The goal of the Regional Resiliency Assessment Program is to reduce the Nation’s vulnerability to natural and manmade threats by evaluating critical infrastructure and key resources on a regional level and coordinating protection efforts to enhance the resiliency and security of their surrounding communities and geographic regions.

Justification

The Energy Policy Act of 2005, Section 657, Department Of Homeland Security Consultation, states “that before issuing a license for a utilization facility, the Nuclear Regulatory Commission shall consult with the Department of Homeland Security concerning the potential vulnerabilities of the location of the proposed facility to terrorist attack.” These funds will support Infrastructure Protection’s consultations which are provided in a report to the Nuclear Regulatory Commission to be used in the new reactor license process, ensuring that the Commission has a comprehensive security understanding of the area in which the new reactor will be located.

Reducing the risk to our Nation’s most critical Tier 1 and Tier 2 critical infrastructure and key resource requires the capability to assess systems, interdependencies, and cascading effects. Infrastructure Protection’s current vulnerability assessment methodology is asset centric, focusing on our Nation’s highest risk Tier 1 and Tier 2 critical infrastructure and key resources. During DHS’ initial years of collecting data and conducting assessments, this approach has been logical and sufficient. Infrastructure Protection is now maturing its vulnerability assessment methodology from an asset based approach to a cross-sector, regional approach. This will permit identification and prioritization of vulnerabilities and consequences of multiple assets within the region and coordination of Infrastructure Protection protective programs to reduce risk.

Impact on Performance (Relationship of Increase to Strategic Goals)

Funding will support new Nuclear Reactor Security Consultations while retaining vulnerability assessment activity levels in other programs within this office. The increase in funds will ensure that proper resources are committed to conducting these security consultations and that the requirements are fully met without compromise to the quality or timeliness of support.

Funds also will support the Regional Resiliency Assessment Program and will have an immediately beneficial impact through securing subject matter experts in the fields of civil, structural, petroleum, electrical, and other types of engineering who have the necessary understanding of systems-based vulnerabilities with regional impacts in sectors such as electricity, telecommunications, water, and gas. These subject matter experts will provide the analysis that will be critical to the Regional Resiliency Assessment Program’s ability to evaluate the resiliency of these systems, identify vulnerabilities, and contribute to a regional analysis. Determining the full range of interdependencies and potential effects improves the effectiveness of prevention, protection, response and recovery efforts from the

consequences of a terrorist attack or a natural disaster. These system-based assessments would lead to better multi-jurisdictional planning, targeting of grant funds and other protection programs.

FY2010 Milestone/Schedule

- Conduct approximately 12 New Nuclear Reactor Security Consultations in coordination with the Nuclear Regulator Commission's new nuclear reactor license process. (Dependent on Nuclear Regulator Commission process).
- Conduct 6 Regional Resiliency Assessment Projects in coordination with Federal, State, and local officials, and asset owners and operators.

**Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Justification of Program Changes
(Dollars in Thousands)**

Program Change 2: National Infrastructure Simulation and Analysis Center

Strategic Goal(s) & Objective(s): **Goal 3: Protect Critical Infrastructure; Objective 3.1** Protect and Strengthen the Resilience of the Nation’s Critical Infrastructure and Key Resources

PPA: Identification and Analysis

Program Decrease: Positions: 0 FTE: 0 Dollars: (\$4,000,000)

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	20,000
Program Increase							0	0	(4,000)
Budget Request	0	0	20,000	0	0	20,000	50	50	16,000

Description of Item

National Infrastructure Simulation and Analysis Center was established to provide a comprehensive capability to assess the national system of interdependent infrastructures through advanced simulation and modeling. National Infrastructure Simulation and Analysis Center conducts analyses of technical, economic, and national security implications of critical infrastructure and key resources protection, mitigation, response, and recovery options. To do this, National Infrastructure Simulation and Analysis Center conducts gap analysis using modeling and simulation to predict the performance of infrastructure under abnormal conditions (e.g., natural and manmade incidents), the effects of interdependencies, and the dynamics of their interconnections.

Justification

This programmatic decrease reflects a reduction of \$4,000,000 for the National Infrastructure Simulation and Analysis Center efforts.

Impact on Performance (Relationship of decrease to Strategic Goals)

The reduction of \$4,000,000 for the National Infrastructure Simulation and Analysis Center will have no impact on priority modeling activities or on the ability to perform maintenance to maintain existing modeling tools.

**Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Justification of Program Changes
(Dollars in Thousands)**

Program Change 3: National Infrastructure Protection Plan Management and Critical Infrastructure and Key Resources Partnerships

Strategic Goal(s) & Objective(s): Goal 3: Protect Critical Infrastructure: Objective 3.1 Protect and Strengthen the Resilience of the Nation’s Critical Infrastructure and Key Resources

PPA: Coordination and Information Sharing

Program Decrease: Positions: 0 FTE: 0 Dollars: (\$11,000,000)

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							50	50	46,724
Program Increase							0	0	(11,000)
Budget Request	37	37	50,364	40	40	46,587	50	50	35,724

Description of Item:

Homeland Security Act of 2002 Title II, Section 201 requires the development of the comprehensive national plan for securing the critical infrastructure and key resources of the United States and the recommendation of measures for protecting them. The Homeland Security Presidential Directive-7 directed the development of a plan to address critical infrastructure and key resources protection. The National Infrastructure Protection Plan was originally published in June 2006, and then reviewed, revised, and reissued in 2009. The National Infrastructure Protection Plan and the supporting Sector-Specific Plans serve as the foundation of the Nation’s long-term critical infrastructure and key resources risk management program.

Justification:

The Office of Infrastructure Protection has achieved several milestones with the National Infrastructure Protection Plan, including a rewrite of the plan in FY 2009. The National Infrastructure Protection Plan partnership has evolved considerably since the plan was first developed in 2006, but the program is largely organized in the same fashion as it was since the plan was created. The Office of Infrastructure Protection is revisiting the internal organization around the National Infrastructure Protection Plan and has identified areas where cost savings can be achieved.

The Office of Infrastructure Protection is evaluating how to more effectively involve its sector-specific partners to utilize existing expertise and sustain service capabilities. The Office of Infrastructure Protection also is evaluating how to more effectively utilize lead sector specific agencies, State and local officials, and private sector critical infrastructure and key resources owners/operators to reduce the reliance on Infrastructure Protection contracted sector subject matter experts. The National Infrastructure Protection Plan Program Management Office and the Sector Partnerships office are also

requesting additional Federal personnel to offset the need for contract staff and increase the number of staff with decision-making authority.

Impact on Performance (Relationship of Increase to Strategic Goals):

Infrastructure Protection's new approach to utilize subject matter experts located internally and within its partner organizations should minimize any potential impact of realigning the support functions for the National Infrastructure Protection Plan.

**Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Justification of Program Changes
(Dollars in Thousands)**

Program Change 4: Infrastructure Security Compliance

Strategic Goal(s) & Objective(s): Goal 3: Protect Critical Infrastructure; Objective 3.1 Protect and Strengthen the Resilience of the Nation’s Critical Infrastructure and Key Resources

PPA: Mitigation Programs

Program Increase: Positions: 45 FTE: 23 Dollars: \$19,000,000

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							223	223	84,363
Program Increase							45	23	19,000
Budget Request	37	21	50,000	123	78	78,000	268	246	103,363

Description of Item:

Section 550 of the DHS Appropriations Act of 2007 gave the Department the authority to regulate the security of “high-risk” chemical facilities. The Chemical Facility Anti-Terrorism Standards were promulgated in 2008 to implement this authority. DHS currently projects this effort will ultimately encompass over 6,500 covered high-risk chemical facilities nationwide, which have been divided into Tier 1-4 facilities, with Tier 1 facilities considered the highest risk facilities and Tier 4 facilities considered the lowest risk facilities within the high-risk designation.

Section 563 of the Consolidated Appropriations Act of 2008 (Section 563), Subtitle J – *Secure Handling of Ammonium Nitrate*, amended the Homeland Security Act of 2002 to provide DHS with the authority to “regulate the sale and transfer of ammonium nitrate by an ammonium nitrate facility...to prevent the misappropriation or use of ammonium nitrate in an act of terrorism”.

This program increase will enable Infrastructure Protection to further implement the mandated regulatory effort of “high-risk” chemical facilities by providing the necessary resources to accelerate the hiring of base line chemical site security personnel, and to expand current capabilities and initiate inspections of designated “high-risk” chemical facilities.

This increase also contributes to the development of an Ammonium Nitrate regulatory office to focus on preventing the theft or misappropriation of Ammonium Nitrate for use in an act of terrorism.

Justification:

Chemical Site Security

In order to carry out the authority granted to the Department by Section 550 of the DHS Appropriations Act of 2007 to regulate the security of “high risk” chemical facilities, the need exists for sufficient

analytical, inspection and support capability to adequately cover approximately 6,500 chemical facilities nationwide. Infrastructure Security Compliance Division proposes to utilize an additional \$7,000,000 in funding primarily to support its 139 Chemical Facility Anti-Terrorism Standards field Inspectors, to ensure that the entire Inspector cadre is trained, equipped and adequately housed to perform their duties. This funding will specifically support the establishment of three permanent field offices located near select areas of tiered high risk chemical facilities.

Ammonium Nitrate

In order to begin implementing the Department's responsibilities under the Secure Handling of Ammonium Nitrate Act, Section 563 of the DHS Appropriations Act of 2008 (Section 563), Infrastructure Security Compliance Division proposes to utilize the additional \$12,000,000 in ammonium nitrate funding to develop the information collection and analytical tools and begin hiring, training, and equipping the inspectors and staff to implement this new regulatory program, while at the same time improving the Chemical Facility Anti-Terrorism Standards implementation process. Many of the activities listed below will depend on the final regulatory language at the completion of the rulemaking process, which has not begun, but the Department anticipates that it will need to perform the following tasks in FY10:

- Hire, train, equip, and house 35 Inspectors and 10 Headquarters support staff, over two years, to perform or oversee Ammonium Nitrate facility compliance inspections required by Section 899C. To maximize efficient use of manpower, these 35 Inspectors will be trained and certified in for Chemical Facility Anti-Terrorism Standards and can assist the existing Inspectors and also gain valuable field experience. This will enable greater inspection coverage of high-risk chemical facilities while the Ammonium Nitrate program regulations are being developed. Ultimately, all Inspectors will be trained to function within both the chemical and Ammonium Nitrate facility inspection regimes.
- Develop secure web portal and associated information technology backbone through which potential buyers and sellers of Ammonium Nitrate can submit applications to the Department for the right to receive a registration number which would allow the individual to buy or sell Ammonium Nitrate. This will support the Ammonium Nitrate user registration process expected to utilized by over 160,000 registrants and required by Section 899B(c) and (d) of Section 563.
- Identify a system to screen information submitted by prospective buyers and sellers of Ammonium Nitrate via the Ammonium Nitrate registration portal against the Terrorism Screening Database, as required by Section 899B(i)(2) of Section 563. The Infrastructure Security Compliance Division currently is working with the Department's Screening Coordination Office to evaluate options for accomplishing this.
- Develop an internal database to manage the assignment and dissemination of registered user numbers to approved buyers and sellers of Ammonium Nitrate, as required by Section 899B(c) and (d) of Section 563.
- Develop a secure web portal through which approved Ammonium Nitrate sellers can submit to the Department identifying information (including Ammonium Nitrate registered user numbers) from prospective Ammonium Nitrate buyers to enable to Department to verify the potential Ammonium Nitrate buyer's identity and registration to purchase Ammonium Nitrate, as required by Section 899B(e).
- Develop, reproduce and disseminate Congressionally-mandated guidance materials and posters. Pursuant to Section 899B(i)(4)(C) and Section 899D(c) of Section 563, the Department is required to develop and disseminate (a) guidance documents informing prospective Ammonium Nitrate registered user number applicants of the procedures for appealing the denial of a registration

application; (b) guidance documents instructing facilities selling Ammonium Nitrate on the identification of suspicious Ammonium Nitrate purchases and appropriate responsive actions to such purchases; and (c) materials suitable for posting at facilities selling Ammonium Nitrate that provide notification of the recordkeeping requirements and the penalties for violating such requirements.

Impact on Performance (Relationship of Increase to Strategic Goals):

This initiative contributes directly to achieving the long-term goals of the DHS and helps to achieve IP's priorities and strategic objectives. Specifically, this requirement addresses Goal 3: "Build and implement a sustainable, national critical infrastructure and key resources risk-management program." This is further refined within Objective 3.5: to "develop and implement regulations that enhance the security of the Nation's high-risk chemical facilities, and ensure that chemical site security compliance plans are developed, implemented, and validated through regularly conducted inspections and audits." The end state goal is that covered facilities will be assessed by an established and well-trained inspector cadre, which will assess covered facilities, and the initiative will incorporate improvements in process, procedures and systems to ensure the security of the Nation's high-risk chemical facilities.

The funding is necessary to support (in terms of training, housing and equipment) onboard Inspectors, and to increase the Infrastructure Security Compliance Division's capability to inspect facilities under the Chemical Facility Anti-Terrorism Standards or the Ammonium Nitrate programs.

Additionally, the Ammonium Nitrate activities are also required by statute and central to allowing the Department to achieve its congressionally mandated mission to prevent the misappropriation or use of Ammonium Nitrate in an act of terrorism. By completing these activities, the Department will achieve an end state where prospective sellers and purchasers of Ammonium Nitrate are vetted by the Department, and Ammonium Nitrate is sold only to individuals whose identity and registration to purchase Ammonium Nitrate has been verified.

**Department of Homeland Security
National Protection and Programs Directorate (NPPD)
Infrastructure Protection and Information Security
Justification of Program Changes
(Dollars in Thousands)**

Program Change 5: Bombing Prevention

Strategic Goal(s) & Objective(s): Goal 3: Protect Critical Infrastructure; Objective 3.1 Protect and Strengthen the Resilience of the Nation's Critical Infrastructure and Key Resources

PPA: Mitigation Programs

Program Increase: Positions: 0 FTE: 0 Dollars: \$200,000

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							20	20	14,568
Program Increase							0	0	200
Budget Request	4	4	5,562	8	4	14,000	20	20	14,768

*This program change is equal to Bombing Prevention's requested \$4,200,000 program increase, less the \$3,000,000 earmark for underground critical infrastructure protection and less the \$1,000,000 earmark for the IED Geospatial monitoring tool.

Description of Item

Bombing Prevention's mission is described in the Homeland Security Appropriations Act of 2007 and the Homeland Security Presidential Directive-19, "Combating Terrorist Use of Explosives in the United States", signed February 12, 2007 by President Bush. Homeland Security Presidential Directive 19 mandated the Attorney General, in coordination with the Secretary of Homeland Security, to develop a report to the President, including a national strategy and recommendations, on how more effectively to deter, prevent, detect, protect against, and respond to explosive attacks, including the coordination of Federal Government efforts with State, local, territorial, and tribal governments, first responders, and private sector organizations. This report was completed and approved by the President on December 20, 2007.

This enhancement will allow DHS to provide an enhanced and coordinated national bombing prevention and improvised explosive device security effort, as mandated by the Homeland Security Appropriations Act of 2007 and Homeland Security Presidential Directive 19. Bombing Prevention serves as DHS' focal point for strategic planning, coordination, capacity building, and information sharing in the effort to improve bombing prevention efforts throughout the Federal Government, State and local jurisdictions, and the private sector. Homeland Security Presidential Directive-19 and the National Strategy have entrusted the Office for Bombing Prevention with significant responsibilities, including: (a) increasing information sharing on terrorists tactics and procedures for the use of improvised explosive devices with State, local and private sector security partners, (b) conducting gap analysis of State and local law enforcement across the Nation with regard to bombing prevention in order to focus national efforts to mitigate risk; and (c) coordinating an Improvised Explosive Devices Awareness Campaign across the Nation.

The funding provided in FY 2009 for protection of underground critical infrastructure and for an improvised explosive device geospatial monitoring tool has been removed from the Bombing Prevention Current Services in FY 2010.

Justification:

Bombing Prevention leads the DHS effort to enhance Federal, State, and local capabilities to deter, prevent, detect, protect against, and respond to attacks that use improvised explosive devices against critical infrastructure and key resources and soft targets. To achieve these goals, Bombing Prevention activities consist of three primary mission areas: coordinate national and intergovernmental bombing prevention efforts, to include leadership of the DHS Improvised Explosive Devices Working Group; conduct requirements, capabilities and gap analysis; and, promote information sharing and bombing prevention awareness.

The requested funds are necessary to meet expanding requirements for current bombing prevention activities, including meeting its Executive and Congressional mandates. More importantly, DHS must be able to effectively manage the risk associated with terrorist bombings; the tactic that continues to be our adversary's primary method of attack and the number one terrorist threat, as recognized by the Secretary and the Intelligence Community.

In executing these Congressional and Presidential mandates, Bombing Prevention has led the development of innovative initiatives, including TRIPwire and the National Capabilities Analysis Database. As DHS has evolved, Bombing Prevention has managed growing responsibilities and mandated requirements at both the operational and strategic level, serving as an advocate for the Nation's bombing prevention community and a trusted policy advisor for DHS leadership. Bombing Prevention works closely with DHS components, Federal agencies, State, local and tribal government stakeholders, and the public and private sectors and has leveraged these interagency and intergovernmental relationships in the DHS National Strategy for improvised explosive devices, and the Homeland Security Presidential Directive 19 Report to the President.

Impact on Performance (Relationship of Increase to Strategic Goals):

These additional resources will allow for an accelerated analysis of critical gaps and a more targeted approach. This enhancement will provide the resources to conduct 68 additional capabilities assessments for 25 explosives detection canine units, 18 bomb squads, 10 Special Weapons and Tactics teams and 15 dive teams in high risk urban areas across the Nation. With this enhancement DHS will be able to meet expanding critical requirements for current Bombing Prevention activities, including meeting Executive and Congressional mandates in a timely manner. More importantly, DHS will be able to manage risk associated with the terrorist use of explosives in the homeland. Bombing Prevention will complete 132 National Capability Analysis Data assessments, (32 US bomb squads, 50 explosives detection canine units, 30 dive teams, and 20 Special Weapons and Tactics teams). Bombing Prevention will continue to work with FEMA to ensure that appropriate subject matter and technical expertise inform DHS guidance to grantees to reduce identified gaps.

FY 2010 milestones/schedule

- Planned completion of 16 Homeland Security Presidential Directive-19 Implementation Plan recommendations.

- 200 National Capability Analysis Data assessments; 50 US bomb squads, 75 explosives detection canine units, 45 dive teams, and 30 Special Weapons and Tactics teams completed.
- 10,000 Federal, State, local and private sector entity users registered for bombing prevention information services.

**Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Justification of Program Changes
(Dollars in Thousands)**

Program Change 6: Philadelphia Infrastructure Monitoring

Strategic Goal(s) & Objective(s): Goal 3: Protect Critical Infrastructure; Objective 3.1 Protect and Strengthen the Resilience of the Nation's Critical Infrastructure and Key Resources

PPA: Mitigation Programs

Program Decrease: Positions: 0 FTE: 0 Dollars: \$(2,000,000)

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	2,000
Program Increase							0	0	(2,000)
Budget Request	0	0	2,000	0	0	2,000	0	0	0

Description of Item

The Philadelphia Infrastructure Monitoring project funding was to purchase cameras for the city of Philadelphia. The cameras are to be placed around critical infrastructure and key resources to enhance the monitoring and protection of these sites.

Justification:

DHS is not requesting any funding for this project in FY 2010.

Impact on Performance (Relationship of Increase to Strategic Goals):

The cameras purchased with the FY 2008 and FY 2009 funding will continue to be operational into FY 2010.

**Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Justification of Program Changes
(Dollars in Thousands)**

Program Change 7: Cybersecurity Coordination

Strategic Goal(s) & Objective(s): **Goal 3: Protect Critical Infrastructure; Objective3.3: Improve Cyber Security**

PPA: National Cyber Security Division

Program Increase: Positions: 0 FTE: 0 Dollars: \$13,000,000

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$0
Program Increase							0	0	\$13,000
Budget Request							0	0	\$13,000

Description of Item:

The Cybersecurity Coordination increase will allow NCSA to more effectively integrate and coordinate information necessary to secure U.S. cyber networks and systems. Analysis of cybersecurity information, and the delivery of timely analytic and mitigating products, will result from more targeted collaboration among cybersecurity stakeholders. In particular, the resources will be used to focus extensively on the coordination and actions among various cyber entities responsible for protecting national cyber networks. Funding will help NCSA deliver meaningful, actionable, and customer-oriented products to Federal cyber stakeholders.

Justification:

These resources will enhance existing capabilities, and develop new capabilities, for protecting and securing our national cyber networks by.

- Enabling US-CERT to interact in a more targeted manner with key stakeholders. The resources will facilitate development of standardized and tailored products.
- Delivering enhanced human analytic inputs essential to leverage new information technology investments.
- Supporting more timely and actionable alerts and warnings and mitigating products covering damaging and fast-moving cyber attacks.
- Providing at least three fully trained and resourced Fly-Away Teams to assist with implementation of cybersecurity solutions during an event.
- Allowing more timely and actionable cross-domain alerts and warnings, each based on information gathered from a wide range of sources, and supported by a robust US-CERT Ops IT system.

Impact on Performance (Relationship of Increase to Strategic Goals):

The funding increase will make US-CERT more effective by providing US-CERT with additional analytic and support capabilities. Through increased information sharing and by making information products more relevant and timely, US-CERT can strengthen partnerships with other departments, agencies, and cyber stakeholders.

**Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Justification of Program Changes
(Dollars in Thousands)**

Program Change 8: United States Computer Emergency Readiness Team Operations
 Strategic Goal(s) & Objective(s): **Goal 3: Protect Critical Infrastructure; Objective3.3: Improve Cyber Security**
 PPA: National Cyber Security Division
 Program Increase: Positions:22 FTE:11 Dollars: \$16,128,000

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							76	60	\$67,764
Program Increase							22	11	\$16,128
Budget Request	36	24	\$46,962	47	35	\$66,015	98	71	\$83,892

Description of Item

The United States Computer Emergency Readiness Team Operations leads a public-private partnership to protect and defend the Nation’s cyber infrastructure. The United States Computer Emergency Readiness Team coordinates and facilitates information sharing with federal civilian agencies, defense and intelligence agencies, state and local governments, private sector partners, infrastructure owners and operators, international allies, and the public to collect and disseminate cybersecurity threat and attack information.

The United States Computer Emergency Readiness Team disseminates threat, vulnerability, risk, analysis, and mitigation strategies, and works with partner organizations to continually update information assurance policies and technology to defend the Federal computer network space. Through monitoring, communications, and coordination activities, the United States Computer Emergency Readiness Team provides timely and accurate cyber threat mitigation guidance and serves as the focal point for collaborative cyber awareness, mitigation, and reduction for threats and vulnerabilities.

Justification

Funding above current service levels will enhance the United States Computer Emergency Readiness Team capabilities, allowing for fulfillment of the following measurable strategic activities:

- Refine and enhance delivery of the United States Computer Emergency Readiness Team core products and services;
- Improve existing cyber interagency processes and the generation of new customer service support activities for collaborative environments across the .gov community;
- Enhance human capital strategies across all the United States Computer Emergency Readiness Team programmatic pillars, with emphasis on training cyber analysts and managers;
- Increase organizational capital through the development of advanced standard operating procedures and Concept of Operations documents;

- Develop precise, actionable metric programs to supplement Earned Value Management and improve metrics and enhance performance and accountability at the United States Computer Emergency Readiness Team; and
- Support the United States Computer Emergency Readiness Team Operations programmatic goals through targeted external communication and public relations outreach efforts to stakeholders across the Federal government, State and local governments, and the private sector.

In addition to enhancing strategic the United States Computer Emergency Readiness Team goals, enhanced funds will support the following activities:

- Hire an additional eleven Federal FTEs to support prioritized analytical activities and threat mitigation by the United States Computer Emergency Readiness Team.
- Begin implementation of Master Incident Prioritization Tracking Program, which provides enhanced information sharing and analytic and detection capabilities to manage the most critical national cyber activities.
- Procure the United States Computer Emergency Readiness Team Information Services and data feeds to support threat and vulnerability analysis and information sharing the most critical sectors and .gov stakeholders.
- Initiate implementation of interagency processes, such as the Joint Agency Cyber Knowledge Exchange, to facilitate the execution of the United States Computer Emergency Readiness Team requirements with Federal partners and enhance cross-governmental situational awareness.
- Develop and implement a tracking capability to support essential the United States Computer Emergency Readiness Team services for public and private sector partners.

Impact on Performance (Relationship of Increase to Strategic Goals):

The enhancement will fund the deployment of transformative information technologies to accommodate near- and real-time mission requirements. In support of the Comprehensive National Cybersecurity Initiative, the United States Computer Emergency Readiness Team is developing plans to improve technology innovations in order to keep pace with expanding mission requirements.

In support of the United States Computer Emergency Readiness Team dynamic and expansive environment, the following United States Computer Emergency Readiness Team performance goals include:

- Development of foundational programs to identify, recruit, and train skilled cyber personnel;
- Significantly improve relationships between the United States Computer Emergency Readiness Team and its customers to provide a more transparent and focused customer experience that targets their specific needs; and
- Expand human and organizational capital infrastructures to fulfill analytical and incident response requirements.

Department of Homeland Security
National Protection and Programs Directorate (NPPD)
Infrastructure Protection and Information Security
Justification of Program Changes
(Dollars in Thousands)

Program Change 9: Federal Network Security

Strategic Goal(s) & Objective(s): Goal 3: Protect Critical Infrastructure; Objective3.3: Improve Cyber Security

PPA: National Cyber Security Division

Program Increase: Positions: 0 FTE: 0 Dollars: \$4,700,000

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							20	14	\$14,991
Program Increase							0	0	\$4,700
Budget Request	7	4	\$9,324	9	9	\$14,959	20	14	\$19,691

Description of Item

The Federal Network Security branch utilizes a holistic approach to Federal government network security which enables Federal partners to address cybersecurity challenges in a manner that maximizes value and minimizes risks associated with technology and security investments. The Federal Network Security branch provides the Federal enterprise with leadership, direction, and day-to-day operations support for improving effectiveness and consistency of information systems security across the Federal enterprise. Its purpose is to analyze current conditions in all Federal government sectors, determine immediate and root causes of information security vulnerabilities and gaps, and provide leadership and direction for mitigating risk due to determined vulnerabilities and gaps.

While all Federal partners maintain responsibility for the operations and security of their internal networks, the Federal Network Security branch reduces duplication of individual Federal partner efforts, by providing enhanced capabilities for small Federal partners and increasing the baseline security of Federal Government networks. It also assists Federal partners with implementation and compliance management of information systems security policies and guidelines to ensure enterprise-wide prevention of attacks against the .gov community.

Justification

Federal Network Security funding above the current service level will support the following activities:

- Improve Federal Network Security’s ability to manage reduction and consolidation efforts of external Federal ports, enabling the National Cybersecurity Protection System to more effectively monitor and alert on suspicious activity occurring across the Federal enterprise;
- Conduct Trusted Internet Connection compliance assessments of Trusted Internet Connection Access Providers to ensure agencies have the appropriate operational capabilities in place to meet the Trusted Internet Connection Initiative objectives;

- Improve monitoring Federal cybersecurity policies on implementation of providing day-to-day coordination, guidance, and the tracking of Office of Management and Budget security policy progress.

Impact on Performance (Relationship of Increase to Strategic Goals):

Enhanced Federal Network Security funds will improve the Department's ability to close identified critical capability gaps, resulting in the ability to implement taskings under the Comprehensive National Cybersecurity Initiative.

Specific mission improvements include:

- Improved efficiencies and reduced costs due to the elimination of redundant and uncoordinated security solutions and sustainment activities;
- Development of more cohesive compliance levels throughout the Federal enterprise;
- Expand network security awareness and response capabilities to decrease network intrusion risk;
- Develop strategies to provide a governance process that helps coordinate Federal enterprise activities related to the mitigation of domestic cyber security threats.

In support of the Federal Network Security mission, the following performance goals include:

- Maintain Shared Service Centers target of 100% compliance for scorecard Agencies/Departments. Obtain target of 30% for any new Shared Service Centers in FY2010;
- Implement two acquisition initiatives through the General Services Administration SmartBuy vehicle;
- Establish and implement the Customer Agency Advisory Board and develop a memorandum of agreement between the Federal Information Systems Security and all scorecard Agencies;
- Produce a detailed Cost Benefit Analysis / Feasibility Study on TIC access point reduction;
- Update Trusted Internet Connection Technical Requirements and Architecture to reflect any changes in Federal security strategy and to address the previously identified gaps;
- Produce Trusted Internet Connection Compliance Validation reports for approved and operational Trusted Internet Connections Access Points programs that were not previously assessed in FY2009;
- Adapt NETWORKX contract vehicle as appropriate vehicle to meet evolving needs of the Trusted Internet Connection Initiative;
- Review collection of implementation status reports from agencies/departments to determine compliance with new federal cyber security policies and implementation issues;
- Identify five key best practices through collaboration with National Institute of Standards and Technology and distribute both internally and externally with the Subject Matter Experts; and
- Complete the assessment of Government off the Shelf Software scanning tool to determine gaps and level of capability.

**Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Justification of Program Changes
(Dollars in Thousands)**

Program Change 10: Network Security Deployment

Strategic Goal(s) & Objective(s): Goal 3: Protect Critical Infrastructure; Objective3.3: Improve Cyber Security

PPA: National Cyber Security Division

Program Increase: Positions: 8 FTE: 4 Dollars: \$40,490,000

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							24	18	\$155,175
Program Increase							8	4	\$40,490
Budget Request	7	4	\$57,826	10	15	\$154,467	32	22	\$195,668

Description of Item

The Network Security Deployment branch leads the development and operation of cybersecurity technologies to counter cyber threats and apply effective risk mitigation strategies to detect threats in support of the Comprehensive National Cybersecurity Initiative. Collaborating with public and private industry partners, it provides the technological innovation and development that promotes the overall effectiveness of the cybersecurity effort.

The Network Security Deployment branch is responsible to provide intrusion detection and protection capabilities through four discrete increments: Block 1, Block 2, and Block 3. These blocks include the current state, or Block 1, and follow-on end-to-end system upgrades, or Blocks 2-3.

- Block 2.0 measures flow collection and intrusion detection system at Federal partner sites, centralized data storage, visualization, correlation, knowledge base/management, flow analysis, intrusion detection system tools, contextual data feeds, and a prototype environment.
- Block 2.1 incorporates increased capabilities in event detection and management, including data collection, correlation, analysis, and visualization.
- Block 3 provides classified capability improvements. Its architecture and deployment are completely separate from Blocks 1 and 2. Block 3.0 capabilities are being developed and deployed to implementing the Comprehensive National Cybersecurity Initiative. The planned activities under this section will be provided via classified channels.

In FY 2010, \$10,000,000 is requested for the data center development. Funding will be used for the continuation of system and application migration to the two DHS Enterprise Data Centers for central DHS management in FY2010. This includes:

- Discovery, migration planning, and scheduling activities specifically related to systems/applications that will transition to the DHS Data Centers in FY 2010;
- Purchase of new equipment for placement in the DHS Data Centers as part of migration/transition efforts;

- Installation of equipment racks at the DHS Data Centers;
- Migration-related build-out of DHS Data Center infrastructure;
- Transition of disaster recovery/backup/Continuity of Operations capability to DHS Data Centers;
- Installation of infrastructure support as part of system migrations at the DHS Data Centers;
- Migration of NPPD hardware, systems/applications to occupy rack space at the DHS Data Centers.

Justification

The enhancement will enhance Network Security Deployment capabilities, allowing for fulfillment of the following activities:

- Reduce potential alerts pool to 85 percent by automatically filtering out false positives and increasing the likelihood that analysts are examining and mitigating true incidents.
- Decrease the average delivery time of alert summary data reports to the United States Computer Emergency Readiness Team customers down to one business day.
- Increase the ability to aggregate and correlate identified events at deployed locations up to an additional 20 percent, to a total of 60 percent, of events aggregated and correlated daily. The ability to deploy the appropriate subscriber identity module tool to automatically aggregate and correlate events will significantly increase volume of events analyzed.
- Enhancements to Block 3.0 will result in classified enhancements to the baseline system.
- Enhancements to Block 2.1 will result in analytics upgrades to correlate additional cyber information at the 16 Block 2.0 Federal sites in order to provide a more robust threat analysis capability.

In support of private sector outreach initiatives, are the following activities:

- Hire additional Federal and contractor staff for the United States Computer Emergency Readiness Team to develop products tailored to critical infrastructure and key resources stakeholders and to analyze critical infrastructure and key resources vulnerability and incident data submitted to the United States Computer Emergency Readiness Team.
- Procure and implement use of new private-sector focused situational awareness tools.
- Begin and increase production of tailored unclassified United States Computer Emergency Readiness Team products for critical infrastructure and key resources partners.
- Expand information sharing programs to include all 18 critical infrastructure and key resources sectors.
- Begin planning of pilot program that will to leverage the capabilities of cleared information technology, communication products and services providers to protect their critical infrastructure and key resources clients.
- Develop and execute a program plan based on the sector-by-sector study of incentives for increased cybersecurity where market forces yield an insufficient value proposition for investment.
- Provide program management office support for the Enduring Security Framework, which addresses risks and opportunities related to globalization and addresses specific topics such as improved threat and vulnerability information sharing between Chief Executive Officers from major information technology and Defense contractors.

The Data Center consolidation efforts will standardize information technology resource acquisitions across Components, and streamline maintenance and support contracts, allowing for less complex vendor support and expediting response times in the event of an emergency. Benefits derived from consolidation are enhanced DHS information technology security posture, improved information sharing with stakeholders, and increased operational efficiencies over time.

Impact on Performance (Relationship of Increase to Strategic Goals):

To fully implement the requirements under the Comprehensive National Cybersecurity Initiative, National Cybersecurity Protection System, in conjunction with other National Cyber Security Division activities, will increase operational monitoring and situational awareness of the .gov space, secure network transport of data, centralize data center storage and aggregation, implement a comprehensive and direct metadata research capability, provide enhanced capabilities for micro agencies, and ensure the long-term prevention of attacks against the Federal enterprise by assisting in implementation of information systems security policies and guidelines.

In support of the Network Security Deployment mission, the following performance goals include:

- Detect known cyber events through automated intrusion detection at near-real time.
- Provide automated notification within operations center that cyber event took place within one minute of event detection.
- Aggregate and correlate detected cyber events for known indicators within 30 minutes of event notification.³
- Access stored data and automatically generate reports for post-cyber event analysis within 30 minutes of report initialization.

Enhancement funding permits the National Cybersecurity Protection System to deploy end-to-end system upgrades in four phases that will add new capabilities to better protect and defend the Federal government's cyber infrastructure including: flow collection at agency sites; intrusion detection system at agency sites; and intrusion detection system analysis tools. Each block contains segments that will be enhanced to support the advanced technology, process, people, and authority as the end-to-end system upgrades are implemented.

³ Block 2.0 utilizes signature to automate the detection and notification of known threats and malicious events. This is a dramatic improvement to the Block 1.0 system. However, additional processing time is required for analysts to aggregate and correlate detected events. Improvements to this timeline will occur with the Block 2.1 system.

**Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Justification of Program Changes
(Dollars in Thousands)**

Program Change 11: Global Cyber Security Management

Strategic Goal(s) & Objective(s): Goal 3: Protect Critical Infrastructure; Objective3.3: Improve Cyber Security

PPA: National Cyber Security Division

Program Increase: Positions: 0 FTE: 0 Dollars: \$800,000

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							22	18	\$18,992
Program Increase							0	0	\$800
Budget Request	5	5	\$15,322	16	11	\$18,279	22	18	\$19,792

Description of Item

Cyber Education currently addresses cybersecurity workforce and professional development issues in order to support the expanded mission requirements of the Comprehensive National Cybersecurity Initiative. Strategic cyber workforce improvement programs prepare the information technology workforce to meet current and future cybersecurity challenges. This activity focuses resources on improving cybersecurity education, increasing the efficiency of existing cybersecurity training programs, and promoting cybersecurity workforce development.

Justification

The requested enhancement will enhance Global Cyber Security Management’s ability to implement the following activities:

- Staff a National Protection and Programs Directorate training officer for cyber education.
- Develop and implement internal cyber training curriculum and training funds for cyber education for National Cyber Security Division personnel.

Impact on Performance (Relationship of Increase to Strategic Goals):

Cyber Education is establishing a framework for expanding cyber education to deliver a technically adept cyber workforce for today and tomorrow. Additional resources will enhance partnerships with advisory bodies, public, private, academic and other government entities, forming the foundations needed to prepare a skilled workforce for effective performance of cyber missions and promote a continuing pipeline of skilled individuals for future Federal government employment.

Global Cyber Security Management has established the following performance measures:

- Coordinate and conduct quarterly, bi-annually and annually interactive training programs to ensure best practices are consistent with the Divisions' strategic plan that is promoted by the National Cyber Security Division leadership on a regular basis;
- Provide employees with internal training opportunities to increase their knowledge and develop their skills by using innovative and creative methods to deliver cyber education and training to fill skill gaps in achieving the Division's goals;
- Develop necessary tools and surveys to assess the extent staff training initiatives are improving Division operations and staff retention; and
- Implement training and education programs for National Cyber Security Division employees for the development of skills, knowledge, and abilities that will enhance their performance in their areas of expertise.

Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Justification of Program Changes
(Dollars in Thousands)

Program Change 12: Critical Infrastructure Cyber Protection and Awareness

Strategic Goal(s) & Objective(s): **Goal 3: Protect Critical Infrastructure; Objective3.3: Improve Cyber Security**

PPA: National Cyber Security Division

Program Increase: Positions: 2 FTE:1 Dollars: \$7,500,000

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							31	23	\$46,261
Program Increase							2	1	\$7,500*
Budget Request	14	13	\$31,244	18	17	\$46,067	33	24	\$53,761
*This program change is equal to the Critical Infrastructure Cyber Protection and Awareness Branch's requested \$15,000,000 program increase, less the \$4,000,000 earmark for Idaho National Laboratory, less the \$3,500,000 earmark for University of Texas-San Antonio. These program decreases are included in the narrative below.									

Description of Item

The Critical Infrastructure Cyber Protection and Awareness branch consists of the following programs:

Control Systems Security Program - Control Systems Security directly supports the DHS priority to reduce America's vulnerability to terrorism and protect critical infrastructure and focuses on the single goal of reducing the cyber risk to our Nation's critical infrastructure control systems. In support of that goal are two interdependent objectives—developing partnerships, assessing vulnerabilities, and providing guidance.

Critical Infrastructure Protection-Cyber Security - Critical Infrastructure Protection-Cyber Security strengthens preparedness by partnering with the public and private sectors to improve the security of the Information Technology Sector and the cyber assets of the other seventeen critical infrastructure and key resources sectors across the Nation's critical infrastructures. Critical Infrastructure Protection-Cyber Security facilitates risk management activities that reduce cyber vulnerabilities and minimize the severity of cyber attacks.

Cyber Exercises - Cyber Exercises plans, coordinates, and conducts cyber-focused exercises in order to develop, evaluate, improve, and refine the capabilities of the DHS and the full spectrum of Federal, State, local, international, and private sector cyber partners to prevent, protect, respond to, and recover from incidents affecting cyber components of the Nation's critical infrastructure (e.g., information, hardware, software, data, networks, etc.). Through participation in and sponsorship of different types of exercises (e.g., workshops, tabletop, functional, full-scale, etc.) the National Cyber Security Division establishes partnerships and cooperation mechanisms for information sharing with other government entities, as well as the private sector.

The funding earmarked in FY 2009 for Idaho National Laboratory and for University of Texas-San Antonio under Critical Infrastructure Cyber Protection and Awareness has been removed from Critical Infrastructure Cyber Protection and Awareness' Current Services in FY 2010.

Justification

Funding above current services will support the following activities:

Control Systems Security Program

- Conduct 50 Site Assistance Visits across the 18 critical infrastructure and key resources sectors in order to identify vulnerabilities in Industrial Control Systems;
- Implement the Coordination Strategy for Securing Control Systems and the Control Systems Security Protection Framework as the central framework for coordinating activities with Federal, State and local government, private industries, international entities, and control systems vendors;
- Enhance the vulnerability analysis capability of the Department's Control Systems Analysis Center in order to identify key vulnerabilities and develop mitigation strategies for both previously and newly discovered high-priority weaknesses, and provide control systems vendors with important security information that can be used to patch or eliminate security holes within products;
- Expand the control systems content of the United States Computer Emergency Readiness Team website, promoting it as a one-stop-shop for control systems cyber security information, control system vulnerability reporting, and cross-sector control systems information sharing for public and private partners; and
- Develop and distribute next generation Self-Assessment Tools across the control systems community, including public and private partners to further the situation awareness information on the cyber status and health of critical infrastructure and key resources stakeholders' control systems.

Critical Infrastructure Protection-Cyber Security

- Develop risks mitigation activities based on Information Technology Risk Assessment studies, to be implemented across the Information Technology Sector as well as across other critical infrastructure and key resources sectors.
- Update and refine the Cyber Security Vulnerability Assessment Tool. The Cyber Security Vulnerability Assessment Tool is in wide use by multiple critical infrastructure and key resources sectors, and as use increases the need to modify and tailor the Cyber Security Vulnerability Assessment Tool increases; and
- Provide cyber security subject matter expertise to the Protective Services Coordination Division Site Assistance Visits to properly trend cross-sector cyber risk at a minimum of 50 cyber Site Assistance Visits per year. Protective Services Coordination Division reduces risk to the Nation's critical infrastructure and key resources by assessing their vulnerabilities and incident consequences; developing, implementing, and coordinating protective programs; and facilitating response and recovery operations at organizations throughout the Nation.

Cyber Exercises

- Provide additional resources to enhance the planning and scenario development of conferences and full after-action process and reports following the execution of Cyber Storm III National Cyber Exercise;

- Incorporate further updates and accelerate redeploys Technical Assistance and Cyber Exercise Support Program to include sponsorship and support of cyber exercises with State, local, regional, and private sector security partners; and
- Provide additional and enhanced technical exercise assistance to the United States, Canada, Australia, New Zealand, and United Kingdom and continue to execute an exercise plan to facilitate operational interaction with these nations and work with the International Watch and Warning Network to integrate capabilities into future cyber exercise plans.

Impact on Performance (Relationship of Increase to Strategic Goals):

Control Systems Security Program

Increased funds will allow Control Systems Security to fully meet its obligation as a leader to secure the control systems of our Nation’s critical infrastructure and key resources. Funds above the current services level will provide for the expansion of vulnerability identification, testing, mitigation, support for malware analysis and common vulnerability evaluations, implementation of a Federal Control Systems Coordinating Strategy, expansion of control systems metrics to additional sectors, and recommended next generation systems.

Critical Infrastructure Protection

A funding increase will enable Critical Infrastructure Protection-Cyber Security to take the long-term actions required under Chapter Two of the Information Technology Sector Specific Plan specifically to “identify threats, vulnerabilities, consequences, and mitigations that are of national significance to the sector” and “define and refine the Information Technology Sector risk profile over time as the risk assessment approach is implemented and repeated. “Moreover, cross-sector cyber assessments and strategies will permit various analyses of cyber security risks and protective activities in each of the eighteen critical infrastructure and key resources sectors, as well as identify and address their interdependencies. The cross-sector dependency on information technology assets and infrastructure requires that cyber security measures be incorporated in all Sector Specific Plans and their implementation.

Cyber Exercises

Cyber Exercises directly support the DHS long-term goal of protecting and strengthening the resilience of the Nation’s critical infrastructure and key resources against all threats. Cyber Exercise activities promote information-sharing and coordination across the Federal government and private sector entities. Through various cyber exercises, the individual and collective preparedness and operational response capabilities of the Nation will be improved. The continued testing and validation of cyber-related plans and procedures will both detect infrastructure vulnerabilities and ensure that public health and safety, and national economic viability are protected.

Critical Infrastructure Cyber Protection and Awareness has established the following performance measures:

Control Systems Security Program

- Increase the percentage of targeted stakeholders who have implemented the Control Systems Cyber Security Self Assessment Tool to conduct assessments;
- Enhance the number of Site Assistance Visits conducted across the critical infrastructure and key resources sectors in order to identify vulnerabilities in Industrial Control Systems; and

- Improve the number of cybersecurity information sharing products and tools distributed to cybersecurity stakeholders.

Critical Infrastructure Protection – Cyber Security

- Increase the percentage of Critical Infrastructure and Key Resource Sectors that incorporate the Cyber Security Vulnerability Assessment or its questions/concepts into their Sector Risk Assessment methodologies.

Cyber Exercises

- Enhance the number of cyber exercises supported or conducted with Cybersecurity stakeholders;
- Increase the number of Cybersecurity and cyber exercise information sharing products, and exercise after action items distributed to Cybersecurity and cyber exercise stakeholders;
- Improve the cyber exercise technical assistance and training sessions conducted with Cybersecurity and cyber exercise stakeholders; and
- Conduct a robust Cyber Storm exercise planning conferences.

**Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Justification of Program Changes
(Dollars in Thousands)**

Program Change 13: Wireless Priority Service

Strategic Goal(s) & Objective(s): Goal 3: Protect Critical Infrastructure, Objective 3.2 Ensure Continuity of Government Communications and Operations

PPA: Priority Telecommunications Service

Program Decrease: Positions: 0 FTE: 0 Dollars: (\$5,000,000)

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$29,867
Program Decrease							0	0	(\$5,000)
Budget Request	0	0	\$50,876	0	0	\$30,000	0	0	\$24,867

Description of Item

The \$5,000,000 program decrease reflects the achievement of Full Operational Capability of the Wireless Priority Service program. The remaining \$24,867,000 will sustain Wireless Priority Services to the National Security and Emergency Preparedness user community.

Justification

Wireless Priority Services Code Division Multiple Access Interoperability Specification was accelerated and it was the last step in achieving Full Operational Capability in 2009. The main focus now will be on the Next Generation Networks program, which will ensure the Wireless Priority Service program retains its capabilities as carriers migrate from circuit-switched networks to internet-protocol based networks.

Impact on Performance (Relationship of Increase to Strategic Goals)

Wireless Priority Service Interoperability Specification corrects network coverage gaps in Verizon Wireless and Sprint wireless networks, so the goal to provide Wireless Priority Services Nationwide coverage is achieved ahead of schedule in support of Strategic Objective 3.2 to Ensure Continuity of Government Communications and Continuity of Operations.

Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Justification of Program Changes
(Dollars in Thousands)

Program Change 14: Programs to Study and Enhance Telecommunications

Strategic Goal(s) & Objective(s): Goal 3: Protect Critical Infrastructure, Objective 3.2 Ensure Continuity of Government Communications and Operations

PPA: Programs to Study and Enhance Telecommunications

Program Increase: Positions: 1 FTE: 1 Dollars: \$1,592

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	0
Program Increase							1	1	\$1,592
Budget Request	0	0	0	0	0	0	1	1	\$1,592

Description of Item:

A classified program change write-up is provided in the classified budget annex.

Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Justification of Program Changes
(Dollars in Thousands)

Program Change 15: Continuity Communications Architecture

Strategic Goal(s) & Objective(s): Goal 3 Protect Critical Infrastructure, Objective 3.2 Ensure Continuity of Government Communications and Operations

PPA: Programs to Study and Enhance Telecommunications

Program Increase: Positions: 0 FTE: 0 Dollars: \$2,500,000

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							2	2	\$2,284
Program Increase							0	0	\$2,500
Budget Request	2	2	\$2,458	2	2	\$2,281	2	2	\$4,784

Description of Item

DHS/National Communications System is requesting an enhancement to develop, implement, and maintain a Continuity Communications Architecture, as required by National Security Presidential Directive-51/Homeland Security Presidential Directive-20.

The Directive tasks the Office of Science and Technology Policy, in coordination with the National Security Council, Homeland Security Council, Office of Management and Budget, and Chief of Staff to the President, with establishing requirements for the architecture, and the National Communications System will work closely with these offices to meet critical continuity communication needs.

Justification

This requirement under National Security Presidential Directive-51/Homeland Security Presidential Directive-20 provides an important step in ensuring that essential communications are available and effective during a continuity event.

Impact on Performance (Relationship of Increase to Strategic Goals)

These funds will allow DHS/National Communications System to develop a comprehensive Continuity Communications Architecture. The Continuity Communications Architecture will enable the Federal Executive Branch department and agencies to incorporate and sustain comprehensive and effective continuity communication capabilities in their daily operations and support the continuing performance of Primary Mission Essential Functions and National Essential Functions under all conditions.

**Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Justification of Program Changes
(Dollars in Thousands)**

Program Change 16: Contingency Planning/Emergency Support Function #2 Regional Communications Coordinators

Strategic Goal(s) & Objective(s): Goal 3 Protect Critical Infrastructure, Objective 3.2 Ensure Continuity of Government Communications and Operations

PPA: Critical Infrastructure Protection

Program Increase: Positions: 9 FTE: 7 Dollars: \$2,500,000

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							1	1	\$156
Program Increase							9	7	\$2,500
Budget Request	0	0	0	1	1	\$156	10	8	\$2,656

Description of Item:

An enhancement of \$2,500,000 is requested in FY 2010 to deploy one Regional Communications Coordinator in each of the 10 Federal Regions (10 Regional Communications Coordinators total) to support planning, preparedness and response activities with the private and public sectors associated with Emergency Support Function #2 – Communications of the National Response Framework.

These 10 coordinators will work closely with Federal, State, and local regional personnel, and as well as with the full range of private communications industry (e.g. wireline, wireless, cable, satellite, and broadcast) regional representatives to develop and implement national security and emergency preparedness communications, to include plans, procedures, training, exercises and response capabilities.

Justification:

Communications has become a complex mix of cyber technologies with telecommunications and broadcast technologies that are interdependent and critical to disaster response and restoration. The reliance on communications in today’s world makes it imperative that the National Communications System has communications experts in the Regions who are knowledgeable not only in the technologies, but in the processes, interdependencies, and industry coordination capabilities available at the national and regional levels. Based on the requirements of the position, Regional Coordinators are requested to carry out this regional mission. These coordinators will assist other a range of emergency preparedness organizations in addition to FEMA.

The requested funding will support the following:

- \$1,400,000 for salaries and benefits for Regional Communications Coordinator

- \$850,000 for estimated travel expenses, equipment, and operational support.
- \$250,000 for estimated annual cost for office space including: IT support, communications, office equipment, and services. Office space will be in Regional FEMA offices where space is available (Boston, New York, Philadelphia, Atlanta, Kansas City, Chicago, Denver, Denton, Oakland, and Seattle).

Impact on Performance (Relationship of Increase to Strategic Goals)

Lessons learned in Katrina and other disasters emphasize the importance of communications to first responders and the communities as a whole. The Regional Communications Coordinators will:

- Implement the action items and process improvements identified in after action reports following incidents
- Increase and expedite first responder access to industry critical infrastructure sites during
- Share best practices
- Facilitate and ensure communications scenarios are conducted in State and regional exercises
- Assist States in developing communications preparedness plans
- And deploy during incidents to assist the States and regions in emergency communications and restoration.

Regional Communications Coordinators will orchestrate the rapid restoration of communications services to affected communities in the event of an outage or disaster. This work potentially saves lives, reunites families, and facilitates the overall recovery process. In widespread events, there are many wireline, cyber, cellular, cable, broadcast, and satellite service providers that require consideration and the limited restoration resources need to be prioritized in the best interest of the community. Additionally, the Federal Communications Coordinators will coordinate the private sector carriers and service providers, Federal, State, and local government's to prevent and deter additional failures in communications. Cascading and continuing failures of communications systems hinder restoration and recovery and potentially endangers lives.

Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Justification of Program Changes
(Dollars in Thousands)

Program Change 17: National Command and Coordination Capability

Strategic Goal(s) & Objective(s): **Goal 3: Protect Critical Infrastructure; Objective 3.2** Ensure Continuity of Government Communications and Operations

PPA: National Command and Coordination Capability

Program Decrease: Positions: (16) FTE: (9) Dollars: (\$5,963,000)

	FY 2008 Actual*			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							16	9	\$5,963
Program Increase							(16)	(9)	(\$5,963)
Budget Request	0	0	\$0	16	9	\$5,963	0	0	\$0

* In FY 2008, \$3,831,000 and 2 positions/ 1 FTE were appropriated for NCCC in the Priority Telecommunications Service PPA.

Description of Item

This program is being discontinued.

**Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Justification of Program Changes
(Dollars in Thousands)**

Program Change 17: National Emergency Communications Plan Implementation

Strategic Goal(s) & Objective(s): Goal 4: Strengthen our Nation’s Preparedness and Emergency Response Capabilities; Objective 4.2: Strengthen Response and Recovery

PPA: Office of Emergency Communications

Program Increase: Positions: 0 FTE: 0 Dollars: \$3,829,000

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							52	52	\$40,231
Program Increase							0	0	\$3,829
Budget Request	37	6	\$31,103	47	42	\$38,300	52	52	\$44,060

Description of Item

The Office of Emergency Communications will utilize the additional funds to develop a mechanism to better measure the state of interoperable emergency communications across the Nation. This enhancement will enable the Office of Emergency Communications to implement a measurement process to generate a more comprehensive picture of the gaps and shortcomings in cities and jurisdictions within the 56 States and territories. This, in turn, would allow the Office of Emergency Communications to more efficiently and effectively deliver improvement services to emergency response agencies.

Justification

The ability of emergency responders to establish seamless, interoperable communications is critical to ensuring the Nation can successfully respond to and manage incidents of varying scope and magnitude, including natural disasters and acts of terrorism. The National Emergency Communications Plan is a strategy for improving the emergency communications capabilities of the Nation’s public safety, public health, and emergency management communities. Congress required that the Plan include interim benchmarks for achieving a baseline level of interoperable communications across the Nation. These National Emergency Communications Plan Goals are as follows:

- **Goal 1:** By 2010, 90 percent of all high-risk Urban Areas designated within the Urban Area Security Initiative are able to demonstrate response-level emergency communications within one hour for routine events involving multiple jurisdictions and agencies.

- **Goal 2:** By 2011, 75 percent of non-Urban Area Security Initiative jurisdictions are able to demonstrate response-level emergency communications within one hour for routine events involving multiple jurisdictions and agencies.
- **Goal 3:** By 2013, 75 percent of all jurisdictions are able to demonstrate response-level emergency communications within three hours of a significant event as outlined in national planning scenarios.

To implement and measure achievement of the National Emergency Communications Plan Goals, the Office of Emergency Communications will need to work with emergency response agencies at all levels of Government to demonstrate their ability to achieve response-level communications and, thus, satisfy each Goal requirement. The Office of Emergency Communications will perform the following activities with the additional funding provided.

- Conduct 60 site visits to validate Goal 1 and 40 site visits to sample progress against Goal 2.
- Validate and review data collected from National Emergency Communications Plan Goals reporting tools.
- Provide support to lower achieving Urban Areas and States.
- Support Goal 2 and Statewide Communication Interoperability Plan Implementation by conducting workshops.
- Support all National Emergency Communications Plan goals and develop criteria and the proposed implementation process for Goal 3.

Evaluating the Nation's progress toward the goals of the National Emergency Communications Plan is necessary to demonstrate progress and identify shortfalls. It also helps build a much more comprehensive view of national communications capabilities, which in turn can more effectively inform the DHS grant guidance process.

Impact on Performance (Relationship of Increase to Strategic Goals)

The additional funding for the National Emergency Communications Plan implementation increases DHS' ability to fulfill Objective 4.2, Strengthen Response and Recovery, by building the foundation for effective, coordinated emergency response by enabling the Office of Emergency Communications to identify and measure interoperable emergency communications gaps and shortcomings in cities and jurisdictions within the 56 States and territories. Further, the Office of Emergency Communications would provide needs-driven technical assistance to address each State and territory's specific individual gaps, thereby enhancing communications interoperability and the ability of emergency response providers and Federal officials to communicate in the event of natural disasters, acts of terrorism, or other man-made disasters. Realization of the National Emergency Communications Plan's aforementioned Goals 1, 2, and 3, would further the ability of States / territories to leverage emergency communications to shorten response times to routine events involving multiple jurisdictions and agencies. These efforts would strengthen nationwide response and recovery capabilities, reducing loss of life and property.

V. Exhibits and Other Supporting Material

A. Justification of Proposed Legislative Language

**Department of Homeland Security
National Protection and Programs Directorate
Justification of Proposed Changes in Infrastructure Protection and Information Security
Appropriation Language**

For necessary expenses for infrastructure protection and information security programs and activities, as authorized by title II of the Homeland Security Act of 2002 (6 U.S.C. 121 et seq.), [\$806,913,000]**\$918,166,000**, of which [\$720,116,000]**\$777,506,000** shall remain available until September 30, [2010: Provided, That of the total amount provided, \$20,000,000 is for necessary expenses of the National Infrastructure Simulation and Analysis Center: Provided further, That of the amount made available under this heading, \$127,462,000 may not be obligated for the National Cyber Security Initiative program and \$25,125,000 may not be obligated for the Next Generation Networks program until the Committees on Appropriations of the Senate and the House of Representatives receive and approve a plan for expenditure for that program that describes the strategic context of the program; the specific goals and milestones set for the program; and the funds allocated to achieving each of those goals: Provided further, That of the total amount provided, \$2,000,000 is for Philadelphia infrastructure monitoring; \$3,000,000 is for protection of critical underground infrastructure in major urban areas; \$1,000,000 is for improved improvised explosive device mapping and modeling tools; \$3,500,000 is for State and local cyber security training; and \$4,000,000 is for the Power and Cyber Systems Protection, Analysis, and Testing Program at the Idaho National Laboratory]2011. (Department of Homeland Security Appropriations Act, 2009.)

Explanation of Changes:

The FY 2010 appropriation language removes the earmark and expenditure plan requirements..

B. FY 2009 to FY 2010 Budget Change

Department of Homeland Security National Protection and Programs Directorate Infrastructure Protection and Information Security

FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actuals	556	350	555,056
2009 Enacted	725	636	806,913
Adjustments-to-Base			
Increases/Decreases			
Annualization of Prior Year Funding.....	---	82	11,137
Annualization of 2009 Pay Raise.....	---	---	832
2010 Pay Increase.....	---	---	1,279
Non-Pay Inflation.....	---	---	-
Federal Staff Realignment*.....	348	275	---
Total Increases/Decreases.....	348	357	13,248
Transfers			
Transfer from NPPD M&A for Rent and Facilities.....	---	---	10,729
Total Transfers.....	---	---	10,729
Total Adjustments-to-Base	348	357	23,977
2010 Current Services	1,073	993	830,890
Program Changes			
Vulnerability Assessments, Identification and Analysis.....	---	---	3,000
National Infrastructure Simulation and Analysis Center, Identification and Analysis.....	---	---	(4,000)
NIPP Management and CIKR Partnerships, Coordination and Information Sharing.....	---	---	(11,000)
Infrastructure Security Compliance, Mitigation Programs.....	45	23	19,000
Bombing Prevention, Mitigation Programs.....	---	---	200
Philadelphia Infrastructure Monitoring, Mitigation Programs.....	---	---	(2,000)
Cybersecurity Coordination, National Cyber Security Division.....	---	---	13,000
US-CERT Operations, National Cyber Security Division.....	22	11	16,128
Federal Network Security, National Cyber Security Division.....	---	---	4,700
Network Security Deployment, National Cybersecurity Division.....	8	4	40,490
Global Cybersecurity Management, National Cyber Security Division.....	---	---	800
Critical Infrastructure Cyber Protection & Awareness, National Cyber Security Division.....	2	1	7,500
Wireless Priority Service, Priority Telecommunications Service.....	---	---	(5,000)
Classified Project, Programs to Study & Enhance Telecommunications.....	1	1	1,592
Continuity Communications Architecture, Programs to Study and Enhance Telecommunications.....	---	---	2,500
Regional Communications Coordinators, Critical Infrastructure Protection.....	9	7	2,500
National Command and Coordination Capability.....	(16)	(9)	(5,963)
Office of Emergency Communications.....	---	---	3,829
Total Program Changes	71	38	87,276
2010 Request	1,144	1,031	918,166
2009 to 2010 Total Change	419	395	111,253

* Includes 348 additional Federal personnel. Funding is offset by a decrease of \$35,786,000 to program/contract funds.

C. Summary of Requirements

**Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security**
Summary of Requirements
(Dollars in Thousands)

	FY 2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	556	350	555,056
FY 2009 Enacted	725	636	806,913
Adjustments-to-Base			
Transfers	---	---	10,729
Increases	348	357	13,248
Decreases	---	---	---
Total Adjustments-to-Base	348	357	23,977
2010 Current Services	1,073	993	830,890
Program Changes	71	38	87,276
2010 Total Request	1,144	1,031	918,166
2009 to 2010 Total Change	419	395	111,253

Estimates by Program/Project Activity	FY 2009 Enacted			Adjustments-to-Base*			Program Change			FY 2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Identification & Analysis	83	83	80,603	47	47	7,007	---	---	(1,000)	130	130	86,610	47	47	6,007
Coordination and Information Sharing	83	83	62,367	6	6	(785)	---	---	(11,000)	89	89	50,582	6	6	(11,785)
Mitigation Programs	274	220	170,830	187	226	8,081	45	23	17,200	506	469	196,111	232	249	25,281
National Cyber Security Division	128	105	313,500	100	65	4,536	32	16	82,618	260	186	400,654	132	81	87,154
Priority Telecommunications Service	40	40	58,740	1	1	3,033	---	---	(5,000)	41	41	56,773	1	1	(1,967)
Programs to Study & Enhance Telecommunications	25	25	15,100	2	2	82	1	1	4,092	28	28	19,274	3	3	4,174
Critical Infrastructure Protection	29	29	11,260	---	---	92	9	7	2,500	38	36	13,852	9	7	2,592
Next Generation Networks	---	---	50,250	---	---	---	---	---	---	---	---	50,250	---	---	---
National Command & Coordination Capability	16	9	5,963	---	---	---	(16)	(9)	(5,963)	---	---	---	(16)	(9)	(5,963)
Office of Emergency Communications	47	42	38,300	5	10	1,931	---	---	3,829	52	52	44,060	5	10	5,760
Total	725	636	806,913	348	357	\$23,977	71	38	\$87,276	1,144	1,031	\$918,166	419	395	\$111,253

* Includes 348 additional Federal personnel. Funding is offset by a decrease of \$35,786,000 to program/contract funds.

D. Summary of Reimbursable Resources

N/A

E. Summary of Requirements by Object Class

Department of Homeland Security
National Protection and Programs Directorate
Summary of Requirements by Object Class
Infrastructure Protection and Information Security
Funding Schedule
(Dollars in Thousands)

Object Classes		FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
11.1	Total FTE & personnel compensation	39,545	64,595	106,400	41,805
	<i>[amount from program funds]</i>	---	---	[27070]	
11.5	Other personnel compensation	791	1,491	2,129	637
	<i>[amount from program funds]</i>	---	---	[541]	
12.1	Benefits	11,943	20,712	32,133	11,421
	<i>[amount from program funds]</i>	---	---	[8175]	
Total, Personnel Comp. & Benefits		52,279	86,798	140,662	53,864
Other Object Classes:					
21.0	Travel	3,570	10,122	11,239	1,117
23.1	GSA rent	---	---	12,944	12,944
23.2	Other rent	---	755	1,005	250
23.3	Communication, Utilities, and misc charges	---	3,774	3,602	(172)
24.0	Printing	258	673	179	(494)
25.1	Advisory & Assistance Services	386,942	414,905	432,333	17,428
	<i>[amount to Federal salaries and benefits]</i>	---	---	[35786]	---
25.2	Other Services	6,828	34,685	43,096	8,411
25.3	Purchase from Govt. Accts.	85,358	110,025	102,986	(7,039)
25.4	Operation & maintenance of facilities	---	4,769	2,554	(2,215)
25.7	Operation & maintenance of equipment	4,044	42,458	64,889	22,431
26.0	Supplies & materials	1,156	4,954	5,011	57
31.0	Equipment	2,281	87,245	95,416	8,171
41.0	Grants/Subsidies/Contributions	12,340	5,750	2,250	(3,500)
Total, Other Object Classes		502,777	720,115	777,505	57,390
Total, Direct Obligations		555,056	806,913	918,166	111,254
Unobligated balance, start of year			85,184		
Unobligated balance, end of year		(\$85,184)			
Recoveries of prior year obligations					
Total requirements		469,872	892,097	918,166	

F. Permanent Positions by Grade

**National Protection and Programs Directorate
Infrastructure Protection and Information Security
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
	Pos.	Pos.	Pos.	Total
Total, SES	15	15	15	---
Total, EX	---	---	---	---
Total, SL	1	1	2	1
GS-15	136	158	180	22
GS-14	199	244	337	93
GS-13	97	110	316	206
GS-12	61	61	184	123
GS-11	30	112	51	(61)
GS-10	---	---	1	1
GS-9	11	11	52	41
GS-8	2	2	3	1
GS-7	4	8	3	(5)
GS-5	---	3	---	(3)
Total Permanent Positions	556	725	1,144	419
Unfilled Positions EOY	148	21	57	36
Total Perm. Employment EOY	408	704	1,087	383
FTE	350	636	1,031	395
Headquarters	467	590	829	239
U.S. Field	89	135	315	180
Foreign Field	---	---	---	---
Total Permanent Positions	556	725	1,144	419
Average ES Salary	\$ 166,633	\$ 170,299	\$ 174,046	\$ 3,747
Average GS Salary	\$ 92,209	\$ 96,883	\$ 99,014	\$ 2,131
Average GS Grade	14.04	13.50	13.80	0.30

G. Capital Investment and Construction Initiative Listing

N/A

H. PPA Budget Justification

Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Identification & Analysis
Funding Schedule
(Dollars in Thousands)

PPA: Identification & Analysis		FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	5,416	8,123	12,484	4,361
	<i>[amount from program funds]</i>	---	---	<i>[3,852]</i>	---
11.5	Other per comp	108	223	250	27
	<i>[amount from program funds]</i>	---	---	<i>[77]</i>	---
12.1	Benefits	1,636	2,782	3,770	988
	<i>[amount from program funds]</i>	---	---	<i>[1,163]</i>	---
21.0	Travel	447	482	503	21
24.0	Printing	13	13	14	1
25.1	Advisory & Assistance Services	18,010	23,550	28,155	4,605
	<i>[amount to Federal salaries and benefits]</i>	---	---	<i>[5,092]</i>	---
25.2	Other Services	5,034	---	---	---
25.3	Purchase from Govt. Accts.	30,195	45,361	41,361	(4,000)
26.0	Supplies & materials	104	70	73	3
31.0	Equipment	812	---	---	---
Total,	Identification & Analysis	\$61,775	\$80,604	\$86,610	\$6,006
Full Time Equivalents		48	83	130	47

PPA Mission Statement

The Information and Analysis mission area includes projects and activities that support identification of the Nation's critical infrastructure and key resources, assessment of critical infrastructure and key resource vulnerabilities, consequences and risks.

Summary Justification and Explanation of Changes

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Salaries and Benefits	\$7,160	\$11,128	\$16,504	\$5,376

The FY10 Requests include \$16,504,000 for salaries and benefits for 130 FTE, which represents a \$5,376,000 increase over FY2009. This includes \$284,000 for pay inflation, and \$5,092,000 for 47 positions as part of the Federal Staffing realignment.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Travel	\$447	\$482	\$503	\$21

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY2010 Request represents an increase of \$21,000 over FY2009 as a result of program increase.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Printing	\$13	\$13	\$14	\$1

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 Request represents a program increase of \$1,000 over FY 2009.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$18,010	\$23,550	\$28,155	\$4,605

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 Request represents an increase of \$2,975,000 for program enhancements and the realignment of \$6,723,000 for the PCII activity, and a decrease of \$5,092,000 to fund 47 additional positions Federal positions.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Other Services	\$5,034	\$0	\$0	\$0

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. There is no change from FY 2009 to FY 2010.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Purchase from Government Accounts	\$30,195	\$45,361	\$41,361	(\$4,000)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 Request is a program decrease of \$4,000,000.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Supplies & materials	\$104	\$70	\$73	\$3

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 Request represents a program increase of \$3,000.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Equipment	\$812	\$0	\$0	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. There is no change from FY 2009 to FY 2010.

Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Coordination and Information Sharing

Funding Schedule
(Dollars in Thousands)

PPA: Coordination and Information Sharing		FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions <i>[amount from program funds]</i>	7,053	6,856	7,634	778
		---	---	[604]	---
11.5	Other per comp <i>[amount from program funds]</i>	141	137	153	16
		---	---	[12]	---
12.1	Benefits <i>[amount from program funds]</i>	2,130	2,070	2,306	236
		---	---	[182]	---
21.0	Travel	512	980	777	(203)
23.1	GSA rent	---	---	5,706	5,706
24.0	Printing	195	495	---	(495)
25.1	Advisory & Assistance Services <i>[amount to Federal salaries and benefits]</i>	40,541	35,824	21,319	(14,505)
		---	---	[798]	---
25.3	Purchase from Govt. Accts.	6,078	15,565	12,339	(3,226)
25.7	Operation & maintenance of equipment	250	---	---	---
26.0	Supplies & materials	215	439	348	(91)
31.0	Equipment	174	---	---	---
Total, Coordination and Information Sharing		\$57,350	\$62,366	\$50,582	(\$11,784)
Full Time Equivalents		62	83	89	6

PPA Mission Statement

The Coordination and Information Sharing mission area includes projects and activities that maximize the ability of government and private sector security partners at all levels to assess risks, coordinate programs and processes, and execute risk-mitigation programs and activities.

Summary Justification and Explanation of Changes

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Salaries and Benefits	\$9,324	\$9,063	\$10,093	\$1,030

The FY10 Requests include \$10,093,000 for salaries and benefits for 89 FTE, which represents a \$1,030,000 increase over FY2009. This includes \$232,000 for pay inflation and \$798,000 for 6 positions as part of the Federal Staffing realignment.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Travel	\$512	\$980	\$777	(\$203)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. There is a decrease of \$203,000 from the year prior due to a program reduction.

	FY 2008 Actual	Enacted	Request	Change
GSA rent	\$0	\$0	\$5,706	\$5,706

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. FY 2010 request includes an increase of \$5,706,000 for GSA rent due to a transfer from NPPD Management and Administration appropriation.

	<u>FY 2008 Actual</u>	<u>FY 2009 Enacted</u>	<u>FY 2010 Request</u>	<u>2009 to 2010 Change</u>
Printing	\$195	\$495	\$0	(\$495)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. There is a decrease of \$495,000 from the year prior due to a reduction in NIPP Management and CIKR Partnerships.

	<u>FY 2008 Actual</u>	<u>FY 2009 Enacted</u>	<u>FY 2010 Request</u>	<u>2009 to 2010 Change</u>
Advisory and Assistance Services	\$40,541	\$35,824	\$21,319	(\$14,505)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 Request represents a reduction due to a program reduction of \$13,707,000 and \$798,000 for the Federal Staffing realignment to fund 6 additional positions.

	<u>FY 2008 Actual</u>	<u>FY 2009 Enacted</u>	<u>FY 2010 Request</u>	<u>2009 to 2010 Change</u>
Other Services	\$61	\$0	\$0	\$0

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. There is no change from FY 2009 to FY 2010.

	<u>FY 2008 Actual</u>	<u>FY 2009 Enacted</u>	<u>FY 2010 Request</u>	<u>2009 to 2010 Change</u>
Purchase from Government Accounts	\$6,078	\$15,565	\$12,339	(\$3,226)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. In the FY 2010 Request, there is a decrease of \$3,226,000 from the year prior due to a program reduction.

	<u>FY 2008 Actual</u>	<u>FY 2009 Enacted</u>	<u>FY 2010 Request</u>	<u>2009 to 2010 Change</u>
Supplies & materials	\$215	\$439	\$348	(\$91)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. In FY 2010, there is a decrease of \$91,000 from the year prior due to a program reduction.

	<u>FY 2008 Actual</u>	<u>FY 2009 Enacted</u>	<u>FY 2010 Request</u>	<u>2009 to 2010 Change</u>
Equipment	\$174	\$0	\$0	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. There is no change from FY 2009 to FY 2010.

Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Mitigation Programs
Funding Schedule
(Dollars in Thousands)

PPA: Mitigation Programs		FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions <i>[amount from program funds]</i>	15,204	22,585	48,797	26,212
		---	---	[17,304]	---
11.5	Other per comp <i>[amount from program funds]</i>	304	619	976	357
		---	---	[346]	---
12.1	Benefits <i>[amount from program funds]</i>	4,592	7,735	14,737	7,002
		---	---	[5,226]	---
21.0	Travel	1,843	7,213	8,410	1,197
24.0	Printing	50	119	119	---
25.1	Advisory & Assistance Services <i>[amount to Federal salaries and benefits]</i>	45,217	87,975	76,150	(11,825)
		---	---	[22,876]	---
25.2	Other Services	1,731	---	---	---
25.3	Purchase from Govt. Accts.	47,624	40,979	45,166	4,187
25.7	Operation & maintenance of equipment	2,171	---	---	---
26.0	Supplies & materials	481	909	1,060	151
31.0	Equipment	1,295	2,696	696	(2,000)
Total, Mitigation Programs		\$120,512	\$170,830	\$196,111	\$25,281
Full Time Equivalents		135	220	469	249

PPA Mission Statement

The Mitigation Programs mission area includes voluntary and regulatory projects and activities, which enable security partners to identify and mitigate vulnerabilities, implement protective measures, and increase preparedness for facilities, systems, and surrounding communities.

Summary Justification and Explanation of Changes

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Salaries and Benefits	\$20,100	\$30,939	\$64,510	\$33,571

The FY10 Requests include \$64,510,000 for salaries and benefits for 469 FTE, which represents a \$33,571,000 increase over FY2009. This includes \$7,357,000 to fund the annualization of 54 FTE, \$724,000 for pay inflation, and \$22,876,000 for 187 positions as part of the Federal Staffing realignment and \$2,613,000 for program changes.

	FY 2008 Actual	Enacted	Request	Change
Travel	\$1,843	\$7,213	\$8,410	\$1,197

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. In FY 2010, \$1,197,000 is requested for travel due to program enhancements.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Printing	\$50	\$119	\$119	\$0

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. There is no change in the budget request in FY 2010.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$45,217	\$87,975	\$76,150	(\$11,825)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 Request represents a program decrease of \$4,000,000, a program increase of \$15,051,000, and a decrease of \$22,876,000 to fund 187 additional Federal positions.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Other Services	\$1,731	\$0	\$0	\$0

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. There is no change from FY 2009 to FY 2010.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Purchase from Government Accounts	\$47,624	\$40,979	\$45,166	\$4,187

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. In FY 2010, there is an increase of \$4,187,000 from FY2009 due to program enhancements.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Operation & Maintenance of equipment	\$2,171	\$0	\$0	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. There is no budget increase for FY 2010.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Supplies & materials	\$481	\$909	\$1,060	\$151

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. In FY 2010, there was an increase of \$151,000 due to program enhancements.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Equipment	\$1,295	\$2,696	\$696	(\$2,000)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request reflects a program decrease of \$2,000,000.

Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
National Cyber Security Division
Funding Schedule
(Dollars in Thousands)

PPA: National Cyber Security Division		FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions <i>[amount from program funds]</i>	3,598	11,248	19,835	8,587
11.5	Other per comp <i>[amount from program funds]</i>	72	197	397	200
12.1	Benefits <i>[amount from program funds]</i>	1,087	3,178	5,990	2,812
21.0	Travel	276	587	590	3
23.1	GSA rent	---	---	3,273	3,273
23.3	Communication, Utilities, and misc charges	---	557	557	---
24.0	Printing	---	46	46	---
25.1	Advisory & Assistance Services <i>[amount to Federal salaries and benefits]</i>	132,967	120,059	161,037	40,978
25.2	Other Services	2	34,592	43,007	8,415
25.3	Purchase from Govt. Accts.	1,461	4,000	---	(4,000)
25.4	Operation & maintenance of facilities	---	4,769	2,554	(2,215)
25.7	Operation & maintenance of equipment	1,623	42,458	64,889	22,431
26.0	Supplies & materials	115	3,309	3,309	---
31.0	Equipment	---	82,749	92,920	10,171
41.0	Grants/Subsidies/Contributions	12,340	5,750	2,250	(3,500)
Total, National Cyber Security Division		\$153,541	\$313,499	\$400,654	\$87,155
Full Time Equivalents		32	105	186	81

PPA Mission Statement

The National Cyber Security Division has a partnership with the private sector, government, military and intelligence stakeholders in risk assessment and mitigation of vulnerabilities and threats to critical IT assets and activities that affect the operation of the critical infrastructures of the United States. In addition, NCSD provides cyber threat and vulnerability analysis, early warning, and incident response assistance for public and private sector constituents.

Summary Justification and Explanation of Changes

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Salaries and Benefits	\$4,757	\$14,623	\$26,222	\$11,599

The FY10 Requests include \$26,222,000 for salaries and benefits for 186 FTE, which represents a \$11,599,000 increase over FY2009. This includes \$3,105,000 to fund the annualization of 23 FTE, \$373,000 for pay inflation, \$2,165,000 for program enhancements, and \$5,956,000 for 100 positions as part of the Federal Staffing realignment.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Travel	\$276	\$587	590	\$3

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. There is an increase of \$3,000 budget increase for FY 2010.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
GSA rent	\$0	\$0	\$3,273	\$3,273

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. In FY 2010, an increase of \$3,273 is requested for GSA Rent.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous charges	\$0	\$557	\$557	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. There is no budget increase for FY 2010.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Printing	\$0	\$46	\$46	\$0

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. There is no budget increase for FY 2010.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$132,967	\$120,059	\$161,037	\$40,978

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 Request represents program increases totaling \$46,934,000 which includes a decrease of \$5,956,000 to offset 100 additional Federal positions.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Other Services	\$2	\$34,592	\$43,007	\$8,415

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. In FY 2010, program increases of \$8,415,000 is requested for Other Services.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Purchase from Government Accounts	\$1,461	\$4,000	\$0	(\$4,000)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. FY 2010 reflects a program decrease of \$4,000,000.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Operation & maintenance of facilities	\$0	\$4,769	\$2,554	(\$2,215)

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. In FY 2010, a decrease of \$3,273,000 is requested for Operations and Maintenance of Facilities to offset an increase to GSA rent.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Operation & Maintenance of equipment	\$1,623	\$42,458	\$64,889	\$22,431

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. Program increases of \$22,431,000 are requested for Operation & Maintenance of equipment.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Supplies & materials	\$115	\$3,309	\$3,309	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. There is no budget increase for FY 2010.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Equipment	\$0	\$82,749	\$92,920	\$10,171

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes program increases of \$10,171,000 for Equipment.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Grants/Subsidies/Contributions	12,340	5,750	2,250	(3,500)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes an program decrease of \$3,500,000.

Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Priority Telecommunications Service
Funding Schedule
(Dollars in Thousands)

PPA: Priority Telecommunications Service		FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions <i>[amount from program funds]</i>	2,951	3,748	3,996	248
		---		[101]	
11.5	Other per comp <i>[amount from program funds]</i>	59	75	80	5
		---		[2]	
12.1	Benefits <i>[amount from program funds]</i>	891	1,199	1,207	8
		---		[30]	
21.0	Travel	295	257	257	---
23.1	GSA rent	---		2,905	2,905
23.3	Communication, Utilities, and misc charges	---	2,075	2,075	---
25.1	Advisory & Assistance Services <i>[amount to Federal salaries and benefits]</i>	81,563	51,253	46,119	(5,134)
		---		[133]	
25.2	Other Services	---	48	48	0
26.0	Supplies & materials	173	85	85	0
Total, Priority Telecommunications Service		\$85,932	58,740	\$56,773	(\$1,968)
Full Time Equivalents		26	40	41	1

PPA Mission Statement

Priority Telecommunications Service is specially designed telecommunications services to support the national security and emergency preparedness user community during natural or man-made disasters when conventional communications services are ineffective. In addition to enhancing critical infrastructure protection, these telecommunication services are used to coordinate response and recovery efforts and, in severe conditions, to assist with continuity activities.

Summary Justification and Explanation of Changes

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Salaries and Benefits	\$3,901	\$5,022	\$5,283	\$261

The FY10 Requests include \$5,283,000 for salaries and benefits for 41 FTE, which represents a \$261,000 increase over FY2009. This includes \$128,000 for pay inflation and \$133,000 for 1 position as part of the Federal Staffing realignment.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Travel	\$295	\$257	\$257	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. There is no budget increase for FY 2010.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
GSA rent	\$0	\$0	\$2,905	\$2,905

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 Request includes a transfer of \$2,905,000 from NPPD Management and Administration appropriation.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous charges	\$0	\$2,075	\$2,075	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. There is no budget increase for FY 2010.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$81,563	\$51,253	\$46,119	(\$5,134)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 Request represents an decrease of \$5,134,000, of which \$133,500 is for the Federal Staffing realignment to fund 1 additional position and a program decrease of \$5,000,000.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Other Services	\$0	\$48	\$48	\$0

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. There is no budget increase for FY 2010.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Supplies & materials	\$173	\$85	\$85	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. There is no budget increase for FY 2010.

**National Protection and Programs Directorate
Infrastructure Protection and Information Security
Programs to Study & Enhance Telecommunications**

Funding Schedule

(Dollars in Thousands)

PPA: Programs to Study & Enhance Telecommunications		FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions <i>[amount from program funds]</i>	2,294	2,402	2,819	417
		---		[201]	
11.5	Other per comp <i>[amount from program funds]</i>	46	48	56	8
		---		[4]	
12.1	Benefits <i>[amount from program funds]</i>	693	769	851	82
		---		[61]	
21.0	Travel	---	57	57	---
23.2	Other rent	---	459	459	---
25.1	Advisory & Assistance Services <i>[amount to Federal salaries and benefits]</i>	9,908	11,336	15,002	3,666
		---		[266]	
25.2	Other Services	---	11	11	0
26.0	Supplies & materials	---	19	19	0
Total, Programs to Study & Enhance Telecommunications		\$12,941	15,101	\$19,274	\$4,172
Full Time Equivalents		20	25	28	3

PPA Mission Statement

The Programs to Study and Enhance Telecommunications develops models and conducts technical analyses of public communications infrastructures and equipment, and identifies vulnerabilities in new communications technologies due to the Telecommunication Electromagnetic Disruptive Effects. It also works with the international communications industry standards organizations to ensure that evolving commercial standards address the technical requirements of national security and emergency communications.

Summary Justification and Explanation of Changes

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Salaries and Benefits	\$3,033	\$3,219	\$3,726	\$507

The FY10 Requests include \$3,726,000 for salaries and benefits for 28 FTE, which represents a \$507,000 increase over FY2009. This includes \$81,500 for pay inflation and \$266,000 for 2 positions as part of the Federal Staffing realignment and a program increase of \$160,000.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Travel	\$0	\$57	\$57	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. There is no budget increase for FY 2010.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Other Rent	\$0	\$459	\$459	\$0

Other rent includes all payments to a non-Federal source for rental space, land, and structures. There is no budget increase for FY

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$9,908	\$11,336	\$15,002	\$3,666

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 Request represents an increase of \$3,666,000 of which includes a decrease of \$266,000 for the Federal Staffing realignment to fund 2 positions and a program increase of \$3,932,000.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Other Services	\$0	\$11	\$11	\$0

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. There is no budget increase for FY 2010.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Supplies & materials	\$0	\$19	\$19	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. There is no budget increase for FY 2010.

Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Critical Infrastructure Protection

Funding Schedule

(Dollars in Thousands)

PPA: Critical Infrastructure Protection		FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	2,376	2,690	3,856	1,166
11.5	Other per comp	48	54	77	23
12.1	Benefits	717	861	1,164	303
21.0	Travel	---	37	157	120
23.2	Other rent	---	296	546	250
25.1	Advisory & Assistance Services	11,513	7,303	8,033	730
25.2	Other Services	---	7	7	0
26.0	Supplies & materials	---	12	12	0
Total, Critical Infrastructure Protection		\$14,654	11,260	\$13,852	\$2,592
Full Time Equivalents		21	29	36	7

PPA Mission Statement

The Critical Infrastructure Protection Programs ensure the continued availability of national security and emergency preparedness telecommunications services under all circumstances, including crisis or emergency, attack, recovery, and reconstitution.

Summary Justification and Explanation of Changes

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Salaries and Benefits	\$3,141	\$3,605	\$5,097	\$1,492

The FY10 Requests include \$5,097,000 for salaries and benefits for 36 FTE, which represents a \$1,492,000 increase over FY2009. This includes \$92,000 for pay inflation and \$1,400,000 in program enhancements to fund 9 positions .

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Travel	\$0	\$37	\$157	\$120

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes a program increase of \$120,000.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Other Rent	\$0	\$296	\$546	\$250

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 includes a program increase of \$250,000.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$11,513	\$7,303	\$8,033	\$730

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 Request includes a program increase of \$730,000.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Other Services	\$0	\$7	\$7	\$0

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. There is no budget increase for FY 2010.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Supplies & materials	\$0	\$12	\$12	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. There is no budget increase for FY 2010.

Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Next Generation Networks

Funding Schedule

(Dollars in Thousands)

PPA: Next Generation Networks		FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Object Classes:					
21.0	Travel	101	120	120	---
23.3	Communication, Utilities, and misc charges	---	970	970	---
25.1	Advisory & Assistance Services	17,113	49,097	49,097	---
25.2	Other Services	---	23	23	0
26.0	Supplies & materials	34	40	40	0
Total, Next Generation Networks		\$17,248	50,250	\$50,250	\$0
Full Time Equivalents		---	---	---	---

PPA Mission Statement

Next Generation Networks Priority Service is a technology initiative to maintain and migrate legacy priority voice telecommunications services (Government Emergency Telecommunications Service and Wireless Priority Service) to the Next Generation Networks as the public switched network evolves from the circuit-based to Internet Protocol packet-based Next Generation Networks.

Summary Justification and Explanation of Changes

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Travel	\$101	\$120	\$120	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. There is no change from FY 2009 to FY 2010.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous charges	\$0	\$970	\$970	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. There is no change from FY 2009 to FY 2010.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$17,113	\$49,097	\$49,097	\$0

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. There is no change from FY 2009 to FY 2010.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Other Services	\$0	\$23	\$23	\$0

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. There is no change from FY 2009 to FY 2010.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Supplies & materials	\$34	\$40	\$40	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. There is no change from FY 2009 to FY 2010.

Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
National Command and Coordination Capability
Funding Schedule
(Dollars in Thousands)

PPA: National Command and Coordination Capability		FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	---	1,126	---	(1,126)
11.5	Other per comp	---	22	---	(22)
12.1	Benefits	---	361	---	(361)
21.0	Travel	---	21	---	(21)
23.3	Communication, Utilities, and misc charges	---	172	---	(172)
25.1	Advisory & Assistance Services	---	4,250	---	(4,250)
25.2	Other Services	---	4	---	(4)
26.0	Supplies & materials	---	7	---	(7)
Total, National Command and Coordination Capability		\$0	\$5,963	\$0	(\$5,963)
Full Time Equivalents		---	9	---	(9)

PPA Mission Statement

DHS established the National Command and Coordination Capability program in FY 2008 to provide for more effective crises management communication system to support the full spectrum of crises that can result from potential threats.

Summary Justification and Explanation of Changes

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Salaries and Benefits	\$0	\$1,509	\$0	(\$1,509)

There is no funding request in FY 2010.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Travel	\$0	\$21	\$0	(\$21)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. There is no funding request in FY 2010.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous charges	\$0	\$172	\$0	(\$172)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. There is no funding request in FY 2010.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$0	\$4,250	\$0	(\$4,250)

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

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Other Services	\$0	\$4	\$0	(\$4)

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. There is no funding request in FY 2010.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Supplies & materials	\$0	\$7	\$0	(\$7)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. There is no funding request in FY 2010.

Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Office of Emergency Communications
Funding Schedule
(Dollars in Thousands)

PPA: Office of Emergency Communications		FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions <i>[amount from program funds]</i>	653	5,817	6,980	1,163
		---	---	[503]	
11.5	Other per comp <i>[amount from program funds]</i>	13	116	140	23
		---	---	[10]	
12.1	Benefits <i>[amount from program funds]</i>	197	1,757	2,108	351
		---	---	[152]	
21.0	Travel	96	368	368	---
23.1	GSA rent	---	---	1,060	1,060
25.1	Advisory & Assistance Services <i>[amount to Federal salaries and benefits]</i>	30,110	24,258	27,421	3,163
		---	---	[665]	
25.3	Purchase from Govt. Accts.	---	4,120	4,120	---
26.0	Supplies & materials	34	64	64	---
31.0	Equipment	---	1,800	1,800	---
Total,	Office of Emergency Communications	\$31,103	\$38,300	\$44,060	\$5,760
	Full Time Equivalents	6	42	52	10

PPA Mission Statement

OEC supports and promotes the ability of emergency response providers and Federal officials to continue to communicate in the event of natural disasters, acts of terrorism, or other man-made disasters, and to ensure, accelerate, and attain interoperable emergency communications nation-wide.

Summary Justification and Explanation of Changes

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Salaries and Benefits	\$863	\$7,690	\$9,227	\$1,537

The FY 2010 Requests include \$9,227,000 for salaries and benefits for 52 FTE, which represents a \$1,537,000 increase over FY 2009. This includes annualization of \$675,000 for 10 positions received in FY 2009, \$196,000 for pay inflation and 5 additional Federal positions offset with \$665,000 of program/contract dollars.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Travel	\$96	\$368	\$368	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. There is no funding increase in FY 2010.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
GSA rent	\$0	\$0	\$1,060	\$1,060

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request includes an increase of \$1,060,000 as a result of a transfer from NPPD M&A appropriation for GSA rent.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$30,110	\$24,258	\$27,421	\$3,163

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 Request represents an increase of \$3,163,000 which includes a decrease of \$665,000 for the Federal Staffing realignment to fund 5 additional positions and a program increase of \$3,829,000.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Purchase from Government Accounts	\$0	\$4,120	\$4,120	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. There is no funding increase in FY 2010.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Supplies & materials	\$34	\$64	\$64	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. There is no funding increase in FY 2010.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Equipment	\$0	\$1,800	\$1,800	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. There is no funding increase in FY 2010.

I. Changes in Full Time Equivalents

**Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security
Changes in Full-Time Equivalents**

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	367	497	636
PROGRAM INCREASES			
Increase #1:			
Description: Filled vacant positions	80		
Increase #2:			
Description: ISS/LOB	1		
Increase #3:			
Description: Infrastructure Security Compliance	17	45	23
Increase #4:			
Description: US-CERT Operations	12	23	11
Increase #5:			
Description: National Command and Coordination Capability	1	7	
Increase #6:			
Description: Office of Emergency Communications	19	5	
Increase #7:			
Description: Annualization of prior-year positions		54	82
Increase #8:			
Description: Protective Security Advisors		5	
Increase #9:			
Description: Federal Staffing Realignment			275
Increase #10:			
Description: Network Security Deployment			4
Increase #11:			
Description: Critical Infrastructure Cyber Protection and Awareness			1
Increase #12:			
Description: Continuity Communications Architecture, PSET			1
Increase #13:			
Description: Regional Communications Coordinators, CIP			7
PROGRAM INCREASES			
Decrease #1			
Description: National Command and Coordination Capability			-9
Year-end Actual/Estimated FTEs	497	636	1031
Net Change from prior year base to Budget Year Estimate:	130	139	395

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity

**Department of Homeland Security
National Protection and Programs Directorate
Infrastructure Protection and Information Security**
FY 2010 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Enacted	FY 2009 Enacted	FY 2010 Request	Increase / Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Identification & Analysis	6,142	3,933	4,331	398
Coordination and Information Sharing	5,003	3,018	10,760	7,742
Mitigation Programs	8,586	7,382	8,128	746
National Cyber Security Division	5,106	10,896	19,085	8,189
Priority Telecommunications Service	5,248	1,763	4,337	2,574
Programs to Study & Enhance Telecommunications	869	638	625	(13)
Critical Infrastructure Protection	438	763	790	27
Next Generation Networks	1,424	1,047	783	(264)
National Command & Coordination Capability	---	328	---	(328)
Office of Emergency Communications	2,109	1,744	2,599	855
Total Working Capital Fund	34,925	31,512	51,438	19,926

Department of Homeland Security

National Protection and Programs Directorate

Federal Protective Service



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

FEDERAL PROTECTIVE SERVICE

I. Appropriation Overview

A. Mission Statement for Offsetting Collections:

The Federal Protective Service (FPS) is the federal law enforcement organization responsible for the protection of federal facilities. FPS executes the Department of Homeland Security's responsibility to protect federally owned property, leased property and personnel across the nation, as required by section 1315 of title 40 United States Code. FPS operations focus on security and law enforcement activities that reduce vulnerability to criminal and terrorist threats, while ensuring facilities are secure and occupants are safe. FPS protects federal facilities and the employees within them through measures such as all hazards based risk assessments; appropriate placement of countermeasures, law enforcement response; assistance to stakeholders through Facility Security Committees; and emergency and safety education. FPS also partners with federal agencies to provide additional required security services. FPS is the lead Government Facilities Sector-specific Agency for the National Infrastructure Protection Plan (NIPP). FPS employs approximately 1,225 Law Enforcement Officers (LEO) and non LEO employees and the services of 15,000 contract security guards strategically located throughout the Nation to protect facilities in its purview.

The FY 2010 budget transfers FPS to the National Protection and Programs Directorate (NPPD). This transfer will allow Immigration and Customs Enforcement (ICE), which used to manage the FPS program, to focus on its law enforcement mission of protecting the American people by targeting the people, money, and materials that support terrorist and criminal activities relating to our nation's borders.

FPS should reside within NPPD, given NPPD's responsibility for leadership of the National Infrastructure Protection Plan. As the Sector-specific agency for the Government Facilities sector, FPS has been an active critical infrastructure security partner with IP. FPS will be able to gain synergy by working alongside NPPD's Office of Infrastructure Protection (IP), and having FPS and IP in the same organization further solidifies NPPD as the Department's lead for critical infrastructure protection.

B. Budget Activities:

Basic Security - The Basic Security services include law enforcement on federally-controlled property, preliminary investigations of incidents, limited proactive activities to detect and deter attack on high-risk facilities, and capture and detention of suspects. This security also includes the 24-hour security alarm monitoring, nationwide dispatch services, facility security assessments, assistance to Facility Security Committees, and sharing of current intelligence on domestic and foreign terrorist threats. The rate for these services will remain \$.66 per square foot of GSA controlled property in FY 2010. FPS estimates collections for Basic Security to total \$220 million for FY 2010.

Building Specific Security - Building Specific Security is based on security countermeasure requirements specific to a particular building. The two components are the Contract Security Guard and Security Systems programs. The Contract Security Guard program includes access control to facility entrances and exits, employee and visitor identification checks, monitoring security equipment, and roving patrols of the interior and exterior of federal facilities. The Security Systems program includes the purchase, installation, and maintenance of security equipment, such as cameras, alarms, magnetometers, and x-ray machines. Security equipment is based on identified projects in security assessment and standard replacement schedules. FPS estimates collections for Building Specific Security to total \$420 million for FY 2010.

Security Work Authorizations – FPS enters into Security Work Authorizations with customer agencies to procure security measures beyond those included within Basic Security and Building Specific Security. FPS does not request authority for these collections because the additional security services and contract guards are determined by the operational security needs of the customer agencies (e.g. an additional contract guard and CCTV cameras within a U.S. Citizenship and Immigration Services waiting room in a multi-tenant Federal building). FPS estimates collections for Security Work Authorizations to total \$475 million for FY 2010.

C. Budget Request Summary:

FPS requests 1,225 positions, 1,225 FTE, and new off-setting collection authority to spend its fees for FY 2010.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
National Protection and Programs Directorate
Federal Protective Service**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 ¹ Actual		FY 2009 ¹ Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Federal Protective Service	1,072	518,321	1,225	640,000	1,225	640,000	-	-			-	-
Net, Enacted Appropriations and Budget Estimates	1,072	518,321	1,225	640,000	1,225	640,000	-	-	-	-	-	-

¹Funding in FY 2008 and FY 2009 for Federal Protective Services was requested as part of U.S. Immigration and Customs Enforcement. Funding is now being proposed for transfer to NPPD in the FY 2010 Request.

III. Current Services Program Description

**Department of Homeland Security
National Protection and Programs Directorate
Federal Protective Service
Program Performance Justification
(Dollars in thousands)**

PPA: Federal Protective Service

	Perm. Positions	FTE	Amount
2008 Actual ¹	1,081	1,072	518,321
2009 Enacted ¹	1,225	1,225	640,000
2010 Adjustments-to-Base	-	-	-
2010 Current Services	1,225	1,225	640,000
2010 Program Change	-	-	0
2010 Request	1,225	1,225	640,000
Total Change 2009-2010	-	-	-

¹Funding in FY 2008 and FY 2009 for Federal Protective Services was requested as part of U.S. Immigration and Customs Enforcement. Funding is now being proposed for transfer to NPPD in the FY 2010 Request.

CURRENT SERVICES PROGRAM DESCRIPTION

National Protection and Programs Directorate requests new authority to spend offsetting collections.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Federal Protective Service (FPS) is the Federal law enforcement organization responsible for the protection and security of Federal buildings, property, and personnel across the Nation. FPS security operations include regular facility security assessments of Federal facilities, nationwide communications, alarm monitoring, and dispatching services, and administration of contract guards within federal facilities.

In FY 2009, FPS continued to realign its mission, workforce, and resources to strengthen Federal physical security measures, procedures, and standards that apply to Federal buildings and enhance oversight and protection activities. FPS is focused on executing the protection of Federal property as required by section 1315 of Title 40 United States Code and as the sector-specific agency for the National Infrastructure Protection Plan (NIPP). Relying on the work of FPS Law Enforcement Security Officers (Inspectors), the protection focus is driven by the guiding principles of stakeholder service, technical expertise and organizational excellence. These include efficient stakeholder-oriented law enforcement and security services; sound standards, consistent compliance, and innovative techniques; strengthening overall organizational performance and business processes; and continuously enhancing the protection of Federal facilities under a risk-based approach.

The FPS strategic goal “*Secure Facilities, Safe Occupants*” continues to focus on the protection of Federal facilities and employees through a comprehensive law enforcement and security program. FPS security operations include regular building security assessments of Federal facilities, nationwide communications, alarm monitoring, and dispatching services, and administration of contract guards within Federal facilities.

The FY 2010 request includes transfer of FPS to the National Protection and Programs Directorate, to further align the critical infrastructure protection missions within the Department.

Significant accomplishments in FY 2008 included:

- Strengthening security standards representing the key elements for reducing threat and vulnerability levels at Federal facilities;
- Improving the strategic methods used in identifying and reducing real and /or perceived threats faced by customers; and
- Providing law enforcement and security services at national security events that pose increased threats at or in the vicinity of Federal facilities, including the Democratic National Convention, the Republican National Convention and related demonstrations and protests.

FY 2009 FPS planned accomplishments include:

- Realigning its mission, workforce and resources to further strengthen the protection of Federal property through collaborative partnerships and effective communication with stakeholders, proactive information and intelligence sharing, efficient stakeholder-oriented law enforcement and security services, sound security procedures with consistent compliance and innovative techniques through a highly skilled and operationally aligned workforce;
- Providing law enforcement and security services at national security events that pose increased threats at or in the vicinity of federal facilities, including the Inauguration, Presidential Transition, demonstrations, and protests; and
- Serving as the sector specific agency for the Government Facilities Sector under the National Infrastructure Protection Plan (NIPP) to coordinate protection and security efforts for designated critical infrastructure and key resources across the sector.
- Developing and implementing a capital plan to utilize current balances to modernize FPS infrastructure.

FY 2010, FPS plans on:

- Continuing to provide maximum protection to ensure facilities are secure and occupants kept safe;
- Improving the strategic methods used in identifying and reducing actual and potential threats directed at FPS-protected facilities;
- Restoring proactive monitoring and law enforcement activities to mitigate the increased risk to FPS-protected facilities noted by the Government Accountability Office;
- Improving the service provided by our contract security guard force multiplier via effective acquisition strategies and intensive monitoring and coaching;
- Developing risk-based security standards tied to intelligence by implementing a robust and improved risk assessment tool to improve threat identification, identify associated risk mitigation countermeasures and provide objective security evaluations to stakeholders;
- Increasing coordination across the government facilities sector in support of the FPS roles as the sector-specific agency under the National Infrastructure Protection Plan (NIPP); and
- Continuing to refine business practices to ensure full collection of revenue through positive stakeholder interface.
- Continuing to implement a capital plan that will result in improved security and customer service.

IV. Program Justification of Changes

Not applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
National Protection and Programs Directorate
Justification of Proposed Changes in Federal Protective Service
Appropriation Language**

The revenues and collections of security fees credited to this account shall be available until expended for necessary expenses related to the protection of Federally-owned and leased buildings and for the operations of the Federal Protective Service[: *Provided*, That the Secretary of Homeland Security and the Director of the Office of Management and Budget shall certify in writing to the Committees on Appropriations of the Senate and the House of Representatives no later than December 31, 2008, that the operations of the Federal Protective Service will be fully funded in fiscal year 2009 through revenues and collection of security fees, and shall adjust the fees to ensure fee collections are sufficient to ensure that the Federal Protective Service [maintains not fewer than 1,200 full-time equivalent staff and 900 full-time equivalent Police Officers, Inspectors, Area Commanders, and Special Agents who, while working, are directly] *is* engaged on a daily basis protecting and enforcing laws at Federal buildings (referred to as `in-service field staff`)]. ([Consolidate Appropriations Act 2009] **Department of Homeland Security Appropriations Act, 2010.**)

Explanation of Changes:

FPS should be allowed to determine the appropriate staffing levels based on developing tools that establish vulnerability, risk, and consequence as opposed to having a set number directed in the Appropriation.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
National Protection and Programs Directorate
Federal Protective Service
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE.</u>	<u>Amount</u>
2008 Actual ¹	1,081	1,072	518,321
2009 Enacted ¹	1,225	1,225	640,000
Adjustments-to-Base			
Total Adjustments-to-Base	---	---	---
2010 Current Services	1,225	1,225	640,000
 Program Changes			
Total Program Changes	---	---	---
 2010 Request	1,225	1,225	640,000
 2009 to 2010 Total Change	---	---	---

¹Funding in FY 2008 and FY 2009 for Federal Protective Services was requested as part of U.S. Immigration and Customs Enforcement. Funding is now being proposed for transfer to NPPD in the FY 2010 Request.

C. Summary of Requirements

**Department of Homeland Security
National Protection and Programs Directorate
Federal Protective Service
Summary of Requirements
(Dollars in Thousands)**

	2010 Request		
	Perm. Pos.	FTE	Amount
2008 Actual ¹	1,081	1,072	518,321
2009 Enacted ¹	1,225	1,225	640,000
2010 Current Services	1,225	1,225	640,000
2010 Total Request	1,225	1,225	640,000
2009 to 2010 Total Change	---	---	---

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Basic and Building Specific Security	1,225	1,225	640,000	---	---	-	---	---	\$ ---	1,225	1,225	\$640,000	---	---	\$0
Total	1,225	1,225	\$640,000	---	---	-	---	---	---	1,225	1,225	\$640,000	---	---	\$0

¹Funding in FY 2008 and FY 2009 for Federal Protective Services was requested as part of U.S. Immigration and Customs Enforcement. Funding is now being proposed for transfer to NPPD in the FY 2010 Request.

D. Summary of Reimbursable Resources

Not applicable

E. Summary of Requirement by Object Class

Department of Homeland Security
National Protection and Programs Directorate
Federal Protective Service
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Federal Protective Service		2008 Actual ¹	2009 Enacted ¹	2010 Request	2009-2010 Change
Object Classes:					
11.1	Perm Positions	\$81,958	\$95,457	\$97,120	\$1,663
11.3	Other than perm	\$118	\$80	\$82	\$2
11.5	Other per comp	\$11,600	\$11,595	\$10,873	-\$722
11.8	Spec Srvc Pay	\$0	\$0	\$0	\$0
12.1	Benefits	\$24,682	\$34,894	\$35,961	\$1,067
	Total, Personal Comp. & Benefits	\$118,358	\$142,026	\$144,036	\$2,010
Other Object Class					
21.0	Travel	\$3,629	\$4,223	\$4,307	\$84
22.0	Transportation of things	\$7,757	\$10,524	\$10,734	\$210
23.1	GSA rent	\$27,370	\$23,277	\$23,087	-\$190
23.2	Other rent	\$89	\$0	\$0	\$0
23.3	Communication, Utilities, and misc charges	\$7,632	\$7,408	\$7,556	\$148
24.0	Printing	\$8	\$21	\$21	\$0
25.1	Advisory & Assistance Services	\$20,046	\$15,878	\$15,996	\$118
25.2	Other Services	\$305,338	\$391,779	\$390,501	-\$1,278
25.3	Purchase from Govt. Accts.	\$3,367	\$1,800	\$1,836	\$36
25.4	Operation & maintenance of facilities	\$131	\$680	\$694	\$14
25.5	Research & Development	\$0	\$0	\$0	\$0
25.6	Medical care	\$6	\$36	\$37	\$1
25.7	Operation & maintenance of equipment	\$9,040	\$8,222	\$8,386	\$164
25.8	Subsistence & Support of persons	\$0	\$0	\$0	\$0
26.0	Supplies & materials	\$4,653	\$2,800	\$2,856	\$56
31.0	Equipment	\$10,232	\$31,326	\$29,953	-\$1,373
32.0	Land & Structures				
41.0	Grants/Subsidies/Contributions				
42.0	Indemnity	\$665	\$0	\$0	\$0
	Total, Other Object Class	\$399,963	\$497,974	\$495,964	-\$2,010
	Total, Obligations	\$518,321	\$640,000	\$640,000	\$0
	Unobligated balance, start of year	-\$53,144	-\$98,533	-\$13,533	\$85,000
	Unobligated balance, end of year	\$98,533	\$13,553*	\$0	-\$13,553
	Recoveries of prior year obligations	-\$21,926	-\$20,000	-\$20,000	\$0
	Total requirements	\$541,784	\$535,000	\$606,467	\$71,447

*The difference between the start of year unobligated balance and end of year unobligated balance in 2009 is due to projected capital plan expenditures and the timing of projected collections.

¹Funding in FY 2008 and FY 2009 for Federal Protective Services was requested as part of U.S. Immigration and Customs Enforcement. Funding is now being proposed for transfer to NPPD in the FY 2010 Request.

F. Permanent Positions by Grade

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Federal Protective Service
Permanent Positions by Grade**

Grades and Salary Ranges	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
	Pos.	Pos.	Pos.	Total
Total, SES	1	2	2	---
Total, EX	---	---	---	---
GS-15	30	15	15	---
GS-14	81	85	85	---
GS-13	149	180	180	---
GS-12	433	728	728	---
GS-11	102	75	75	---
GS-10	27	4	4	---
GS-9	117	60	60	---
GS-8	111	36	36	---
GS-7	21	30	30	---
GS-6	5	7	7	---
GS-5	4	3	3	---
Total Permanent Positions	1,081	1,225	1,225	---
Unfilled Positions EOY	(9)	---	---	---
Total Perm. Employment EOY	1,081	1,225	1,225	---
FTE	1,072	1,225	1,225	---
Headquarters	134	173	173	---
U.S. Field	947	1,052	1,052	---
Foreign Field	---	---	---	---
Total Permanent Positions	1,081	1,225	1,225	---
Average ES Salary	\$ 154,600	\$ 173,912	\$ 173,912	---
Average GS Salary	\$ 88,711	\$ 92,749	\$ 92,774	25
Average GS Grade	11.36	11.76	11.81	0

G. Capital Investment and Construction Initiative Listing

Not applicable

H. PPA Budget Justifications

PPA: Federal Protective Service - Security		FY 2008 Actual ¹	FY 2009 Enacted ¹	FY 2010 Request	FY 2010 Change
Object Classes:					
11.1	Perm Positions	\$ 81,958	\$ 95,457	\$ 97,120	\$ 1,663
11.3	Other than perm	\$ 118	\$ 80	\$ 82	\$ 2
11.5	Other per comp	\$ 11,600	\$ 11,595	\$ 10,873	\$ (722)
12.1	Benefits	\$ 24,682	\$ 34,894	\$ 35,961	\$ 1,067
21.0	Travel	\$ 3,629	\$ 4,223	\$ 4,307	\$ 84
22.0	Transportation of things	\$ 7,757	\$ 10,524	\$ 10,734	\$ 210
23.1	GSA rent	\$ 27,370	\$ 23,277	\$ 23,087	\$ (190)
23.2	Other rent	\$ 89	\$ -	\$ -	\$ -
23.3	Communication, Utilities, and misc charges	\$ 7,632	\$ 7,408	\$ 7,556	\$ 148
24.0	Printing	\$ 8	\$ 21	\$ 21	\$ -
25.1	Advisory & Assistance Services	\$ 20,046	\$ 15,878	\$ 15,996	\$ 118
25.2	Other Services	\$ 305,338	\$ 391,779	\$ 390,501	\$ (1,278)
25.3	Purchase from Govt. Accts.	\$ 3,367	\$ 1,800	\$ 1,836	\$ 36
25.4	Operation & maintenance of facilities	\$ 131	\$ 680	\$ 694	\$ 14
25.5	Research & Development	\$ -	\$ -	\$ -	\$ -
25.6	Medical care	\$ 6	\$ 36	\$ 37	\$ 1
25.7	Operation & maintenance of equipment	\$ 9,040	\$ 8,222	\$ 8,386	\$ 164
25.8	Subsistence & Support of persons	\$ -	\$ -	\$ -	\$ -
26.0	Supplies & materials	\$ 4,653	\$ 2,800	\$ 2,856	\$ 56
31.0	Equipment	\$ 10,232	\$ 31,326	\$ 29,953	\$ (1,373)
32.0	Land & Structures	\$ -	\$ -	\$ -	\$ -
41.0	Grants/Subsidies/Contributions	\$ -	\$ -	\$ -	\$ -
42.0	Indemnity	\$ 665	\$ -	\$ -	\$ -
Total, Federal Protective Service - Security		\$ 518,321	\$ 640,000	\$ 640,000	\$ -
Full Time Equivalents		1,072	1,225	1,225	0

¹Funding in FY 2008 and FY 2009 for Federal Protective Services was requested as part of U.S. Immigration and Customs Enforcement. Funding is now being proposed for transfer to NPPD in the FY 2010 Request.

Mission Statement

Federal Protective Service (FPS) is the Federal law enforcement organization responsible for the protection and security of Federally-owned and leased buildings, property, and personnel across the Nation. The FPS operations focus on law enforcement and reduction of Federal facility vulnerabilities to criminal and terrorist threats, while ensuring that public facilities are safe, secure and remain available as a vital part of every day American life. FPS uses approximately 15,000 contract security guards and 1,225 Law Enforcement Officers and civilian employees who are strategically located throughout the Nation to provide security and law enforcement coverage to all General Services Administration (GSA)-owned and -operated Federal facilities. The FPS currently performs all necessary security and protection functions at more than 8,900 Federally owned and leased locations throughout the Nation, totaling approximately 330 million square feet of space, housing more than 1.1 million Federal personnel.

The FY 2010 FPS security collections cover various types of security services such as the law enforcement response to emergency calls, preliminary investigations of incidents and apprehension of suspects, the FPS Mega Center that maintains 24-hour security alarm monitoring and provides nationwide communication dispatch to enforcement personnel, the physical security initiatives including security awareness programs for tenants, coordination of Occupant Emergency Plans, and consultations with Facilities Security Committees on security countermeasures for Federal facilities are also services provided within the basic security program. In addition, these collections are used to conduct building threat assessments of Federal facilities and the development of action plans to reduce the threats, the acquisition, installation, and maintenance of security countermeasure, and the criminal investigations wherein there is sharing of current intelligence on domestic and foreign terrorist threats.

Summary Justification and Explanation of Changes

	FY 2008	FY 2009	FY 2010	2009 - 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$118,358	\$142,026	\$144,036	\$2,010

Salaries and Benefits includes costs for 1,225 FTEs. Increase is due to cost of living and inflation increases.

	FY 2008	FY 2009	FY 2010	2009 - 2010
	Actual	Enacted	Request	Change
Travel	\$3,629	\$4,223	\$4,307	\$84

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. Funding in the travel area will be used to complete all Building Security Assessments and training requirements. The annual change reflects general cost increases.

	FY 2008	FY 2009	FY 2010	2009 - 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$7,757	\$10,524	\$10,734	\$210

Transportation of things includes all costs of the care of such things while in process of being transported, other services incident to the transportation of things, and the FPS law enforcement vehicle lease costs. The annual change reflects general cost increases.

	FY 2008	FY 2009	FY 2010	2009 - 2010
	Actual	Enacted	Request	Change
GSA rent	\$27,370	\$23,277	\$23,087	-\$190

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. Decrease is due to space reprioritization.

	FY 2008	FY 2009	FY 2010	2009 - 2010
	Actual	Enacted	Request	Change
Other Rent	\$89	\$0	\$0	\$0

	FY 2008	FY 2009	FY 2010	2009 - 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$7,632	\$7,408	\$7,556	\$148

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services.

	FY 2008	FY 2009	FY 2010	2009 - 2010
	Actual	Enacted	Request	Change
Printing	\$8	\$21	\$21	\$0

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 - 2010 Change
Advisory and Assistance Services	\$20,046	\$15,878	\$15,996	\$118

The annual change reflects general cost increases.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 - 2010 Change
Other Services	\$305,338	\$391,779	\$390,501	-\$1,278

The annual change reflects general cost increases.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 - 2010 Change
Purchase from Government Accounts	\$3,367	\$1,800	\$1,836	\$36

The annual change reflects general cost increases.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 - 2010 Change
Operation & maintenance of facilities	\$131	\$680	\$694	\$14

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The annual change reflects general cost increases.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 - 2010 Change
Medical Care	\$6	\$36	\$37	\$1

The annual change reflects general cost increases.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 - 2010 Change
Operation & Maintenance of equipment	\$9,040	\$8,222	\$8,386	\$164

The annual change reflects general cost increases.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 - 2010 Change
Supplies & materials	\$4,653	\$2,800	\$2,856	\$56

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The annual change reflects general cost increases.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 - 2010 Change
Equipment	\$10,232	\$31,326	\$29,953	-\$1,373

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. Decrease is due to equipment reprioritization.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 - 2010 Change
Indemnity	\$665	\$0	\$0	\$0

I. Changes in Full Time Equivalent

Summary of FY2010 Budget Estimates by Appropriation and Program
U.S. Immigration and Customs Enforcement
Federal Protective Service
 Changes in Full Time Equivalent

		FY 2008 Enacted		FY 2009 Enacted		FY 2010 Request
BASE: Year-end Actual from Prior Year		1,156		1,225		1,225
INCREASES						
FY 2008 Enacted		-		-		-
FY 2009 President's Request		-		-		-
Attrition Hiring		74		-		-
Subtotal, Increases		74		-		-
DECREASES						
Attrition Loses		(158)				-
Subtotal, Decreases		(158)		-		-
Year-end Actual / Estimated FTEs		1,072		1,225		1,225
Net Change from prior year SOY base to budget year EOY estimate:		(158)		-		-

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity

Not applicable

Department of Homeland Security

National Protection and Programs Directorate

United States Visitor and Immigrant Status Indicator Technology



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

National Protection and Programs Directorate United States Visitor and Immigrant Status Indicator Technology (US-VISIT) Program

I. Appropriation Overview

A. Mission Statement

The mission of the Department of Homeland Security (DHS) United States Visitor and Immigrant Status Indicator Technology (US-VISIT) Program is to provide biometric identity verification services to authorized DHS, Federal, State and local government and law enforcement agencies in support of the DHS mission. Through its use of biometrics, US-VISIT collects, stores and shares digital fingerscans and digital photographs for subsequent verification. This biometric information is paired with biographic information pertaining to that individual used to establish and verify an individual's identity, as well as vet that identity against criminal and immigration violator watchlists.

US-VISIT established four guiding principles to accomplish its mission: (1) enhance the security of our citizens and visitors; (2) facilitate legitimate travel and trade; (3) ensure the integrity of our immigration system; and (4) protect the privacy of our visitors. US-VISIT is a key component of a multi-layered, multi-agency defense that is integral to domestic security. US-VISIT satisfies legislative and DHS mandates; and contributes to DHS immigration and border management goals and provides U.S. citizens and foreign visitors with a safer and more facilitative border security and immigration process.

B. Budget Activities

Systems Operations and Maintenance (O&M) – US-VISIT operates and maintains two major automated identification systems in support of its mission: the Automated Biometric Identification System (IDENT) for biometric data and the Arrival and Departure Information System (ADIS) for biographic data. US-VISIT provides the information technology (IT) support enabling identity verification and screening services through these systems; including the support infrastructure providing the foundation for enhancing and developing new capabilities. O&M includes systems operations and maintenance, developing IT architecture and platforms for user and program interfaces, data center operations support and services, network and data communications integration and support, and technical IT support services.

IDENT processes more than 135,000 transactions per day for DHS and the Department of State, as well as other stakeholders. At the end of FY 2008 IDENT had over 95 million fingerprint records of individuals and contained biometric data for legitimate travelers to the United States, immigration benefit seekers, and immigration violators. IDENT contains biometric watchlists and enrolled fingerprints that are compared to identify persons who should be more closely scrutinized prior to entering the United States or prior to granting visas or immigration benefits. Biometric watchlists contain information on known or suspected terrorists (KSTs), criminals, sexual offenders, domestic and international fugitives, threats to officer safety, military detainees, persons of interest, and immigration violators. Each time DHS encounters an individual, his or her fingerprints are compared against the watchlist and the results returned to the agency fingerprint submitter. At the initial

encounter, the individual is enrolled and his or her biometric data is placed in IDENT. The individual's fingerprints are compared against the enrollment to verify identity on each subsequent encounter. Each time fingerprints are taken, the reason for the encounter—such as entry to the United States at an air, sea, or land port of entry (POE), or application for a visa or immigration benefits—is recorded in IDENT. For example, when a foreign traveler provides fingerprints to a U.S. Customs and Border Protection (CBP) officer at a POE, the identity verification and watchlist check results are provided back to the officer in less than 10 seconds. Identity verification or matches against a watchlist assist decisionmakers in determining admissibility or eligibility for immigration benefits. Using an automated system quickly enables the identification of KSTs, criminal aliens, and repeat immigration violators, even by those who resort to the use of fraudulent documents and aliases.

ADIS contains arrivals, departures, and current immigration status about noncitizens. This information is gathered from Traveler Enforcement Compliance System officer-confirmed arrivals, I-94 forms, and other traveler information. ADIS compares departures with arrivals to create a complete record of events for more than 200 million foreign travelers and identifies whether the traveler has possibly overstayed their admissibility.

Identity Management and Screening Services – US-VISIT is the DHS focal point for providing identity management and screening services, handling a large workload providing diverse assistance and timely responses to DHS in supporting immigration and border management as well as international stakeholders. The IDENT and ADIS systems are supported by fingerprint examiners and analysts in US-VISIT's Identity Services Branch. The fingerprint analyses conducted by examiners in the Biometric Support Center (BSC) provide real-time human biometric verification services, supplementing IDENT automated matching. Data Integrity Group (DIG) analysts work with data from ADIS and other systems to identify and verify overstay violators. Watchlist records are then created for overstay violators and persons of interest with known immigration violations or criminal records. Law Enforcement and Intelligence (LE&I) Section personnel coordinate with law enforcement and intelligence agencies' operational activities to improve US-VISIT data systems accuracy and usefulness. Collectively, these services provide identity management and screening support and reliable information to US-VISIT operational customers and stakeholders.

Program Management Services – US-VISIT provides mission support functions to ensure appropriate planning activities, human capital training and credentialing, budget and financial management services, program-level IT technical support, process improvement, acquisition policies and procedures, facilities, environmental and physical infrastructure, continuity of operations, incident management, and logistics support are in place to effectively execute its mission. These critical functions support overall program direction and control and are crucial to mission accomplishment, including capability development and delivery, operations and maintenance, and program support functions. Program staffing is composed of Federal employees and program support contractors.

Data Center Mirror and Migration – US-VISIT data center operations represent an integral element within the US-VISIT service delivery framework. Presently, US-VISIT systems are hosted in two Department of Justice (DOJ) data centers. This hosting includes physical areas, rack supports, service support, hardware maintenance, memory and storage capacity, data and backup management, operating systems level support, disaster recovery, and network fiber optics and cabling infrastructures. DHS has mandated the consolidation of all component data centers into two DHS enterprise data centers. US-VISIT must migrate its systems by FY 2012. Current US-VISIT data center environments are not 100 percent redundant—they are currently operating at 50 percent redundancy. US-VISIT IDENT and ADIS systems are critical to the Nation's safety and security. Therefore, a "mirroring" step

is required to replicate current data center operations before migration to the two DHS enterprise data centers can occur.

Unique Identity – Full Operational Capability – The Unique Identity – Full Operational Capability includes integrated workstreams for achieving interoperability between IDENT and IAFIS. The use of 10-prints facilitates travel by reducing the number of travelers sent to secondary processing; provides more matchable data, which reduces the likelihood of misidentifying a traveler as being on a US-VISIT watchlist; and increases the opportunities to identify persons of interest, as 10-prints are more likely to be matched to latent fingerprints collected and to be maintained in criminal and intelligence biometric data stores. Interoperability enlarges the biometric database used by border management, intelligence, and law enforcement agencies. In conjunction with 10-prints, enhanced data sharing through interoperability increases the probability of identifying persons of interest and enhances law enforcement actions.

Legislative and Administrative Mandates – The budget requests resources necessary for DHS to meet legislative mandates essential and DHS strategic goals:

The Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (IIRIRA), Public Law 104-208, requires the development of an automated entry and exit control system to collect records of departure and to match them with records of arrival.

The Immigration and Naturalization Service Data Management Improvement Act of 2000 (DMIA), Public Law 106-215, amends IIRIRA to require that the entry and exit data system integrate all “authorized or required” alien arrival and departure data; use available data to match an alien’s arrival and departure; assist the Attorney General (now the Secretary of Homeland Security) and the Secretary of State to identify lawfully admitted nonimmigrants who have overstayed their periods of admission; use available data to produce a report of arriving and departing aliens by nationality, classification as an immigrant or nonimmigrant, and dates of arrival in and departure from the United States; and be implemented at all air and sea ports of entry (POES) by December 31, 2003, at all air and sea ports and the 50 land border ports serving the highest numbers of aliens by December 31, 2004, and at all POEs by December 31, 2005.

The Visa Waiver Permanent Program Act of 2000 (VWPPA), Public Law 106-396, requires that the entry and exit data system –

- Contain records of arrival and departure of every alien admitted under the Visa Waiver Program (VWP) who arrives and departs by air or sea;
- Contain sufficient data to permit the Attorney General (now the Secretary of Homeland Security), for each fiscal year, to calculate the percentage of each VWP country’s nationals who are admitted under the VWP and for whom no departure record exists;
- Use available data to produce a detailed annual report to Congress by December 31 of each year containing the numbers of departing aliens with their nationalities, successful arrival/departure matches, and classifications by immigrant or nonimmigrant, VWP, and other immigrants for whom no departure data is available at the end of the alien’s authorized period of stay, among other specific information; and
- Record arrivals and departures of every VWP alien transiting through air and sea ports by October 1, 2001.

The Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism (USA PATRIOT) Act, Public Law 107-56, requires that the entry and exit data system be implemented with all deliberate speed and as expeditiously as practicable, particularly focused on using biometrics and tamper-resistant documents, and be able to interface with law enforcement databases for use by Federal law enforcement to identify and detain individuals who are threats to national security.

The Enhanced Border Security and Visa Entry Reform Act of 2002 (EBSVERA), Public Law 107-173, requires that the entry and exit data system –

- Use technology and biometric standards to be developed by the National Institute of Standards and Technology, in consultation with other agencies, for alien identification and other purposes;
- Be accessible at POEs and overseas consular posts;
- Consist of equipment and software to allow biometric comparison and authentication of all U.S. visas, other travel and entry documents issued to aliens, and the machine-readable, biometric passports required to be issued to nationals of VWP countries at all POEs by October 26, 2005;
- Have database(s) containing alien arrival and departure data from machine-readable visas, passports and other travel and entry documents;
- Use technologies that facilitate the lawful and efficient cross-border movement of commerce and persons without compromising the safety and security of the United States; and
- Be integrated into the new and broader Immigration and Naturalization Data System that fully integrates all the former Immigration and Naturalization Service databases and data systems that process or contain alien information.

The Intelligence Reform and Terrorism Prevention Act of 2004 (IRTPA), Public Law 108-458, Section 7208, specifically addresses biometric entry and exit and calls for the Secretary of Homeland Security to accelerate the full implementation of US-VISIT.

The Implementing Recommendations of the 9/11 Commission Act, Public Law 110-53, Section 711, calls for the creation of a biometric exit system at airports to record the departure of VWP travelers. Such an air exit system must match biometrics against watchlists and immigration information and compare biometrics against the departure manifest to confirm the individual alien's departure from the United States.

C. Budget Request Summary

US-VISIT requests 212 full-time positions (FTPs), 199 full-time equivalents (FTEs), and \$356,194,000. The net program change is a \$56,194,000 increase.

Adjustment-to-Base

- *Annualization of Prior Year Funding* – (0 Positions, 18 FTEs, \$2,430,000 increase). For the annualization of these FTE costs.
- *Annualization of 2009 Pay Raise* – (0 positions, 0 FTEs, \$181,000 increase). Salaries and benefits for FY 2009.
- *2010 Pay Increase* – (0 FTP increase, 0 FTEs increase, \$278,000 increase). Salaries and benefits for FY 2010.

- *GSA Rent* – (0 FTP increase, 0 FTE increase, \$260,000 increase). All payments to the General Services Administration for rental of office space and rent-related services.
- *Working Capital Fund Increase* – (0 FTP increase, 0 FTE increase, \$151,000 increase).
- *Federal Staffing Realignment* – (62 FTPs increase, 62 FTEs increase, \$0 increase). National Protection and Programs Directorate (NPPD) is offsetting the funding for 62 Federal positions from program funds for US-VISIT. The table below summarizes the \$8,618,000 offset in US-VISIT program funds.

PPA	Positions	FY 2010 Personnel	Offset FY 2010 Program Funding	Net Budget Change
US-VISIT	62	\$8,618,000	(\$8,618,000)	\$0

Program Changes:

- *Systems Operations and Maintenance* – (0 FTP increase, 0 FTE increase, \$41,926,000 increase). The requested program change supports identity verification and screening services and includes funds for additional US-VISIT infrastructure technology enhancements and development of new capabilities supporting IDENT and ADIS. US-VISIT will maintain existing service-level agreements with an estimated organic growth of 20–30 million records annually, as well as maintaining processing and response times with internal and external DHS customers and stakeholders at 99.7 percent during FY 2010. US-VISIT expects to maintain current response-time agreements with user agencies; watch list searches completed in less than 10 seconds; enforcement transactions completed in less than 2 minutes; BioVisa initial searches completed below the 15 minute mark; and Border Crossing Card searches completed in less than 24 hours.
- *Identity Management and Screening Services* – (0 FTP increase, 0 FTE increase, \$11,218,000 increase). The requested program change supports biometric identification and watchlist management; overstay management; developing a full-time operational capability to provide integrated, timely information to user agencies; and improved immigration screening capabilities with cooperative foreign immigration services.
- *Program Management Services*: (0 FTP increase, 0 FTE increase, \$17,463,000 increase). These funds will ensure US-VISIT has appropriate strategic and operational planning and support services crucial to mission execution and requirements satisfaction. As US-VISIT continues increasing Federal staffing to meet program requirements, these funds will provide the growing workforce’s salaries and expenses. The funds will allow US-VISIT to maintain its efforts toward increasing the workforce while improving recruiting practices, workforce retention, professional training, and credentialing while ensuring US-VISIT’s human capital needs are strategically and proactively managed.
- *Data Center Mirror and Migration* – (0 FTP increase, 0 FTE increase, \$19,917,000 increase). The requested increase in base funding will support mirroring and migrating US-VISIT systems to two DHS enterprise data centers.
- *Unique Identity* – (0 FTP increase, 0 FTE increase, \$37,630,000 decrease). The requested program change to IDENT and ADIS improves data center redundancy by 25 percent and improves IDENT system capacity utilization from 80 percent to 77 percent; reducing catastrophic transaction queuing failure risks caused by surges when system capacity is exceeded. This interoperability provides real-time services and data sharing that includes a shared-service component, wrap-back functionality, increased accuracy, and full deployment of the immigration data response.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
National Protection Programs Directorate
United States Visitor and Immigrant Status Indicator Technology
 Summary of FY 2010 Budget Estimates by Appropriation
 Total Appropriations
 (Dollars in Thousands)

Budget Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE*	AMOUNT	FTE*	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
United States Visitor and Immigrant Status Indicator Technology	93	\$338,312	119	\$300,000	199	\$356,194	80	56,194	---	52,894	80	\$3,300
Subtotal, Enacted Appropriations and Budget Estimates	93	\$338,312	119	\$300,000	199	\$356,194	80	56,194	0	52,894	80	3,300
Less: Adjustments for Other Funding Sources:	---	---	---	---	---	---	---	---	---	---	---	---
Net, Enacted Appropriations and Budget Estimates	93	\$338,312	119	\$300,000	199	\$356,194	80	\$56,194	0	\$52,894	80	\$3,300

*Includes 62 additional Federal positions offset from program funds.

III. Current Services Program Description by PPA

**Department of Homeland Security
National Protection and Programs Directorate**

United States Visitor and Immigrant Status Indicator Technology

Program Performance Justification
(Dollars in thousands)

		Perm Pos	FTE	Amount
2008	Actual	115	93	\$ 338,312
2009	Enacted	150	119	\$ 300,000
2010	Adjustments-to-base*	62	80	3,300
2010	Current Services	212	199	\$ 303,300
2010	Program Change	-	-	\$52,894
2010	Request	212	199	\$356,194
	Total Change 2009-2010	62	80	\$56,194

* Includes 62 additional Federal positions offset from program funds.

US-VISIT requests \$356,194,000 in FY 2010 for ongoing operations, including the implementation of initiatives and deployment of capabilities—an increase of \$56,194,000 from FY 2009.

CURRENT SERVICES PROGRAM DESCRIPTION:

Systems Operations and Maintenance (O&M)

<i>In thousands</i>	FY 2009 Enacted	FY 2010 Request
Systems Operations and Maintenance	\$86,200	\$128,126

US-VISIT operates and maintains the IDENT and ADIS systems, providing essential biometric and biographic identity management services to US-VISIT customers in a reliable and timely fashion. US-VISIT maintains these systems to ensure they meet significant annual increases in transactions and gallery sizes (fingerprints stored within IDENT), and maintain established response times through service-level agreements with customers.

IDENT and ADIS O&M is critical to the immigration and border management enterprise. US-VISIT technologies support the missions of CBP, U.S. Immigration and Customs Enforcement (ICE), U.S. Citizenship and Immigration Services (USCIS), U.S. Coast Guard (USCG), DOD, Department of State (DOS), DOJ, Transportation Security Administration (TSA), and the intelligence community. Failing to maintain deployed systems and capabilities adversely impacts data search and response times critical to stakeholder mission success. O&M includes application support for adaptive, preventive, and perfective maintenance, release management, architecture support, interface support, configuration management, security certifications and accreditations, software licenses, and appropriate technology refreshes. The primary applications are IDENT, ADIS, and US-VISIT equipment and internal use

systems (corporate systems). US-VISIT's IT services are delivered in compliance with the DHS Enterprise Architecture standards and include platforms for users, program interfaces, data center operations, network communications integration and support, and related technical support services. Data center operations include the physical layout of equipment, hardware maintenance, searchable on-line (memory), storage capacity, data and recovery (backups) management, operating system services, and disaster recovery. Network support provides DOJ data centers network and circuit maintenance, controlled access to other DHS components, and specific interfaces to DOS and the US-VISIT program office. A centralized help desk provides support to US-VISIT systems and applications within the US-VISIT program office, as well as database administration, and local area networks at four metropolitan Washington, DC, locations.

US-VISIT operations are a large and complex undertaking requiring uninterrupted operations, maintenance, and application support. US-VISIT currently maintains this operational support at two DOJ data centers (Dallas, Texas, and Rockville, Maryland) that provide logistical support for the deployment of identity verification services. IDENT operation currently is composed of approximately 500 servers, more than 120 highly specialized matchers, and 45 terabytes of data storage. US-VISIT is experiencing a growth rate of two terabytes per month in IDENT operation, which is projected to continue increasing. ADIS operations currently consist of 16 high-end servers across the two data centers and process more than one million transactions a day within a four-terabyte database that is estimated to increase by nearly one terabyte per year.

There are two primary growth drivers associated with the operations and maintenance of the IDENT and ADIS systems: the normal growth in gallery size and transaction volume driven by existing customers, and that arising from new capabilities and new customers. ADIS is currently growing at about 300 million records annually. ADIS intends adding crossing data for the Electronic System for Travel Authorization (ESTA) and the Western Hemisphere Travel Initiative (WHTI); estimated to combine for an additional 300 million records per year—doubling transactions, volume input and throughput, and database storage requirements. As the database grows and the identity-matching candidate pool grows for travelers with duplicative names, ADIS will require faster hardware processing capability both to process twice as many records daily against an ever increasing candidate identity matching pool, and sustaining established customer service levels. ADIS is a real-time system with a 75-year retention policy for all records; necessitating all ADIS data remain online and available to its customers. The customer base is expected to grow with the addition of DOS users in all foreign consulates, as ADIS data is used by DOS to determine visa eligibility and create a robust profile of visa violators and fraudulent activities utilized to obtain visas. These factors will add to the existing field-user base in the US-VISIT Data Integrity Group (DIG), ICE Compliance Enforcement Unit (CEU), and CBP Office of Field Operations.

US-VISIT must invest in leading-edge hardware and software capable of meeting increased performance requirements against a continuously growing database and expanding alien population processed in border crossing operations, while simultaneously sustaining its performance for a widening customer base.

IDENT is experiencing continuing growth in gallery size and transactions driven by increasing service demands from existing customers. The FY 2008 gallery size consisted of approximately 95 million fingerprint records with expected growth (without new capabilities) projected at a minimum 20 million records annually. A 75-year record retention policy also contributes to US-VISIT's data storage and

gallery size growth. The following table illustrates the actual and expected growth in gallery size and transaction volumes.

US-VISIT Current Services O&M Projected Growth	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Annual Transaction Volumes (in millions of transactions)	47	60	66	73	80	88	97
Gallery Size (in millions of records)	95	114	132	151	169	187	205

The second primary workload driver is IDENT capabilities expansion and improvement. IDENT has never operated in a true steady-state environment since its transfer to US-VISIT. New requirements, such as 10-print capture and IDENT/IAFIS interoperability initiatives continue to require funding to meet customer service levels.

FY 2008 Accomplishments – O&M

During FY 2008, US-VISIT provided IT support enabling identity management and screening services and new capability enhancement support. US-VISIT provided full-time support that included systems operations and application maintenance, IT architecture and platform development for user and program interfaces, data center operations support and services, network communications integration and support, and technical IT support.

FY 2008 accomplishments among the main mission systems included the following activities:

IDENT

In FY 2008, IDENT operations and maintenance concentrated on maintaining service levels while experiencing a simultaneous 30 percent growth in watchlist records; a 120 percent increase in latent fingerprint processing; a 20 percent growth in gallery size resulting from increasing demands on existing capabilities; and implementing needed systems operations, performance, and capacity monitoring tools.

It is critical that US-VISIT achieve and maintain established service level response times to provide user agencies with timely information while not impeding workload processing. In FY 2008, US-VISIT's average response time of less than two minutes for DOS consular office queries was well within the 15-minute agreement, and better than the internal US-VISIT target of five minutes. Average response times to enforcement users, such as ICE agents and CBP officers, were well within the two-minute target.

The most notable response time achievement is in support to CBP at the POEs. Anticipating the 10-print pilot deployment, US-VISIT analyzed the watchlist matcher subsystem with a specific focus on response time and optimal configuration. This analysis resulted in recommendations to change the watchlist matcher subsystem configuration that allowed US-VISIT to continue meeting the 10-second SLA response time at primary inspections. These recommendations were implemented in time for the anticipated early Easter travel holiday in March 2008. US-VISIT overcame the response-time spike

experienced in the first quarter of FY 2008 and improved performance by fiscal-year end with response times on CBP queries averaging less than 10 seconds.

ADIS

ADIS operations and maintenance concentrated on improving matching arrivals to departures through Release 3.0 implementation, which consolidated multiple overstay records, and implemented improvements in the matching algorithms. ADIS for FY 2008, system availability averaged 99.4 percent; exceeding the 97 percent target.

ADIS tracks and updates nonimmigrant travelers' status reconciliation codes that identify their travel status. In FY 2008, ADIS implementation of a reconciliation code release systematically improved the business logic and reduced false overstay records identification by 28 percent. Matching ADIS arrival and departure records are performed through system logic and algorithms developed and implemented with the assistance of Lawrence Livermore National Laboratory (LLNL). These implementations improved match rates from 91.3 percent in FY 2007, to 92.5 percent in FY 2008; the highest record-matching accuracy levels possible are required to satisfy mission requirements, particularly overstay identifications.

Corporate Systems

In FY 2008, US-VISIT completed a workstation refresh for government employees. This technology refresh facilitates Continuity of Operations Plan implementation and establishes US-VISIT telework viability.

A preliminary plan is complete for the deployment of a new US-VISIT Local Area Network (LAN) that will support US-VISIT's general support systems long-range implementation that cuts across multiple fiscal years. This plan consolidates general support systems from contractor-operated facilities and establishes improved mission-system development and testing environments.

FY 2009 Planned Accomplishments – O&M

IDENT

In FY 2009, US-VISIT will continue supporting existing customers at established service levels as defined in FY 2008. US-VISIT expects to accommodate an estimated growth 10 percent in transactions and 20 percent in gallery sizes. FY 2009 performance targets include:

- *POE Average Search Time* – Average number of seconds it takes the IDENT system to return a response about a traveler at any POE. The target time is 10 seconds or less. This measure is calculated monthly.
- *POE Peak Average Search Time* – Average number of seconds it takes the IDENT system to return a response about a traveler at any POE. The target time is 10 seconds or less. This measure is calculated for the peak hour of each day.
- *BioVisa Average Search Time* – Average number of minutes it takes the IDENT system, when initially queried, to return a response about a visa applicant at any consular office. The target time is five minutes or less and is calculated monthly.

- *BioVisa Peak Average Search Time* – Average number of minutes it takes the IDENT system, when initially queried, to return a response about a visa applicant at any consular office. The target time is five minutes or less. This measure is calculated for the peak hour of each day.
- *Law Enforcement Average Search Time* – Average number of minutes it takes the IDENT system to complete a search of all of IDENT when CBP and ICE agents make an enforcement request. The target time is two minutes or less. This measure is calculated monthly.
- *Law Enforcement Peak Average Search Time* – Average number of minutes it takes the IDENT system to complete a search of all of IDENT when CBP and ICE agents make an enforcement request. The target time is two minutes or less. This measure is calculated for the peak hour of each day.
- *Biometric Interoperability Average Search Time* – Average number of minutes it takes the IDENT system to return a response for a Federal/State/local/tribal user. The target time is 15 minutes or less.
- *IDENT Operational Availability* – Ratio of the time that the IDENT system is available to process end-user transactions during the period divided by the total scheduled up-time for that period. The target is 99.7 percent or greater.
- *Watchlist False Accept Rate* – Probability that a traveler is erroneously identified as being on the watchlist. The target is 0.04 percent or less.
- *Support increased transactions and gallery size* – More than 20 million new individuals are expected to have a first-time encounter resulting in being added to the IDENT database in FY 2009. Transactions processed are expected to see an annual organic (natural) growth of 10 percent. This is a conservative estimate based on State and local law enforcement accessing IDENT through Secure Communities, interoperability, and the Additional Aliens Rule populations. A key growth driver is the continued deployment of 10-print capture devices at the POEs and related backend processing.
- *Deliver Enterprise Reporting Service* – The Enterprise Reporting Service will establish secured, enterprisewide operational reporting for US-VISIT. This service will support efficient generation of required performance measures and provide analytical person-centric results from law enforcement and immigration officer queries. O&M will establish the capability to manage this new service in production and provide ongoing support for these new tools.
- *Complete deployment of systems tools to monitor systems operations, performance and capacity* – The legacy IDENT system inherited by US-VISIT did not have the tools necessary for effective systems performance monitoring.

ADIS

In FY 2009, US-VISIT expects a 15 percent user increase similar to that experienced in FY 2007 and FY 2008. It is imperative to ensure ADIS system availability remains at 97 percent in the face of this continued growth.

An assessment to identify the challenges facing ADIS was completed in the first quarter of FY 2009. Subsequent reporting will provide an independent technical assessment of production system architecture and system revision recommendations.

Continuously expanding data-sharing agreements are fostering increased US -VISIT and other Agency interactions.

Additional ADIS upgrades include a database upgrade (Oracle 9i to Oracle 10g); and continued biographic-matching improvements through refined Lawrence Livermore National Laboratory (LLNL). LLNL suggested matching algorithms that will compare current record-matching performance against others.

US-VISIT expects the results of this analysis to be delivered in second quarter of FY 2009.

Performance targets include:

- *ADIS Operational Availability* – ratio of the time that the ADIS system is available to process end-user transactions during the period divided by the total scheduled up-time for that period. This measure does not include scheduled downtime – maintain 97 percent or better.

Corporate Systems

US-VISIT (DOJ and ICE) support and network agreements will facilitate data center operations and general office communications.

Software maintenance and licenses (Oracle, Microsoft, etc.) for general office and project support, as well as a variety of general support systems used to maintain program and project documentation and reporting, are supported through the O&M’s corporate portion.

ICE is transitioning the Help Desk support to US-VISIT beyond FY 2009. US-VISIT will assume responsibility for corporate (LAN, desktop, and communications) and mission-critical systems (IDENT and ADIS Help Desk activities). This new support requirement extends beyond the simple need for additional contractor support, including developing and implementing processes and procedures allowing US-VISIT to meet the mission requirements formerly provided by ICE.

FY 2010 Projected Accomplishments – O&M

In FY 2010, funds are requested to enable IDENT and ADIS adherence to performance targets presented for FY 2008–2009 in the face of challenges posed by increasing gallery size and transaction volumes. Increased IDENT workload is anticipated as a result of rolling-out additional 10-print/IDENT/IAFIS interoperability, expanding State and local support request, support for the Secure Communities initiative, expansion of mobile capabilities supporting law enforcement interaction with IDENT, and growth in credentialing transactions supporting DHS agency compliance with Homeland Security Presidential Directive 12. The most notable workload driver for ADIS will be incorporating WHTI, ESTA, and DOS data to provide a complete non-immigrant travel record.

Identity Management and Screening Services

<i>In thousands</i>	FY 2009 Enacted	FY 2010 Request
Identity Management and Screening Services	\$20,000	\$31,218

US-VISIT is the DHS central point for providing identity management and screening support. US-VISIT biometric- and biographic-matching functions improve the capabilities to manage and screen

against watchlist records that include KSTs, persons of interest, and immigration violators. These capabilities strengthen national security, Federal, State, local and tribal government collaboration, and meet other user needs.

Identity Management and Screening Services provide IDENT and ADIS systems business management and oversight, real-time human biometric verification services, over-stay analysis, and updates, and maintains the US-VISIT watchlist and lookout records. US-VISIT meets its mission requirements through efforts in four areas: (1) positively confirming biometric identity by operating IDENT, supplemented with fingerprint analyses conducted by examiners in the Biometric Support Center (BSC); (2) operating ADIS and analysis by the DIG enhancing biometric identification through biographic, overstay, and data integrity analysis ; (3) coordinating law enforcement and intelligence operational activities to improve US-VISIT data systems accuracy and usefulness through the Law Enforcement and Intelligence (LE&I) Section; and (4) providing information sharing and technical assistance (a) to other nations engaged in developing biometric capabilities supporting their border and immigration management programs, and (b) supporting DHS efforts ensuring advanced and coordinated research and standards on biometric applications through the leadership of Information Sharing and Technical Assistance (ISTA) Branch staff.

Collectively, these services uniquely identify individuals by providing person-centric, actionable information to US-VISIT operational customers.

FY 2008 Accomplishments - Identity Management and Screening Services

Biometric Support Center (BSC)

US-VISIT's biometric support provides three basic services:

- 10-print verifications that two sets of prints are in fact a match
- Latent-print processing involving the comparison of known 10-prints with previously unidentified latent fingerprints (e.g., prints found at a crime site or a terrorist safe house)
- Enrollment services of lookout candidates submitted by enforcement users for inclusion on the watchlist or in recidivist databases.

On an average day, the BSC verifies over 1,730 fingerprints resulting from unresolved automated system comparisons; completes over 6,800 latent-fingerprint comparisons between known individuals in the US-VISIT database and fingerprints left behind at crime scenes and terrorist incidents; and enrolls nearly 80 individuals' fingerprints onto the US-VISIT watchlist. IDENT watchlist hits can result in ICE and CBP enforcement actions as well as visa denials and denials of immigration benefits, possibly leading to secondary inspections referrals at POEs where CPB officers use all relevant IDENT information and other available sources to make admissibility determinations.

In FY 2008, the BSC:

- Completed 631,533 manual fingerprint verifications
- Completed 2,502,934 latent print verifications
- Completed 230,354 urgent fingerprint verifications submitted by law enforcement in fewer than four minutes on average (below the 10 minute target)
- Completed 28,694 field-submitted IDENT lookout enrollments (enforcement submissions to be added to the IDENT watchlist)

- Completed 4,523 National Security Entry Exit Registration System enrollments
- Identified 333 unknown individuals—deceased, amnesia victims, and others
- Enhanced the Candidate Verification Tool (CVT) to support the transition to 10-print capture and provided improved visualization tools that allowed examiners to better analyze poor-quality prints. CVT is used by US-VISIT fingerprint examiners to compare fingerprints and verify matches.

Data Integrity Group (DIG)

The ADIS database matches arrivals and departures, extensions, changes, or status adjustments to identify individuals having overstayed the terms of their admission. This information supports determinations as to whether nonimmigrant visitors have remained beyond their authorized periods of admission, based on “admit until” dates, and provides the “status indicator” for US-VISIT. Those records are manually validated by the DIG prior to initiating law enforcement action or adverse actions, such as benefit or visa refusals. Overstays fall into two categories: “out-of-country overstays” and “in-country overstays.”

Out-of-country overstays are individuals having left the United States and stayed over 90 days beyond their authorized periods of admission. These individuals are added to the biometric and biographic (IDENT and the DOS Consular Lookout and Support System) “overstay lookout” list, which is automatically checked by CBP officials when an individual attempts to reenter at a POE or by DOS when an individual attempts to obtain a visa at an overseas consulate office. If a traveler is denied admission at a POE or denied a visa, the event is an “adverse action.”

In-country overstays occur when individuals remain in the United States beyond their periods of admission. These identifications result in referrals to ICE and are referred to as “lead recommendations.” ICE then undertakes an investigation to arrest and deport the overstay violator.

The DIG analyzes cases where the admission class (certain visa classes such as ambassadors are exempt) or the individual’s age (under 14 or over 79) suggest the person should not have been fingerprinted and a biometric encounter record created in IDENT. The DIG initiates action to delete the IDENT biometric record if an error is found. In addition, the DIG analyzes cases of multiple identities for potential fraud or system error where multiple fingerprint identification numbers are associated with one person or vice versa. Additionally, the DIG informs USCIS when subjects having pending immigration benefit applications appear to have applied for a benefit when out of status, or who have left the country without authorization and have a benefit application pending; meaning they have abandoned that application.

FY 2008 marked continued advances identifying potential overstay violators. Increases in ICE resources devoted to overstay cases resulted in a doubling of arrests and consulate visa denials. This success corroborates increased emphasis on establishing lookouts to identify persons seeking re-entry or new visas, and having previously overstayed their prior term of admission. These abilities have led to significant increases in adverse actions at POEs and consular offices.

The following table shows the number of cases in which out-of-country lookouts and in-country referrals to ICE have resulted in arrests or denials of visas or admissibility. Over the past three years, DIG efforts resulted in arrests or denials of entry for over 3,000 individuals.

Fiscal Year	Referred to ICE	Arrests Based on Referrals	Out-of-Country Lookouts	Port/Visa Refusals Based on Lookouts
2008	13,343	715	13,276	1,441
2007	12,372	338	7,357	451
2006	4,155	139	457	5

In addition, the DIG achieved operating efficiencies through FY 2008 resulting from improved productivity using a stable and more experienced workforce. Average costs per in-country overstay lead dropped from a high of \$150 per lead in FY 2007, to \$123 in FY 2008. Results for out-of-country overstay leads for the same period of comparison dropped from \$145 to \$114.

Law Enforcement and Intelligence (LE&I)

LE&I reviews biometric watchlist encounters and authorizes the promotion or demotion of persons to the watchlist based on the best biometrics and most current and actionable information associated with those biometrics. Quality assurance reviews are conducted to ensure the watchlist remains accurate and actionable for all US-VISIT stakeholders. US-VISIT provides research and contextual data to law enforcement, intelligence, external agencies, and foreign partners not maintaining access or not having the expertise to interpret the information. In FY 2008, US-VISIT biometrically promoted 379 individuals having previously attempted to enter the United States and had been biographically identified in the Terrorist Screening Center (TSC) Terrorist Identity Datamart Environment as being a KST. In FY 2008, US-VISIT reviewed 41,537 IDENT watchlist matches and demoted 24,286 of those records after determining watch list inclusion was no longer warranted.

In addition to authorizing watchlist promotions and demotions, US-VISIT continues keeping current and accurate persons subject to the watchlist through collaboration with other agencies, including the TSC and DOD. By exchanging data with DOD on high-threat subjects encountered by the United States, primarily in Iraq and Afghanistan, the IDENT watchlist has prevented entry into the United States by individuals having been detained by DOD; attacked U.S. troops or civilian targets; or having possible connections to insurgent activities. US-VISIT's collaboration with the TSC has resulted in identifying a KST's biographic data within the terrorist screening database and corresponding to a biometric in IDENT—further consolidating the biographic and biometric KST watchlists. US-VISIT also reviews the fingerprints of USCIS applicants who are identified on the IDENT watchlist. In one case, an applicant for a USCIS benefit matched the US-VISIT watchlist because the subject had photographed a military installation and tested positive for an unspecified type of explosive residue. US-VISIT continued to work with the National Ground Intelligence Center of DOD to discuss and resolve the architecture and process issues necessary for the regular exchange of watchlist data between DOD and US-VISIT. Tremendous steps have been made to collect fingerprint images to enhance our biometric screening capabilities.

US-VISIT worked with USCIS in formalizing a process placing all applicants denied for fraud on the biometric watchlist so the subjects cannot apply for admission or an additional immigration benefit under another identity. In FY 2008, LE&I placed a denied group of refugee applicants on the US-VISIT watchlist, preventing their obtaining other immigration benefits under assumed identities.

Information Sharing and Technical Assistance

In FY 2008, US-VISIT expanded its information sharing and technical assistance with the governments of the Four Country Conference—a formalized effort by the United States, United Kingdom, Canada, and Australia to improve coordinated immigration efforts—providing a representative to the Australian Government to strengthen cooperative relationships. Additionally, working with USCIS, US-VISIT partnered with the United Kingdom Border Agency group responsible for U.K. worldwide visa issuance. Through this program, applicants for UKvisas who reside in the United States submit their biometrics to a USCIS application support center for subsequent transmission to the UK.

FY 2009 Planned Accomplishments – Identity Management and Screening Services

Biometric Support Center (BSC)

In FY 2009, US-VISIT will employ approximately 80 full-time equivalent contractors providing fingerprint verification services in the two centers on the east and west coasts. These centers provide around-the-clock expert fingerprint matching services to the immigration and border management enterprise and enforcement communities. Although IDENT fingerprint matching technology is among the fastest and most accurate in the world, manual fingerprint verifications are necessary to analyze poor-quality prints and ensure derogatory data is not erroneously associated with an individual.

In FY 2009, the BSC will continue supporting existing end-users at the same service levels achieved in FY 2008. To ensure that legitimate travel is not impeded and officer safety is not negatively impacted, it is critical that the BSC continue to provide fingerprint verification decisions on urgent requests in 10 minutes or less, non-urgent verifications within 24 hours, and enrollment and verification of terrorism-related prints in 2 hours or less. Additional volumes due to unanticipated increases in transactions from ports of entry or other agencies, including latent requests from DOD and DOJ, will put increased pressure on US-VISIT's ability to deliver verification decisions at the current service levels.

Data Integrity Group (DIG)

US-VISIT will employ approximately 38 contractor personnel in the DIG for 2 primary functions: (1) overstay identification through analysis of ADIS data; and (2) analysis of data integrity issues to improve record matching algorithms and systemic data.

The DIG prioritizes its workload according to criteria provided by ICE. The DIG workload will increase in FY 2009 as the DIG expands its coverage from solely reviewing traveler records from ICE priority countries of interest to include visitors from all VWP countries as mandated by Congress. DHS is responsible for verifying visa VWP compliance to validate continued participation in the VWP. These additional categories require the DIG to remain current on a larger population of records, starting with a backlog of more than 750,000 records of potential in-country visa overstay violators. It is likely this additional workload will double the FY 2008 workload. The current plan, based on the current staffing level, is to reduce the backlog by 50 percent in the second quarter with the remainder completed by the fourth quarter.

During FY 2009, the DIG will focus attention on improving ADIS records integrity to achieve a goal of 95 percent exit-to-entry match rate and accurate overstay identification of VWP participants. The

DIG will continue reviewing the age of the travelers on whom records will be maintained (e.g., those under the age of 14 and over the age of 79 are to be excluded) and class of admission.

While handling its expanded workload, the DIG has consistently reduced the cost of producing in-country and out-of-country overstay leads.

DIG performance targets for FY 2009 include:

- *In-Country Overstay Lead Credibility Rate* – Probability that leads submitted by the DIG to ICE CEU represent travelers who are currently in the United States and have overstayed their authorized periods of admission: 25 percent or greater.
- *Out-of-Country Overstay Lead Credibility Rate* – Probability that vetted overstay leads are correctly promoted to the lookout list and actually represent travelers who are overstaying their authorized periods of admission by more than 180 days: 98 percent or greater.
- *Cost per In-Country Overstay Lead* – Average cost to vet an in-country overstay and prepare for the submission to ICE CEU: \$166 or less.
- *Cost per Out-of-Country Overstay Lead* – Average cost to vet an out-of-country overstay lead by the DIG and to prepare it for promotion to lookout status: \$136 or less.

Law Enforcement and Intelligence (LE&I)

US-VISIT provides value-added identity management services focusing on biometrics supporting analytical, investigative, and operational needs.

Available information complexity will increase with the initial deployment of 10-print capture and IDENT/IAFIS interoperability, and the expansion of biometric credentialing screening for critical infrastructure, optimal use of US-VISIT databases will require an integrated and coordinated, near real-time response to all stakeholders. Further, US-VISIT is involved in several global projects with foreign partners to detect and deter malafide aliens from entering the United States and applying for immigration benefits. US-VISIT anticipates additional workload in the coming fiscal year due to the increased review of watchlist hits stemming from further deploying 10-print capture and interoperability with IAFIS, support for DOD initiatives, and assorted projects processes and procedures formalization with DHS components.

In the second quarter, US-VISIT will exchange biometric data with Australia, Canada, and the United Kingdom on a test basis to identify immigration fraud cases and trends.

Expanded deployment of 10-print capture and interoperability with IAFIS will significantly increase the number of hits US-VISIT will analyze in FY 2009. US-VISIT analyzes watchlist hits to verify individuals on the watchlist should remain on the watchlist. US-VISIT estimates that 150,000 additional records will be added to the watchlist in FY 2009; all requiring research and review.

Several initiatives to exchange data to detect and deter high-threat subjects encountered by the U.S. military will occur in the second and third quarters. Requirements for this initiative are under development in the first quarter.

Information Sharing and Technical Assistance (ISTA)

In FY 2009, a multibiometric technology evaluation was completed to inform land exit planning. Evaluation results have been incorporated into the land exit planning document delivered in December 2008. The evaluation incorporates input from independent sources as to the feasibility of potential technical solutions for a land exit capability.

ISTA will deliver a report on its face quality improvement study in the second quarter of FY 2009. This study seeks to improve facial image quality while minimizing the processing time for CBP officers.

ISTA will deliver a final report on multibiometric testing evaluation in the second quarter of FY 2009, which will provide recommendations concerning biometrics capture on exit, drawing on the results from a proof-of-concept demonstration using iris technology, with a series of evaluations conducted in multiple phases along with input from partner agencies.

ISTA will develop an action plan in the fourth quarter of FY 2009 that identifies short- and long-term goals for biometric implementation activities with Mexico as part of DHS efforts to broaden biometric data exchange opportunities with that country.

FY 2010 Projected Accomplishments – Identity Management and Screening Services

With the FY 2010 requested funding level, US-VISIT will ensure existing service levels are maintained.

Biometric Support Center (BSC)

Anticipated organic volume increases (currently estimated at 4 percent annually) and anticipated incremental volumes coming from future investment capabilities into subsequent fiscal years will increase BSC workloads. These increases include future enhanced interoperability with other agencies, including DOJ and other DHS components, and significant increases in latent print workloads. US-VISIT projects that the impact of current and planned future investments, like enhanced interoperability, will increase urgent and non-urgent verifications conducted by the BSC by more than 50 percent between FY 2008 and FY 2010. US-VISIT also projects latent processing will increase by more than 150 percent between FY 2008 and FY 2010. With requested funds the BSC will address the projected workload while continuing to meet performance targets..

Data Integrity Group (DIG)

DIG will use the requested funds to extend overstay calculation to all travelers to the United States while adhering to service targets discussed under FY 2008 accomplishments and FY 2009 planned accomplishments. Efforts to identify and deploy new algorithms improving record-matching performance will continue.

Law Enforcement and Intelligence (LE&I)

US-VISIT's identity and screening services validate and approve all demotions; selects promotions to the biometric watchlist based on entry/exit encounters; and works with internal and external units on

possible identity and other fraud issues. US-VISIT anticipates additional workload growth stemming from the increased review of watchlist hits resulting from further 10-print capture and interoperability deployments, support for DOD initiatives, and formalizing processes and procedures with DHS components for assorted projects such as Secure Communities.

Information Sharing and Technical Assistance (ISTA)

The FY 2010 request supports US-VISIT’s information sharing and technical assistance initiative to engage and establish partnerships with foreign governments toward promoting the adoption and use of common standards for biometric identity management and enabling data sharing arrangements. Such assistance is provided through direct communication with foreign governments and, in some cases, through the temporary onsite duty of US-VISIT experts overseas. The FY 2010 funds will support the continued and expanded use of temporary onsite technical experts (secondments) overseas. In FY 2010, ISTA plans to continue the secondment in Australia and post an additional US-VISIT expert in Warsaw, Poland, or Mexico to assist in integrating biometrics into their immigration and border information systems. Investments provide continued engagement with the migration experts’ subgroup (MESG) of the Group of Eight (G8) in the development of best practices and biometric standards within the context of border control and immigration enforcement. The participation of US-VISIT experts overseas for two to three months in FY 2010 is projected for a joint European Union operation using biometrics collection.

Program Management Services

<i>In thousands</i>	FY 2009 Enacted	FY 2010 Request
Program Management Services	\$102,105	\$122,868

US-VISIT’s program management services provide staffing to all projects and program support-based activities. Staffing constitutes a major expenditure and comprises all Federal staff and program-level contractor personnel. US-VISIT’s program management services provide mission-support resources ensuring appropriate strategic and operational planning activities, human capital, budget and financial management resources, program office IT technical support, acquisition policies and procedures, and administration and logistics are in place. These vital services directly support overall program direction and control.

Program management service funds provide the physical facilities to maintain the program office for Government and onsite contractor personnel. These resources provide funding for program administration and logistics such as rent, building management services, equipment maintenance, communications support, physical security, and DHS central administrative services through the DHS working capital fund.

FY 2008 Accomplishments – Program Management Services

In FY 2008, US-VISIT accomplished the following:

- Completed a revised US-VISIT Strategic Plan based on the new strategic framework expanding US-VISIT’s identity management and screening services to meet the needs of the larger immigration and border management enterprise along with the broader DHS biometric-based

screening and credentialing based services. This revised plan conforms to the Government Performance Results Act of 1993 requirements and best practices accepted by the private sector.

- Ensured that privacy risks were identified and appropriately mitigated in all US-VISIT projects and initiatives and were implemented to reduce the level of privacy risk to the lowest possible level for a Comprehensive Biometric Exit Privacy Impact Assessment, system of records notice, notice of proposed rulemaking, and TRACS Privacy Impact Assessment, and the IDENT/IAFIS Interoperability Memorandum of Understanding to appropriately control the volume and type of data shared between US-VISIT and the FBI's Criminal Justice Information Systems Division.
- Completed a memorandum of understanding with the countries of Canada and the United Kingdom regarding biometric data sharing. US-VISIT continues to work with the Four Country Conference on standards and pilot projects for biometric data sharing.
- Continued as the DHS co-lead in the development of biometric standards with a primary focus on the adoption of international standards to support current and future DHS biometric capabilities and to facilitate interoperable technologies and biometric data sharing.
- Completed a Systems Engineering Institute-led independent assessment (Standard Capability Maturity Model Integrated [CMMI] Appraisal Method for Process Improvement) in January 2008. The findings supported the US-VISIT internal assessments of strengths and process implementations sharpening US-VISIT's focus on specific areas and furthering the deployment and institutionalization of the model's practices.
- Completed all corrective actions associated with a preliminary onsite review of the prime integrator's Earned Value Management System (EVMS) conducted by the Defense Contract Management Agency (DCMA) in June 2007. A comprehensive system review was completed in October 2008.
- Established uniform policies and procedures for coordinating Government Accountability Office (GAO) audits and a GAO recommendation database to track progress, improve communications, and facilitate reporting. US-VISIT created an internal integrated project team (IPT) composed of representatives from all affected offices, which is focused on closing open GAO recommendations. The IPT developed mitigation strategies to address all open recommendations and to assess and report progress against planned actions. The IPT provides a biweekly report on the progress of its mitigation efforts to the Under Secretary, National Protection and Programs Directorate, and meets quarterly with representatives from GAO to review progress on its mitigation strategies and to discuss criteria for closure. US-VISIT has included actions to resolve open GAO audit recommendations in its executives' annual performance plans. As evidence of progress toward addressing open recommendations, GAO has declared that 28 recommendations are now considered implemented and closed.
- Continued progress implementing effective cost estimation. In response to DHS management directives and requirements, US-VISIT has provided independent Government cost estimates (IGCEs) for acquisitions and operational activities. US-VISIT further supported project-level planning, as set forth in the US-VISIT Enterprise Life Cycle Model, through the development of project-level, rough-order-of-magnitude estimates that provide early insight into resource requirements and affordability. The program continued to enhance and update the US-VISIT Program Life Cycle Cost Model, the central repository of cost estimates and estimating relationships, by populating the model with information developed in completed IGCEs and DHS Resource Allocation Plan processes. The model serves as a source and repository for facilitating subsequent cost and budget estimates.

- Revamped US-VISIT cost-estimating relationships and key program performance measures through adoption of a framework that recognizes US-VISIT as a provider of identity management and screening services and supplies value to its customers by efficiently providing accurate, timely, and reliable information. US-VISIT revised the key program measures reported to support this measurement framework and instituted monthly reporting.
- Improved transparency and control concerning the program's capital investments by disaggregating to the project level. This revised capital reporting recognized that US-VISIT is an ongoing provider of identity services as well as a manager of unique projects that adds improved functionality to its stakeholders.
- Awarded a contract in FY 2008 to perform a workforce analysis of Federal and contractor staff with the intent to inform decisionmakers regarding future resources (staffing and funding) and identify areas for the optimization of resources and functions. US-VISIT analyzed all of its functions, capabilities, Federal staff, and onsite contractor support. The workforce analysis provided insight into function alignment across the program, demographics and competency requirements, future workload requirements and trends, and delivered a model that enables US-VISIT to run scenarios based on workload or workforce trend assumptions.
- Improved the vacancy-to-onboard-employee ratio from FY 2007 to FY 2008. In the last quarter of FY 2007, US-VISIT was averaging 20–25 vacancies. In FY 2008, US-VISIT reduced vacancies down to an average of 15 positions. Significant efforts were expended to post vacancy announcements and review certification lists in a timely manner to ensure that individuals were selected as quickly as possible.
- Exceeded the program management bench strength goal of 25 program management certifications, achieving 35 certifications as DHS Acquisition Program Managers. Certificate holders have a common frame of reference, use a common lexicon and an identical acquisition practice model, and develop common organizational practices by creating a direct, positive impact on individual effectiveness and program performance.
- Established training governance for Federal partners in support of 10-fingerprint capture technology. Governance ensured compliance with best training practices and supported the operational objectives of 10-print technology.
- Fulfilled requirements to transition contractors to FTEs. In support of the Secretary's goal to strengthen and unify DHS operations and management, US-VISIT evaluated whether positions are approaching inherently governmental or if the level of discretionary decision-making is inherently governmental. US-VISIT identified positions for conversion and received approval for 47 positions to be converted. Recruitment actions have been initiated to convert contractor positions to Federal staff positions.
- Completed and implemented continuity of operations plan (COOP) and a pandemic influenza plan to align with the NPPD and DHS Plans. US-VISIT participated in the Top Executives Exercise Number 4 and the National Level Exercise in 2008 in concert with NPPD and DHS. The COOP identified US-VISIT mission-essential functions and laid out a five-year plan for COOP training. The pandemic plan is an integrated master plan that identifies and enables mission-essential personnel to perform their activities during an influenza pandemic.
- Initiated an internal American Indian Government-to-Government Relations Policy. The policy will formalize US-VISIT's commitment to working with the Federally Recognized Indian tribes in all US-VISIT environmental projects that may affect tribal interests

- Completed supplementary National Environmental Protection Act (NEPA) procedures. The DHS Chief of Administrative Services is revising departmental guidance on supplementary procedures. US-VISIT will not forward this document for approval until the new guidance has been completed. The supplementary NEPA procedures and signatory authority will allow US-VISIT to act as sole authority for its environmental analyses and documentation.

FY 2009 Planned Accomplishments – Program Management Services

In FY 2009, US-VISIT plans to build on earlier achievements by:

- Developing the business initiation concept, which allows for the efficient intake, assessment, prioritization, and initiation of new US-VISIT projects.
- Providing privacy policy support for new and ongoing projects to ensure the promotion of privacy best practices and the protection of personally identifiable information so that projects are sufficiently planned and developed in accordance with the US-VISIT Enterprise Life Cycle Methodology and Capability Maturity Model Integration (CMMI) principles. US-VISIT will provide business-planning and policy-level support to ensure that new and ongoing projects are properly aligned with existing statutes and regulations and within departmental policy scope and levels.
- Addressing the Defense Contract Management Agency (DCMA) findings from its comprehensive validation review conducted in October 2008 in preparation for DCMA's reevaluation of the prime integrator's Earned Value Management System (EVMS) scheduled for June 2009.
- Supporting DHS-wide policy and management initiatives, such as comprehensive immigration reform, and the Credentialing Framework Initiative. Using established US-VISIT governance, the program will provide effective guidance for its users, stakeholders, and customers within DHS; external stakeholders and at the Federal, State, local, and international levels.
- Completing acquisition actions to include recompetition of the fingerprint examiner contract for the BSC and DIG to provide productivity improvements and increase analytical support. Additional acquisition actions will be initiated regarding the development and execution of a strategy for the US-VISIT prime integrator to support the US-VISIT mission as well as development of an acquisition strategy regarding the program support contractor for the US-VISIT program office.
- Serving as the DHS lead in the development of biometric standards, with primary focus on adoption of international standards to support current and future DHS capabilities.
- Demonstrating progress in addressing GAO open recommendations through active management of responsive mitigation plans.
- Incorporating the GAO Cost Assessment Guide into program cost estimating practices and further refining the US-VISIT planning, programming, and budgeting process, drawing upon the revised strategic plan and improvements in the program's life cycle cost estimates.
- Leveraging the US-VISIT process improvement initiative and progress to date by further strengthening process maturity throughout the organization, specifically by deploying and implementing DHS Directive 102-01 to support continued process improvement, which addresses many identified CMMI-appraisal weaknesses.
- Initiating and establishing a program-level independent verification and validation function for quality assurance.
- Completing training governance for Federal partners in support of 10-fingerprint capture technology. Governance will ensure Federal partners' compliance with training best practices,

which supports the operational objectives of 10-print technologies. US-VISIT is expanding its partnerships among Federal and State agencies to extend IDENT resources and tools in execution of its mission. IDENT users will be notified that biometric data will be collected from in-scope travelers exiting the United States from air or sea ports. For the land border biometric exit project, US-VISIT will provide user training support.

- Maintaining the vacancy-to-onboard-employee ratio at a level that meets US-VISIT's executive performance goals. US-VISIT's goal is to have 85 percent of its positions filled or 98 staff on board. As of April 2008, US-VISIT had 90 staff on board, or 78.3 percent of its positions filled.
- Conducting an annual review of all individual performance plans in the context of the Human Capital Strategic Plan to ensure that employee goals support US-VISIT requirements.
- Reducing the time to hire individuals. The target goal for the average time from initiation of the recruitment process to offer acceptance is 55 days. The current US-VISIT reported average is 125 days. However, US-VISIT is working to ensure the data used to report on the hiring process timeline accurately reflects the measure's purpose.
- Initiating NEPA compliance analysis and documents for land exit.
- Implementing the Environmental Management System, which will comply with Executive Order 13423 and fulfill a commitment made in the Programmatic Environmental Assessment.
- Procuring an alternate operating facility for US-VISIT mission-essential personnel and functions for use during a COOP event. In addition, the program will finalize the US-VISIT COOP and the US-VISIT Pandemic Plan and develop the requisite training for all US-VISIT personnel.
- Implementing a strategic communications plan that will continue to educate stakeholders as US-VISIT evolves further into a biometric identity management service that provides services across Federal, State, local, and tribal agencies, and works in collaboration with global partners. The program will ensure the ongoing awareness and understanding of US-VISIT's capabilities and future offerings to key stakeholders—agencies, officials, organizations, media, and others interested in the program and the issues it helps to address.

FY 2010 Projected Accomplishments – Program Management Services

In FY 2010, US-VISIT plans to build on prior program management accomplishments by:

- Implementing acquisition strategies for the prime integrator support contract and the program management support contractor. In addition, an overall acquisition strategy will be developed to align with US-VISIT's biometric support mission.
- Implementing DHS Directive 102-01 to improve implementation and oversight of acquisition practices for significant investments.
- Implementing Program-level quality assurance and independent verification and validation functions to assess the implementation of program management processes and recommended improvements.
- Demonstrating tangible progress to GAO in addressing open recommendations through active management of responsive mitigation plans.
- Implementing its recruiting program to target the skill sets required and maintaining a diverse working environment. A database will be developed to maintain and track the workforce to include Federal staff, detailees, independent public agents, and contractors. The database will provide vital information necessary to support long-term workforce planning.

- Conducting an annual review of all individual performance plans in the context of the Human Capital Strategic Plan to ensure that employee goals support US-VISIT requirements.
- Implementing a more comprehensive training program to provide US-VISIT with a wider range of skill sets required to support its role as the central biometric identity management service for the Department.
- Further refining the US-VISIT Life Cycle Cost Model, implementing the GAO Cost Assessment Guide, implementing a performance-measurement repository to enable analysis and reporting, and completing/updating the cost-benefit analyses for the Unique Identity and Comprehensive Exit Programs
- Establishing a record management capability in accordance with a DHS/Chief Administrative Officer strategic objective.
- Providing the COOP training and support necessary to maintain existing plans in a readiness state.
- Increasing security measures to ensure a secure working environment. The availability of a secure work area and secure information compartmental facility will ensure secure communications between US-VISIT program leadership and DHS leadership.
- Improving in-house capabilities to develop presentation graphics, outreach materials, and signage for the program to reduce contract services. Large print/copy jobs will be transferred to the Government Printing Office to reduce production costs.
- Implementing a global public education program to maintain and expand awareness, understanding, and acceptance of US-VISIT, and the enhanced border and immigration management system among travelers, the news media, and stakeholders, domestically and abroad.

Data Center Mirror and Migration

<i>In thousands</i>	FY 2009 Enacted	FY 2010 Request
Data Center Mirror and Migration	\$25,327	\$45,244

US-VISIT data center operations represent an integral component of the US-VISIT service delivery framework. Presently, US-VISIT systems are hosted in two DOJ data centers. This hosting includes physical area and rack space, service support, hardware maintenance, memory and storage capacity, data and backup management, operating system level support, disaster recovery, and fiber/cabling. DHS deployed two enterprise data centers to achieve the IT infrastructure consolidation goal. For US-VISIT to assist in the Department’s goal, it must relocate systems and hosting services from the DOJ data centers in Dallas, Texas, and Rockville, Maryland. US-VISIT systems hosted in these data centers are not 100 percent redundant. Therefore, a “mirroring” approach is required before existing operations can be decommissioned. Mirroring requires acquiring and provisioning (i.e., “go-live”) equivalent capabilities presently in the DOJ data centers within one of the two DHS enterprise data centers before a DOJ data center hosting service can be decommissioned.

As US-VISIT occupies 2 of the 17 DHS data centers targeted by the Secretary for the first wave of consolidation. US-VISIT must execute one of the highest priority migration efforts and the requested funding enables US-VISIT to meet baseline requirements and further departmental efforts toward achieving this critical IT infrastructure consolidation goal. Data center funds guarantee this critical initiative is met and redundancy requirements are in place as warranted.

FY 2008 Accomplishments – Data Center Mirror and Migration

In FY 2008, US-VISIT initiated various planning and estimating activities to establish implementation costs and a strategic approach:

- Initiated modernization of the architecture for IDENT and ADIS into the DHS data center facilities by strengthening reliability and availability standards, supporting platforms, and infrastructure.
- Initiated the relocation of US-VISIT computing platforms and resources from the existing DOJ data centers to the new DHS enterprise data centers in Clarksville, Virginia, and Stennis, Mississippi, through the development of a migration and mirroring plan that incorporated a phased approach allowing flexibility in scheduling, while mitigating impacts to service-level agreements and processing. US-VISIT initiated the implementation and deployment of core infrastructure by establishing required processes and procedures for the rollout of production-based infrastructure deployments that included the installation of power and shelving to support equipment installations, as well as an asset tracking system to confirm equipment deliveries. US-VISIT has established preliminary network performance and capacity monitoring, including the development of a statement of work to secure managed services and requirements within existing and new service-level agreements.

FY 2009 Planned Accomplishments – Data Center Mirror and Migration

In FY 2009, US-VISIT plans to accomplish the following regarding the data center mirroring and migration initiative:

- Complete the installation of the two-print matcher subsystem infrastructure, including the hardware and additional capacity to the matcher cluster for connecting these two new DHS enterprise platforms to legacy DOJ production platforms.
- Initiate the building of the core infrastructure and establish required processes and procedures in Clarksville, Virginia, to position this DHS data center for forthcoming production deployment regarding US-VISIT systems and data to achieve performance-balancing objectives.

FY 2010 Projected Accomplishments – Data Center Mirror and Migration

In FY 2010, US-VISIT projects to accomplish the following regarding the data center mirror and migration project:

- Complete the deployment of the US-VISIT matcher cluster from the DOJ Dallas Data Center to Clarksville, Virginia, including the establishment of connectivity between the two DHS data centers and the legacy DOJ data center in Rockville, Maryland.
- Complete the production processing cut-over from the DOJ data center in Dallas, Texas, including decommissioning this data center for US-VISIT processing. Equipment at this DOJ data center will be redeployed to Clarksville, Virginia, to complete the data center activities and US-VISIT data-mirroring requirements.

FY 2010 enhancements for Data Center Mirror and Migration provide a 25 percent improvement to current IDENT and ADIS data center redundancy resulting in the achievement of 75 percent redundancy. This will significantly reduce the risk of jeopardizing multiple DHS and non-DHS user's missions in the event of a service-interrupting disaster. In addition, FY 2010 enhancements improve IDENT system capacity utilization from 80 percent to 77 percent; reducing the risk of catastrophic

transaction queuing failure- the inability to biometrically identify and screen individuals caused by the occurrence of a transaction volume surge when system capacity is exceeded.

Unique Identity (UI) – Full Operational Capability

<i>In thousands</i>	FY 2009 Enacted	FY 2010 Request
Unique Identity	\$66,368	\$28,738

The UI initiative includes integrated workstreams for the national deployment of 10-print capture and achieving interoperability between IDENT and IAFIS. Using 10-prints facilitates travel by reducing numbers of travelers sent to secondary inspection and provides more data on which to match, subsequently reducing false positive identifications. Further, there are greater opportunities to identify persons of interest since 10-prints are more likely to match latent fingerprints in criminal and intelligence biometric data stores of fingerprints collected at crime scenes or terrorist locations. Interoperability enlarges the biometric database used by both border management and law enforcement agencies. When used in conjunction with the 10-print initiative, enhanced data sharing increases the probability of identifying persons of interest and taking appropriate law enforcement actions. US-VISIT seeks funding to continue delivery of 10-print interoperability between the DHS IDENT biometric database and the DOJ IAFIS biometric database. IDENT/IAFIS interoperability is a statutory and Department mandate. Interoperability is being achieved in three phases:

- 2006: interim Data Sharing Model (iDSM) completed
- 2009: Initial Operational Capability (IOC) scheduled for completion
- 2014: Full Operational Capability (FOC) targeted for completion

Once completed, FOC will provide real-time services and data sharing between IDENT and IAFIS and will include the following functionality:

- *Shared-service component.* This functionality provides the ability to fully search IAFIS and IDENT for all FBI Criminal Justice Information System (CJIS) Division and DHS stakeholders. To enable this functionality, software enhancements are implemented to submit, receive, and process shared services messages from IAFIS and IDENT. Additional network functionality is required and system processing needs to be increased to handle the shared services requests. This may include the addition of system processors, storage, and access management controls, and the enhancement or addition of various service-oriented architectures.
- *Wrap-back functionality.* This functionality notifies authorized agencies of subsequent criminal and/or civil data to an existing biometric record. This allows for:
 - authorized agencies to receive notifications of subsequent criminal activities for individuals after the initial encounter with the individual and to notify the responsible agency regarding criminal activity of the individuals in sensitive positions;
 - the automatic transition of files between civil and criminal repositories;
 - the ability to search civil records with remote latent fingerprint submissions
 - expanded and new search and response generation capabilities; and
 - collectively locating civil histories to facilitate the search, addition, consolidation, modification, expunging, response generation, and file maintenance of civil and criminal information.

This work requires designing and implementing new system processes through software enhancements and requires adding IDENT system resources including system processing, storage, and network services.

- *Full deployment of immigration data response.* US-VISIT enables the full immigration data response (IDR) functionality—software enhancements needed to process and send the IDR to IAFIS. Additional network functionality is required and system processing and storage needs to be increased to handle the packaging and submission of immigration data.
- *Maintaining/improving accuracy and timeliness in the face of rising transaction volumes.* As the volume of transactions and the amount of stored biometric data increases, the accuracy of biometric searches needs to be maintained or improved. New biometric search algorithms, system transaction management techniques, and data access methods need to be implemented to support the growth of transactions. This work will include enhancements to current software, the transaction management systems within IDENT, and the design and implementation of additional hardware and network systems to support increased data volumes.

System response times and service-level agreements must be maintained as transaction volumes increase. FOC capabilities include adding improved system service requests, messaging, and compliance with the DHS/DOJ National Information Exchange Model enterprise-wide messaging standard. The FOC functionality will be implemented using the US-VISIT enterprise life cycle methodology, and the FOC project execution will include the plan, analyze, design, build, test, and deploy phases of work.

FY 2008 Accomplishments - Unique Identity

In FY 2008, US-VISIT accomplished the following with the 10-print transition and interoperability initiatives:

- *10-print Transition.* Completed pilots and began national deployment of 3,300 scanners at 292 POEs. In FY 2008, US-VISIT completed the 10-print pilot and evaluated the results. These results provided insights and lessons learned that guided the national deployment of 10-print capability due to be completed in early FY 2009. National deployment consisted of approximately 3,300 devices to the 292 POEs where 2-print scanners are deployed at air, sea, and land POEs. Through these efforts, US-VISIT improved accuracy in matching fingerprints, enabled the immediate identification of high-risk individuals, and facilitated interaction for low-risk individuals.
- *Interoperability - Implemented IOC.* US-VISIT implemented IOC, which improved (1) the ability to match enrollees against latent prints; (2) mitigated concerns about false negatives when matching against poor-quality prints; (3) ensured faster processing time to resolve false positives; and (4) provided the ability to perform a full search of the FBI CJIS Criminal Master File. Interoperability enhanced identity verification capabilities by sharing collected biometric and biographic information and provided coordinated and well-informed decision-making capabilities. FY 2008 investments provided more comprehensive biographic and case data screening, scaled for transaction throughput and gallery size, and provided the ability to access FBI CJIS criminal files.

FY 2009 Planned Accomplishments - Unique Identity

In FY 2009, US-VISIT will complete the deployment of 10-print reader capabilities to the remaining POEs beyond the initial pilot, including the remaining deployment of approximately 3,300 devices to

292 POEs. US-VISIT enables searches of IDENT by IAFIS for State and local law enforcement agencies in support of ICE Secure Communities. IDENT architecture changes enable searches against the complete IDENT database instead of a small subset of selected data. These changes support State and local law enforcement in identifying arrested individuals by providing identity information collected. It provides an IDENT data response for positive matches identified by IAFIS submissions to IDENT. The IDENT response contains biographic identity information (e.g., name, date of birth, and place of birth) on individuals residing within IDENT. This provides State and local law enforcement with biometrically verified identities from up to five encounters between the individual and the IDENT data owner (e.g., USCIS, DOS, and CBP). This service notifies the ICE Law Enforcement Support Center of needed further analysis and potential follow-up action. It will provide real-time hit notifications and automated updates on DHS expedited removals and DOS Category One visa refusals (shared data components) to increase the value and timeliness of data provided. The shared-data repositories contain the biometrics of individuals of highest interest to DHS and DOS. IOC fully automates the process for identifying shared-data components and adds them to the data repository, where available 10-prints will be provided. IDENT provides near real-time notification to CJIS of hits against the CJIS shared-data component, which consists of wants/warrants and KSTs. When an individual with an active warrant is encountered by DHS or DOS, CJIS will be notified immediately for follow up with the owning agency.

US-VISIT begins planning for IOC and FOC deferred capabilities by completing requirements development and schedule analysis in collaboration with CJIS. These include record linking; allowing biometric records existing in both data repositories to be shared based on mission or operational needs and wrap-back capabilities across IDENT and IAFIS to search the fingerprint databases using a one-time identifier as a search criteria within the IAFIS galleries. Other requirement developments include a new service integrated into IAFIS allowing authorized agencies to receive notifications of criminal activity for individuals in a position of trust and to complete full 10-print matching capabilities within IDENT to increase the accuracy and number of fingerprint searches.

FY 2010 Projected Accomplishments – Unique Identity

FY 2010 UI enhancements expand interoperability among IDENT, IAFIS, and DOD's Automated Biometric System (ABIS) by providing the following improved information-sharing capabilities:

- *Expanded Support to ICE Secure Communities.* Enhancements to IDENT/IAFIS interoperability are critical to support the ICE Secure Communities initiative. ICE will use US-VISIT's expanded interoperability and will build on existing relationships with State and local law enforcement agencies to ensure that incarcerated criminal aliens are removed from the country instead of being released into our communities after custody.
- *Wrap-Back Functionality.* Wrap-back provides an automatic notification to end users in the event of an update to an individual's criminal or civil record. This automatic notification reduces risk by providing decisionmakers with the information necessary to make timely decisions and take appropriate actions.
- *Maintain/Improve Accuracy and Response Times.* Increased accuracy will reduce false positives in IDENT that result when individual's biometrics are returned as positive matches when, in fact, their biometrics do not match records on the watchlist. This will avoid sending additional workload to the US-VISIT Biometric Support Center for manual biometric examination.
- *Implementation of the National Information Exchange Model.* Implementation will improve the enterprisewide exchange of data between DHS and DOJ. This will enable a common messaging

structure for interoperability and allow greater access to data by DHS and non-DHS users, delivering information quickly to inform operational decisions.

- *Deployment of the Full Immigration Data Response (IDR)*. IDR will result in an automated process that immediately notifies DHS of suspected immigration violators who have been detained by a State, local, or tribal law enforcement agency. The implementation of IDR will inform DHS operational decisions on encountered individuals.
- *Interoperability with Department of Defense (DOD)*. Continue collaboration with DOD to establish data-sharing and interoperability capabilities. Expanding biometric interoperability through the delivery of improved information-sharing capabilities will increase the probability of identifying persons of interest and will allow users from the immigration and border management, law enforcement, and intelligence communities to make better decisions.

IV. Program Justification of Changes

Program Increase 1: Systems Operations and Maintenance

Strategic Goals & Objectives: 1.3

PPA: US-VISIT

Program Increase: Positions: 0 FTE: 0 Dollars: \$41,926,000

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$86,200
Program Change							0	0	\$41,926
Budget Request	0	0	\$103,000	0	0	\$86,200	0	0	\$128,126

Description of Item

US-VISIT Systems Operations and Maintenance (O&M) provides operations and support for three O&M investments:

IDENT is the largest fingerprint repository and most efficient matching system in the world. It can process up to 200,000 transactions per day for the Departments of Homeland Security, State, and Defense; Federal, State, and local law enforcement agencies; and other stakeholders. *IDENT* had over 95 million individual fingerprint records at the end of FY 2008 and contains biometric data for legitimate travelers to the United States, immigration benefit seekers, and immigration violators. It contains watchlist data: information on KSTs, criminals, sexual offenders, domestic and international fugitives, officer safety threats, military detainees, immigration violators, other persons of interest, and other egregious offenders. *IDENT* receives a subject's fingerprints, stores them via an enrollment transaction, and compares them against stored fingerprint records. Results are provided to end users to help determine identity in 10 seconds or less against the subsets (highly actionable) of their watchlists. *IDENT* has identified more than 60,000 criminals, immigration violators, and KSTs.

IDENT O&M costs include support for application-related components: servers, matchers, storage required to meet expanding gallery size and transaction volumes and service including a 24/7 Help Desk and system uptime maintenance at 99 percent or better. Gallery size (stored fingerprints) is the primary cost driver. Increased gallery size requires additional data storage and equipment to maintain *IDENT*'s matching speed. O&M costs continue increasing as *IDENT* is adjusted to support fingerprint database expansion and a yearly growth rate of at least 20 million new fingerprints.

ADIS is an electronic system that collects information about noncitizens traveling to the United States. This includes arrival and departure border crossings and immigration status updates for each traveler. *ADIS* receives information from multiple systems, some of which are from government organizations external to US-VISIT, and matches events to a unique person to create a complete record of events during their arrival, stay, and departure from the United States. *ADIS* matches departures with arrivals to ascertain compliance, stores travel and status adjustment records, and provides a range of ad hoc

queries and reporting capabilities. ADIS incorporates additional data elements and transactions associated with all US-VISIT systems and other immigration systems to maintain complete traveler histories. ADIS maintains travel histories for over 200 million alien travelers. The data collected includes key biographic and biometric identifiers and the processing of information provided to law enforcement and other stakeholders. ADIS receives 100 percent of all system-confirmed arrivals and all air/sea arrival and departure manifests, along with I-94/I-94W departure records. ADIS also receives status updates from the USCIS Computer Linked Application Information Management System 3 and the ICE Student and Exchange Visitor Information System on aliens and changes to their immigration status.

ADIS O&M costs include support for infrastructure management (hardware), application management (product support and help desk support), and network and data center support. Services are growing to support more stakeholders and users, including a 24/7 Help Desk and system uptime maintenance at 99 percent or better.

Corporate Systems – IT Infrastructure includes:

- All US-VISIT corporate hardware maintenance including software tools and campus infrastructure upgrades
- Corporate Systems Help Desk
- Corporate Network Services – including the Project Office Network and LAN
- Corporate Systems maintenance agreements for US-VOICE, DOORS, Portfolio Management, IMP/IMS, Microsoft EA, Oracle, and LE&I

Continual O&M support of applications and systems ensures US-VISIT’s functional capability and safeguards the service and performance levels of US-VISIT as a “system of systems.” As a DHS enterprise service provider, US-VISIT currently supports a growing user base, which includes DHS customers as well as interagency and international stakeholders.

Justification

The increase requested in FY 2010 is attributable to the impact of current services growth on the IDENT system and the requirement to refresh aging fingerprint matcher hardware supporting IDENT-provided mission capabilities provided.

Current Services Growth – Three factors contribute to IDENT’s increased O&M: increasing transaction volumes, fingerprint gallery size growth, and maintaining safe levels of system capacity in the face of continuous growth. Approximately one of every three travelers encountered results in an enrollment record (two thirds will already be enrolled). For FY 2010, US-VISIT projects a gallery size growth of 20 million records.

US-VISIT must continue investing in hardware and software allowing consistent search and match performance against an exponentially growing gallery. A growing investment in O&M services is required to meet existing service-level agreements (SLAs).

Fingerprint Matcher Hardware Refresh – The IDENT fingerprint matcher subsystem was developed and implemented prior to the US-VISIT Program’s first major milestone: the January 2004 delivery of biometric identification and screening services to air and sea ports of entry (POEs). The fingerprint

matcher hardware acquired in FY 2004 has a useful life of three to five years. The program is initiating a phased hardware refresh of the matchers and plans to replace 20 percent of the original matcher inventory with the FY 2010 increase—part of a five-year refresh plan. The hardware refresh requires increases in operations support for IDENT database administration, software licenses, and application management support.

Impact on Performance (Relationship of Increase to Strategic Goals)

The requested funds will ensure IDENT meets performance-driven SLAs in the face of growing current services demands and constrained system capacity. As DHS's biometric services provider, US-VISIT's IDENT faces a constantly growing demand for its biometric identification and screening services. As actual transaction demands and gallery sizes grow without a corresponding growth in system capacity, a transaction queuing failure may result. Specifically, instead of the SLA-driven 10-second response time required at POEs, lack of capacity due to O&M shortfalls would increase transaction response times to unacceptable levels and disrupt the travel process. US-VISIT would face trade-offs of either selectively screening travelers through "discretionary loading," or ceasing all traveler processing in the event of a system failure.

The requested budget increase is to enable investments in additional fingerprint matchers, database administration support and labor, and maintenance agreements addressing current capacity issues as well as anticipating workload growth from the deployment of additional 10-print/interoperability capabilities, and supporting State and local requesters, including the Secure Communities initiative.

Program Increase 2: Identity Management and Screening Services

Strategic Goals & Objectives: 1.3

PPA: US-VISIT

Program Increase: Positions: 0 FTE: 0 Dollars: \$11,218,000

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$20,000
Program Increase							0	0	\$11,218
Budget Request	0	0	\$15,800	0	0	\$20,000	0	0	\$31,218

Description of Item

US-VISIT is uniquely positioned to provide an identity service to stakeholders based on collecting an individual’s biometrics that can be linked with all associated biographic indicators and provide a full identity (actual and aliases). Using state-of-the art decision support systems, manual verifications, and analysis, US-VISIT provides a key element of border protection and interior enforcement activities protecting the United States. As the DHS central point for providing identity management and screening services, US-VISIT offers diverse services and provides timely responses to DHS for immigration and border management and to international, Federal, State, local, and tribal stakeholders. US-VISIT biometric and biographic matching functions improve the capabilities to manage and screen against watchlist records that include KSTs, persons of interest, and immigration violators.

Justification

US-VISIT requests funding to support biometric identification and watchlist management, overstay management, and developing a 24/7 operational capability. These funds will provide integrated, timely information to user agencies; and improved immigration screening capabilities with cooperative foreign immigration services.

Biometric Support Center (BSC) - US-VISIT’s BSC provides human fingerprint analysis support; an integral part of credentialing and identity services for all of DHS and other agencies. As part of US-VISIT’s service offerings, the biometric support workload will significantly increase in three key areas: 10-print identifications/verifications, latent print processing, and data-sharing initiatives (most notably with the FBI).

As IDENT transitions from a 2- to 10-print system as part of the Department’s move to 10-print processing at POEs, and additional IDENT stakeholders begin submitting 10-print sets to IDENT (e.g., enforcement), US-VISIT will begin making identifications on 10-prints, leading to an increase in the number of transactions requiring human verification due to latent processing. Latent processing significantly increases with the Department’s move to 10-print processing. Every 10-print enrollment in the IDENT databases will enable IDENT to compare those prints with a database of latent prints from unsolved cases.

These workload increases add to a current situation in which exists a sizable backlog in the latent fingerprint cases pending BSC action. This backlog significantly increases the possibility that

important identification work offering potential investigative leads to US-VISIT users will not be provided in time to protect and aid criminal and civil investigations. Adding necessary resources to address service backlogs and meet growing workload demands is a major priority.

Overstay Management: In-Country Overstays - US-VISIT is progressively expanding to identify in-country overstays—persons suspected of residing in the United States in violation of their terms of admission. In the FY 2009 President’s Budget Request, US-VISIT requested funding to allow for an additional 1,750 records—25 percent of the total unconfirmed overstays workload—to be reviewed and analyzed each week. This will address visitors from all priority countries, as established by ICE, and travelers from all VWP countries.

With the FY 2010 request, US-VISIT will extend its coverage of potential in-country overstays to all travelers coming to the United States. This expanded coverage will make possible significantly more accurate overstay statistical reporting to support national policy decision-making. The additional resources will reduce the backlog of unvetted overstays by 50 percent—a 25 percent improvement. US-VISIT will validate in-country, ADIS-identified overstays at the end of each week within seven days of being uploaded into the case management system. All validated in-country overstay records are reviewed by Federal staff and provided to ICE weekly. Furthermore, US-VISIT will incorporate error identification system change requests into quarterly ADIS system releases. The resulting information is used by ICE in assessing potential overstay threats through its analysis of unprocessed overstays. US-VISIT will create lookouts for all validated in-country overstay violators daily.

Full-time Operational Support Environment - US-VISIT will establish a full-time stakeholder support capability consisting of law enforcement and intelligence analysts capable of researching biometrically verified hits against IDENT data submitted by the FBI, contributing agencies, DHS entities, critical infrastructure facilities, and others to leverage biometric and biographic capabilities within IDENT. As part of the IDENT/IAFIS Interoperability project, any set of 10-prints collected through the CBP primary inspection process is now also checked against the FBI Criminal Master File database, resulting in more than 100,648 hits to date – all of which require analytical support from US-VISIT Identity Management and Screening Services to determine if the record causing the hit should be promoted and remain on the IDENT watchlist. US-VISIT will increase its support services commensurate with the growing demand for analytical support of CMF-driven inquiries. In an initial phase, US-VISIT establishes a centralized decision center, providing one source of information for operational and tactical support—all linked to a biometric. Consolidating and expanding resources to compile overstay and watchlist encounter research will allow US-VISIT to provide more effective analysis, including trending, fraud detection, and risk-based decision support. This support provides expert fingerprint examiners who process urgent latent fingerprints and provide 10-print matching verifications after normal business hours when required. US-VISIT leverages this support to research and analyze latent hits, compile case files, and coordinate with appropriate stakeholders.

Impact on Performance (Relationship of Increase to Strategic Goals)

US-VISIT provides the daily biometric identity verification, watchlist matching, and overstay management services to immigration and border management and other users to strengthen screening of travelers and workers in fulfillment of the DHS strategic goal to protect our Nation from dangerous people. The budget increase supports efforts addressing a growing workload resulting from 10-print identifications/verifications, latent print processing, and data-sharing initiatives (most notably with the FBI); extends coverage of potential in-country overstays to all travelers to the United States; and provides a full-time operational capability for timely responses to user queries.

Program Increase 3:**Program Management Services**

Strategic Goals & Objectives: 1.3

PPA: US-VISIT

Program Increase: Positions: 0 FTE: 0 Dollars: \$17,463,000

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							212	199	\$105,405
Program Increase							0	0	\$17,463
Budget Request	115	93	\$115,200	150	119	\$102,105	212	199	\$122,868

Description of Item

US-VISIT's program management services provide staffing to all projects and program support activities. Staffing constitutes a major expenditure and comprises all Federal staff and program-level contractor personnel. US-VISIT's program management services directly support overall program direction and control.

Program management services funds provide the physical facilities to maintain the program office for Government and on-site contractor personnel. These resources provide funding for program administration and logistics, such as rent, building management services, equipment maintenance, communications support, physical security, and DHS central administrative services through the DHS working capital fund.

Justification

These funds will provide for the annualization of the remaining 35 full-time positions requested and approved in FY 2009. Funding also is critical to ensuring that the program has the appropriate strategic and operational planning and support services necessary to execute its mission.

US-VISIT continues increasing Federal Government FTEs to meet existing and emerging program requirements, without negative impacts on existing program-level services. As part of US-VISIT staffing initiatives, the requested funds will support human capital activities ensuring program staffing needs are strategically managed. The increase in resources allows US-VISIT to maintain its efforts to increase the workforce while achieving recruiting milestones, applying best practices, ensuring staff retention, and providing professional training and credentialing to retain a highly effective and efficient workforce.

Impact on Performance (Relationship of Increase to Strategic Goals):

Maintaining the appropriate complement of program personnel consisting of the right skills and capabilities is critical to US-VISIT fulfilling its DHS role as the central biometric identity management service and continuing to meet ever-increasing user and stakeholder service needs. Adherence to the principals of effective strategic human resources management is the foundation for ensuring that personnel goals are attained and maintained. The funding level permits US-VISIT to meet existing mandates and service-level agreements for providing biometric identity management services.

Program Increase 4: Data Center Mirror and Migration

Strategic Goals & Objectives: 1.3

PPA: US-VISIT

Program Increase: Positions: 0 FTE: 0 Dollars: \$19,917,000

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$25,327
Program Increase							0	0	\$19,917
Budget Request	0	0	\$0	0	0	\$25,327	0	0	\$45,244

Description of Item

US-VISIT systems are hosted in two DOJ data centers, providing physical area and rack space, service support, hardware maintenance, memory and storage capacity, data and backup management, operating system level support, disaster recovery, and fiber/cabling. DHS mandated the consolidation of all component data centers into two DHS enterprise data centers; US-VISIT must migrate its systems from the DOJ data centers to DHS’s data centers by FY 2012. Current US-VISIT data center environments are not 100 percent redundant—they currently have 50 percent redundancy. US-VISIT IDENT and ADIS systems users cannot afford any system outage. Therefore, a “mirroring” step is required to replicate current data center operations before migration to the two DHS enterprise data centers can occur.

Justification

FY 2010 enhancements for Data Center Mirror and Migration provide a 25 percent improvement to current IDENT and ADIS data center redundancy, resulting in achieving the FY 2010 target of 75 percent redundancy. This will significantly reduce the risk of jeopardizing the missions of multiple DHS and non-DHS users in the event of a service-interrupting disaster.

In addition, FY 2010 enhancements improve IDENT system capacity utilization from 80 percent to 77 percent; reducing the risk of system failure, which is the inability to biometrically identify and screen individuals caused by the occurrence of a transaction volume surge when system capacity exceeds IDENT’s upper capacity limit.

Planning for IDENT system capacity optimization requires balancing existing user demand growth with additional user’s demands. As part of long range IDENT capacity planning, FY 2010 Data Center Mirror and Migration investments will allow IDENT to accommodate additional transaction volumes attributable to ICE’s Secure Communities and Additional Aliens Rule user demand.

Impact on Performance (Relationship of Increase to Strategic Goals)

The enhancement ensures data center migration project completion is on schedule. Project delays will require US-VISIT to fund data center operations in three data centers instead of two until migration is 100 percent complete.

The enhancement improves data center redundancy by 25 percent and provides a three percent improvement in system capacity utilization. The performance impact of the FY 2010 increase enhances

the disaster recovery capability of mission systems, reducing risk to the missions of multiple components and Federal agency stakeholders in the event of a service-interrupting disaster. The improvement in system capacity utilization reduces the risk of a critical queuing failure; helping ensure 100 percent mission systems availability to end users. FY 2010 enhancements contribute to the success of DHS's IT infrastructure consolidation goal; resulting in economies of scale made possible by consolidating redundant IT infrastructure services.

Program Increase 5: Unique Identity, Full Operating Capability (IDENT/IAFIS Interoperability)

Strategic Goals & Objectives: 1.3

PPA: US-VISIT

Program Increase: Positions: 0 FTE: 0 Dollars: \$28,738,000

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$66,368
Program Increase							0	0	\$(37,630)
Budget Request	0	0	\$228,000	0	0	\$66,368	0	0	\$28,738

Description of Item

US-VISIT seeks funding to complete delivering full 10-print interoperability between IDENT, IAFIS, and the DOD’s ABIS. IDENT/IAFIS; interoperability is a statutory and Department mandate. Interoperability is being achieved in three phases: iDSM, completed in FY 2006; IOC, scheduled for completion in FY 2009; and FOC, currently targeted for completion in FY 2014. Once completed, FOC will provide real-time services and data sharing between IDENT and IAFIS and will include a shared-service component, wrap-back functionality, increased accuracy and volumes of biometric data, and the full deployment of immigration data response. The FOC functionality implementation will use the US-VISIT enterprise life cycle methodology. The FOC project execution will include the plan, analyze, design, build, test, and deploy phases of work.

Justification

Funds requested in FY 2010 for Unique Identity reflect the lower activity level for this program, mainly due to the achievement of significant milestones in FY 2009. Partial IOC interoperability between IDENT and IAFIS was achieved in October 2008. US-VISIT will also complete full 10-print deployment to all POEs in FY 2009, marking the end of a large equipment investment in fingerprint readers and deployment costs.

Impact on Performance (Relationship of Increase to Strategic Goals)

The \$28 million in Unique Identity funding requested in FY 2010 is critical toward continuing the path towards FOC, supporting ICE Secure Communities, wrap-back functionality, and improving response times. These activities are necessary in ensuring that US-VISIT can provide the right information to decision-makers in a timely fashion.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
National Protection and Programs Directorate**

United States Visitor and Immigrant Status Indicator Technology

**Justification of Proposed Changes in US-VISIT
Appropriation Language**

For necessary expenses for the development of the United States Visitor and Immigration Status Indicator Technology project, as authorized by section 110 of the Illegal Immigration Reform and Immigration Responsibility Act of 1996 (8 U.S.C 1365a), [\$300,000,000] **\$356,194,000** to remain available until expended.

Explanation of Changes:

No substantive change proposed.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
National Protection Programs Directorate
United States Visitor and Immigrant Status Indicator Technology**

FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actual	115	93	\$338,312
2009 Enacted	150	119	\$300,000
Adjustments-to-Base			
Increases			
Annualization of prior year part year funding.....	---	18	2,430
Annualization of 2009 pay raise.....	---	---	181
2010 pay increase.....	---	---	278
GSA Rent.....	---	---	260
Non-pay inflation excluding GSA Rent.....	---	---	---
Working Capital Fund Increase.....	---	---	151
Federal Staffing Realignment*.....	<u>62</u>	<u>62</u>	<u>---</u>
Total Increases.....	<u>62</u>	<u>80</u>	<u>3,300</u>
Total Adjustments-to-Base	<u>62</u>	<u>80</u>	<u>\$3,300</u>
2010 Current Services	212	199	\$303,300
Program Changes			
Program Increases/(Decreases)			
Systems Operations and Maintenance.....	---	---	41,926
Identity Management and Screening Services.....	---	---	11,218
Program Management Services.....	---	---	17,463
Data Center Mirror and Migration.....	---	---	19,917
Unique Identity.....	---	---	(37,630)
Total Program Changes	---	---	52,894
2010 Request	212	199	\$356,194
2009 to 2010 Total Change	62	80	\$56,194

*Zero net change of \$8,618,000 converting program funding to salary and benefits funding.

C. Summary of Requirements

**Department of Homeland Security
National Protection Programs Directorate
United States Visitor and Immigrant Status Indicator Technology**

Summary of Requirements
(Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	115	93	\$338,312
2009 Enacted	150	119	300,000
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	---	---	---
Increases	62	80	3,300
Decreases	---	---	---
Total Adjustments-to-Base	62	80	3,300
2010 Current Services	212	199	303,300
Program Changes (See "FY 2008 to FY 2009 Budget Change" for details)	---	---	52,894
2010 Total Request	212	199	356,194
2009 to 2010 Total Change	62	80	56,194

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 US-VISIT*	150	119	300,000	62	80	\$3,300	---	---	\$52,894	212	199	356,194	62	80	\$ 56,194
Total	150	119	\$300,000	62	80	\$3,300	---	---	\$52,894	212	199	\$0	62	80	\$56,194

*Includes 62 Federal staffing realignments, reflected FY 2010 totals.

D. Summary of Reimbursable Resources

Not applicable.

E. Summary of Requirements by Object Class

**Department of Homeland Security
National Protection Programs Directorate
United States Visitor and Immigrant Status Indicator Technology**

Summary of Requirements by Object Class
(Dollars in Thousands)

Object Classes	FY 2008 Actual	FY 2009 Enacted	2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$9,658	\$14,100	\$23,467	\$9,367
11.3 Other than full-time permanent	\$455	\$375	\$375	\$0
11.5 Other Personnel Compensation	\$360	\$300	\$377	\$77
12.1 Benefits	\$2,630	\$3,750	\$5,813	\$2,063
Total, Personnel Comp. & Benefits	\$13,103	\$18,525	\$30,032	\$11,507
Other Object Classes:				
21.0 Travel	451	490	536	46
22.0 Transportation of things	37	22	622	600
23.1 GSA rent	4,668	4,300	4,560	260
23.2 Other rent	4,425	1,600	1,719	119
23.3 Communications, utilities, & other misc. charges	650	500	545	45
25.1 Advisory and assistance services	104,288	42,000	51,494	9,494
25.2 Other services	44,669	74,373	98,087	23,714
25.3 Purchases of goods & svcs. from Gov't accounts	5,102	21,000	22,812	1,812
25.4 Operation & maintenance of facilities	3,258	4,395	5,995	1,600
25.7 Operation and maintenance of equipment	25,837	79,000	106,725	27,725
26.0 Supplies and materials	324	325	354	29
31.0 Equipment	131,500	53,470	32,713	(20,757)
Total, Other Object Classes	325,209	281,475	\$326,162	\$44,687
Total, Direct Obligations	338,312	300,000	\$356,194	\$56,194
Unobligated balance, start of year	244,940	179,062	34,000	
Unobligated balance, end of year	(179,062)	(34,000)	---	
Recoveries of prior year obligations	3	---	---	
Total requirements	404,193	445,062	\$390,194	

F. Permanent Positions by Grade

**Department of Homeland Security
National Protection Programs Directorate
United States Visitor and Immigrant Status Indicator Technology**

Permanent Positions by Grade

Grades and Salary Ranges	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
	Pos.	Pos.	Pos.*	Total
Total, SES	3	3	3	---
GS-15	56	55	55	---
GS-14	38	53	87	34
GS-13	7	6	21	15
GS-12	8	21	26	5
GS-11	2	---	---	---
GS-9	1	3	10	7
GS-7	---	9	10	1
Other Graded Positions	---	---	---	---
Ungraded Positions	---	---	---	---
Total Permanent Positions	115	150	212	62
Unfilled Positions EOY	18	1	---	(1)
Total Perm. Employment EOY	97	149	212	63
FTE	93	119	199	80
Headquarters	115	150	212	62
Total Permanent Positions	115	150	212	62
Average ES Salary	\$ 158,500	\$ 163,097	\$ 168,479	\$ 5,382
Average GS Salary	\$ 129,440	\$ 133,194	\$ 137,589	\$ 4,395
Average GS Grade	15.00	15.00	14.00	(1.00)

* Includes 62 additional Federal positions funded out of program/contract dollars.

G. Capital Investment and Construction Initiative Listing

Not applicable.

H. PPA Budget Justifications

**Department of Homeland Security
National Protection Programs Directorate
United States Visitor and Immigrant Status Indicator Technology**

**US-VISIT
Funding Schedule
(Dollars in Thousands)**

PPA: US-VISIT		2008	2009	2010	2009 to 2010
Object Classes:		Actual	Enacted	Request	Change
11.1	Perm Positions	\$9,658	\$14,100	\$23,467	\$9,367
11.3	Other than perm	\$455	\$375	\$375	---
11.5	Other per comp	\$360	\$300	\$377	77
12.1	Benefits	\$2,630	\$3,750	\$5,813	2,063
21.0	Travel	451	490	536	46
22.0	Transportation of things	37	22	622	600
23.1	GSA rent	4,668	4,300	4,560	260
23.2	Other rent	4,425	1,600	1,719	119
23.3	Communication, Utilities, and misc charges	650	500	545	45
25.1	Advisory & Assistance Services	104,288	42,000	51,494	9,494
25.2	Other Services	44,669	74,373	98,087	23,714
25.3	Purchase from Govt. Accts.	5,102	21,000	22,812	1,812
25.4	Operation & maintenance of facilities	3,258	4,395	5,995	1,600
25.7	Operation & maintenance of equipment	25,837	79,000	106,725	27,725
26.0	Supplies & materials	324	325	354	29
31.0	Equipment	131,500	53,470	32,713	(20,757)
Total, Operations		\$338,312	\$300,000	\$356,194	\$56,194
Full Time Equivalents		93	119	199	80

PPA Mission Statement

The United States Visitor and Immigrant Status Indicator Technology project provides immigration and travel information on the activities of foreign nationals before they enter, when they enter, and when they exit the United States. The Program has established four goals to accomplish its mission: (1) enhance the security of our citizens and visitors, (2) facilitate legitimate travel and trade, (3) ensure the integrity of our immigration system, and (4) protect the privacy of our visitors.

Summary of Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$13,103	\$18,525	\$30,032	\$11,507

The request includes funding for 199 FTEs, proposed cost of living allowance, medical benefits, and other mandatory personnel entitlements including the annualization of the 2009 cost of living increase of \$181,000, the 2010 cost of living increase of \$278,000, and \$2,430,000 annualization of period year funding using the pay inflation factor, and \$8,618,000 for 62 FTE funded by an offset to program/contract funds.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$451	\$490	\$536	\$46

The request includes an increase of \$46,000 for transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal Travel Regulations.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Transportation of Things	\$37	\$22	\$622	\$600

This request includes an increase of \$600,000 for the transportation of things in support of the US-VISIT mission.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
GSA rent	\$4,668	\$4,300	\$4,560	\$260

The request includes an increase of \$260,000 for all payments to the General Services Administration for rental of office space and rent related services.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Rent	\$4,425	\$1,600	\$1,719	\$119

The request includes an increase of \$119,000 for all payments for rental or leases (information technology equipment and services for the US-VISIT Program, and other rental related services).

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Communication, Utilities, and Miscellaneous Charges	\$650	\$500	\$545	\$45

The request includes an increase of \$45,000 for information technology services of data and voice from other Federal agency providers, postal and courier services, utilities such as heat, electricity, and other program office facility type services.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Advisory and Assistance Services

\$104,288	\$42,000	\$51,494	\$9,494
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The request includes an increase of \$9,494,000 for management and professional support services as a result of the Federal personnel realignment for mission organization support, logistics, project monitoring and reporting, budgeting, accounting, and performance auditing, offset by non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Other Services

\$44,669	\$74,373	\$98,087	\$23,714
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The request includes an increase of \$23,714,000 for contractual services with non-Federal sources for program office support, interagency agreements for services (equipment staging, data center application hosting and data communications including additional services for development of software applications and operations and maintenance of delivered capability in earlier fiscal years).

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Purchase from Government Accounts

\$5,102	\$21,000	\$22,812	\$1,812
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The request includes an increase of \$1,812,000 for interagency agreements for contractual services (data center, applications support, network operations and integrated testing of software applications).

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Operation & Maintenance of Facilities

\$3,258	\$4,395	\$5,995	\$1,600
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The request includes an increase of \$1,600,000 for services provided by contract (security of the building, climate control, and general service and routine repair of the facilities).

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Operation & Maintenance of Equipment

\$25,837	\$79,000	\$106,725	\$27,725
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The request includes an increase of \$27,725,000 for storage and care of information technology systems (contract based equipment maintenance and data center operations).

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Supplies & materials

\$324	\$325	\$354	\$29
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The request includes an increase of \$29,000 for consumable supplies and materials

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change

Equipment

\$131,500	\$53,470	\$32,713	(\$20,757)
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The request includes a decrease of \$20,757,000 for the matchers for the 10-print initiative that were funded and deployed in FY 2009 to support new users and increased print processing volume.

I. Changes in FTE

**Department of Homeland Security
National Protection Programs Directorate
United States Visitor and Immigrant Status Indicator Technology**

Changes in Full-Time Equivalents

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	83	93	149
INCREASES			
Increase #1:	---	---	18
Description: Annualization of prior-year FTE			
Increase #2:	---	17	---
Description: Requested Additional FTEs			
Increase #3:	10	4	---
Description: Filling unfilled positions			
Increase #3:	---	35	45
Description: Add'l Federal Positions offset by Program Funds			
Year-end Actual/Estimated FTEs	93	149	212
Net Change from prior year base to Budget Year Estimate:	10	56	63

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity

**Department of Homeland Security
National Protection and Programs Directorate
United States Visitor and Immigrant Status Indicator Technology**

FY 2010 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual	FY 2009 Enacted	FY 2010 Anticipated	Increase / Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Fee for Service Activity	\$8,038	\$9,785	\$11,537	\$1,752
Tri-Bureau Service Activity*	7,843	2,899	10,685	7,786
Government-wide Mandated Service Activity	29	37	49	12
DHS Crosscutting Activity	55	69	96	27
Working Capital Fund Management Activity	29	36	36	---
Total Working Capital Fund	\$15,994	\$12,826	\$22,403	\$9,577

*Tri-Bureau Service Activity increased \$9.264 million, FY 2009 reprogramming pending.

Department of Homeland Security

National Protection and Programs Directorate



Fiscal Year 2010
Strategic Context
Congressional Submission

FY 2009 PRESIDENT’S BUDGET REQUEST STRATEGIC CONTEXT

NATIONAL PROTECTION AND PROGRAMS DIRECTORATE (NPPD)

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A. Mission and Description

The National Protection and Programs Directorate (NPPD) is a diverse organization with a vital, cross-cutting, and unifying mission of risk reduction. The Directorate works to reduce risks to the Nation through five mission areas: protect the Nation's citizens and visitors against dangerous people; protect the Nation's physical infrastructure; protect the Nation's cyber and communications infrastructure; strengthen the Department's risk management platform; strengthen partnerships and foster collaboration and interoperability.

Protecting the Nation's Citizens and Visitors against Dangerous People. NPPD works with its Federal, State, local, tribal, territorial and private sector partners to guard against threats posed by terrorists and other criminals intending to do harm to the United States. NPPD works with domestic and international organizations to monitor the status of known individuals or groups that pose a threat to critical infrastructure. NPPD provides biometrics-based information to border officers, law enforcement, and other decision-makers about persons of interest. Additionally, the Directorate helps prevent document and identity fraud that threatens the integrity of the immigration process and the safety of foreign visitors.

Protecting the Nation's Physical Infrastructure. NPPD leads the coordinated effort to reduce risk to the Nation's critical infrastructure and key resources (CIKR) from acts of terrorism, natural disasters, and other devastating emergencies by integrating and disseminating CIKR threat, consequence, and vulnerability information; developing risk mitigation strategies; and overseeing the national plan for protecting the Nation's infrastructure (National Infrastructure Protection Plan). These efforts help ensure that essential government missions, public services, and economic functions are maintained, and that CIKR elements are not exploited for use as weapons of mass destruction against people or institutions.

Protecting the Nation's Cyber and Communications Infrastructure. NPPD collaborates with public, private, and international partners to ensure the security and continuity of the Nation's cyber and communications infrastructures in the event of acts of terrorism, national disasters, and other catastrophic incidents. Additionally, NPPD protects and strengthens the reliability, survivability and interoperability of the Nation's communications capabilities -including those utilized during emergencies- at the Federal, State, local, and tribal levels.

Strengthening the Department of Homeland Security's Risk Management Platform. NPPD leads the Department's effort to establish a common framework to address the overall management and analysis of homeland security risk with a focus on standardizing and integrating risk management approaches used across the Department. NPPD ensures that all individual risk programs utilize common risk approaches and methodologies, lexicon, training standards, and data collection structures.

Strengthening Partnerships and Fostering Collaboration and Interoperability. NPPD engages with public and private sector partners to ensure effective information exchange and collaboration.

B. Major Activities and Key Strategic Goals

The major activities for NPPD in FY 2010 are presented in the structure of the performance based budget as reflected in the DHS Future Years Homeland Security Program (FYHSP). FY 2010 activities include: *United States Visitor and Immigrant Status Indicator Technology Program, Infrastructure Protection, Federal Protective Service, Cyber Security and Communications, and Management and Administration.*

DHS STRATEGIC GOAL 1: PROTECT THE NATION FROM DANGEROUS PEOPLE

OBJECTIVE 1.3: Strengthen Screening of Travelers and Workers

United States Visitor and Immigrant Status Indicator Technology Program. The US-VISIT program is fully aligned to DHS Strategic Objective 1.3 to strengthen the screening of travelers and workers. The program collects, maintains, and shares information, including biometric identifiers, on foreign visitors. This information assists in determining whether an individual should be prohibited from entering the United States; can receive, extend, change, or adjust immigration status; has overstayed or otherwise violated the terms of admission; should be apprehended or detained for law enforcement action; or needs special protection or attention (e.g., refugees).

In FY 2010, NPPD requests \$356,194,000 to strengthen screening of travelers and workers, an increase of \$56,194,000 over the FY 2009 enacted level of \$300,000,000.

FY 2008 Accomplishments

- Maintained an average response time of two minutes for all requests for information from Department of State (consular office inquiries), Immigration and Customs Enforcement, and Customs and Border Protection (carried out through IDENT).
- Completed 631,533 manual fingerprint verifications, 2,502,934 latent print verifications, 230,354 urgent fingerprint verifications submitted by law enforcement through the Biometric Support Center.
- Completed a revised US-VISIT Strategic Plan based on the new strategic framework expanding US-VISIT's identity management and screening services to meet the needs of the larger immigration and border management enterprise along with the broader DHS biometric-based screening and credentialing based services. This revised plan conforms to the Government Performance Results Act of 1993 requirements and best practices accepted by the private sector.
- Initiated modernization of the architecture for IDENT and ADIS into the DHS data center facilities by strengthening reliability and availability standards, supporting platforms, and infrastructure.
- Completed pilots and began national deployment of 3,300 scanners at 292 ports of entry. In FY 2008, US-VISIT completed the 10-print pilot and evaluated the results. These results provided insights and lessons learned that guided the national deployment of 10-print capability due to be completed in early FY 2009. National deployment consisted of approximately 3,300 devices to the 292 ports of entry where 2-print scanners are deployed at air, sea, and land ports of entry. Through these efforts, US-VISIT improved accuracy in matching fingerprints, enabled the immediate identification of high-risk individuals, and facilitated interaction for low-risk individuals.

FY 2009 Planned Accomplishments

- Match 97% of nonimmigrant travelers' arrivals to departures (carried out through ADIS).
- Manage data from all Visa Waiver Program countries beginning with 750,000 record backlog of potential in-country visa overstay violators.
- Complete training governance for Federal partners in support of 10-fingerprint capture technology. Governance will ensure Federal partners' compliance with training best practices, which supports the operational objectives of 10-print technologies. US-VISIT is expanding its partnerships among Federal and State agencies to extend IDENT resources and tools in execution of its mission. IDENT users will be notified that biometric data will be collected from in-scope travelers exiting the United States from air or sea ports. For the land border biometric exit project, US-VISIT will provide user training support.
- Complete the installation of the two-print matcher subsystem infrastructure, including the hardware and additional capacity to the matcher cluster for connecting these two new DHS enterprise platforms to legacy Department of Justice production platforms.
- Deploy of 10-print reader capabilities to the remaining ports of entry beyond the initial pilot, including the remaining deployment of approximately 3,300 devices to 292 ports of entry.

FY 2010 Projected Accomplishments

- Maintain performance targets from FY 2009 and 2010.
- Post temporary onsite technical US-VISIT expert in Warsaw, Poland and Mexico to assist in integrating biometrics into immigration and border information systems.
- Implement acquisition strategies for the prime integrator support contract and the program management support contractor. In addition, an overall acquisition strategy will be developed to align with US-VISIT's biometric support mission.
- Complete the deployment of the US-VISIT matcher cluster from the Department of Justice Dallas Data Center to Clarksville, Virginia, including the establishment of connectivity between the two DHS data centers and the legacy Department of Justice data center in Rockville, Maryland.
- Expand support to Immigration and Custom Enforcement (ICE) Secure Communities. ICE will use US-VISIT's expanded interoperability and will build on existing relationships with State and local law enforcement agencies to ensure that incarcerated criminal aliens are removed from the country instead of being released into our communities after custody.

DHS STRATEGIC GOAL 3: *PROTECT CRITICAL INFRASTRUCTURE*

OBJECTIVE 3.1: *Protect and Strengthen the Resilience of the Nation's Critical Infrastructure and Key Resources*

Infrastructure Protection. Infrastructure Protection (IP) is fully aligned to DHS Strategic Objective 3.1 to protect and strengthen the resilience of the Nation's critical infrastructure and key resources (CIKR). IP leads the coordinated national effort to reduce the risk to the Nation's CIKR posed by acts of terrorism and strengthens preparedness, response, and recovery of infrastructure in the event of an attack, natural disaster, or other emergency.

In FY 2010, NPPD requests \$333,303,000 to reduce risks to the Nation's critical infrastructure and key resources, an increase of \$19,503,000 over the FY 2009 enacted of \$313,800,000. These funds will

support three infrastructure protection mission areas: Identification and Analysis, Coordination and Information Sharing, and Mitigation Programs.

Identification and Analysis. The Identification and Analysis mission area includes IP projects and activities that support the capability to identify the nations CIKR, assess CIKR vulnerabilities and consequences, and analyze and reduce risk. Activities include developing an inventory of CIKR assets; risk analysis, modeling and simulation; and fusing information from field assessments to enable analysis of infrastructure interdependencies.

Coordination and Information Sharing. The Coordination and Information Sharing mission area includes IP projects and activities that enhance situational awareness and maximize the ability of government and private sector security partners at all levels to assess risks, coordinate programs and processes, and execute risk-mitigation programs and activities. Coordination and Information Sharing leads and coordinates the execution of the National Infrastructure Protection Plan, acting as a central clearinghouse for information sharing and coordination activities of individual sectors as well as facilitating development and support of security partner governance models.

Mitigation Programs. The Mitigation Programs mission area includes voluntary and regulatory projects and activities, which enable security partners to identify and mitigate vulnerabilities, implement protective measures, and increase preparedness for facilities, systems, and surrounding communities. They support public awareness efforts and facilitate the sharing of CIKR protection-related best practices and lessons learned as well as enabling IP planning, readiness and incident management.

FY 2008 Accomplishments

- Conducted over 300 vulnerability assessments on Tier 1 and Tier 2 critical infrastructure and key resource assets, National Special Security Events, other special events, and specially directed facilities. These included Site Assistance Visits, Buffer Zone Protection Plans, Comprehensive Reviews, and New Nuclear Reactor assessments.
- Provided operational incident support through NISAC activities during Midwest flooding in June 2008. Examined potential economic losses, outlined affected infrastructure, and projected overall national-level cascading impacts due to floods. Prioritized restoration of infrastructures that may be affected by Hurricane Dolly in July 2008 and conducted analysis of potential cross-border (U.S./Mexico) infrastructure impacts to CIKR due to hurricanes.
- Created the State and Regional CIKR Protection Guide. This guide bridges the gap between National level and State/regional level CIKR protection planning and implementation. It serves as a key resource for new Homeland Security Advisors and other homeland security officials.
- Supported the development of the National risk picture by identifying, assessing, monitoring, and helping to minimize risk to State and local CIKR. In doing so Protective Security Advisors are able to provide situational awareness and information sharing to local law enforcement, and owners and operators at the Federal, State, local, and private sector levels.
- Completed multi-asset and multi-system vulnerability assessments to identify systematic CIKR vulnerabilities and asset interdependencies.
 - Conducted multi-asset assessment pilots in the Lower Manhattan Security Initiative and the District of Columbia Metroplex Initiative.
 - Conducted over 40 vulnerability assessments as part of a comprehensive review of the California Water System.

- Completed establishment of the NIPP Partnership Model. All components of the CIKR Partnership, consisting of Sector Coordinating Councils, Government Coordinating Councils, and the State, Local, Tribal and Territorial Government Coordinating Council, are in place. Most have met at least once in joint session and others have regularly scheduled quarterly or semi-annual joint meetings.
- Registered over 43,000 facilities for access to the Chemical Security Assessment Tool suite of tools (e.g., Top-Screen, Security Vulnerability Assessment, Sector Specific Plan), and completed Top-Screens for over 32,000 facilities.

FY 2009 Planned Accomplishments

- Develop a pre-construction assessment methodology, which can be utilized in the design phase of new CIKR construction. This methodology will assess the vulnerabilities of the design, annotate the protective measures needed to mitigate vulnerabilities, and include a cost analysis of enacting those protective measures.
- Produce the FY 2009 Critical Foreign Dependencies List and Executive Report for FY 2009, a comprehensive inventory of infrastructure located outside the United States that if disrupted or destroyed, would lead to loss of life in the United States, or critically affect the Nation's economic, industrial, or defensive capabilities.
- In coordination with the Sector-Specific Agencies and private sector partners, develop metrics to assess the progress of implementing the National Infrastructure Protection Plan risk management framework and value of critical infrastructure and key resources protection efforts. Develop guidance for and coordinate the Sector Critical Infrastructure and Key Resources Protection Annual Reports. Analyze sector and other annual reports to develop the National Critical Infrastructure and Key Resources Protection Annual Report. Coordinate writing and printing of National Annual Report, and ensure delivery to the Executive Office of the President and Congress.
- Integrate the private sector into the IP incident management planning process, including coordinated planning, readiness, and incident management execution activities. Establish routine ISAC presence at National Infrastructure Coordinating Center watch. Develop concept for Sector Coordinating Council/ Partnership for Critical Infrastructure Security presence in Incident Management Cell when activated.
- Deploy 10 additional Protective Security Advisors to States that currently do not have a Protective Security Advisor located within their boundaries. Field-deployed Protective Security Advisors will be located in Federal Government offices situated to best facilitate information exchange with homeland security officials in each State currently without a Protective Security Advisor. This enhancement will enable stronger relationships between DHS and the State and local government, and the owners and operators of CIKR.

FY 2010 Projected Accomplishments

- Conduct approximately 315 vulnerability assessments (Site Assistance Visits, Buffer Zone Protection Plans, and Comprehensive Reviews) per year on Tier 1/Tier 2 assets, special events projects and as directed by leadership, utilizing the National Guard in coordination and collaboration with Federal, State, local, and private sector partners. Assessment results will be utilized to influence facility security; direct DHS grant dollars to address equipment gaps in local law enforcement; and identify trends across sectors.
- Achieve Initial Operating Capability for the Secret Infrastructure Information Collection System Production Subsystem to expand the infrastructure data accessible and distributed to the regional

homeland security community, integrating numerous data sets into the Infrastructure Information Collection System to improve execution of national risk management for CIKR.

- Move the Information Sharing Maturity Model into full operations for CIKR Regional Coalitions, thereby incorporating them into the CIKR Information Sharing Environment which will support effective coordination and communication among regional CIKR-relevant coalitions, Federal agencies, and the National CIKR sectors.
- Integrate CIKR private sector-IP incident management processes and information flow beyond IP, including the NOC, NPPD, FEMA, and the Sector-Specific Agencies, to fully realize benefits of CIKR incident-specific information sharing in protection and restoration of CIKR during incidents.
- Plan and pilot initial efforts for implementing annual review, assessment, and inspection cycle with Tier 1 facilities, biannual efforts with Tier 2 facilities, and initial efforts with Tier 3 and 4 facilities.

Federal Protective Service. The Federal Protective Service (FPS) is fully aligned to DHS Strategic Objective 3.1 to protect and strengthen the resilience of the Nation's critical infrastructure and key resources. The FPS leads the Department's comprehensive security and law enforcement services to more than 9,000 Federal facilities nationwide, mitigating risk to those facilities and their 1.1 million occupants. FPS operational activities include conducting comprehensive risk assessments of Federal facilities to determine and install appropriate risk mitigation measures. Further, FPS personnel provide regular security awareness training to stakeholders, conduct criminal investigations, respond to critical incidents, and provide support to major events.

In FY 2010, NPPD requests \$640,000,000 to ensure the security of 9,000 Federal facilities nationwide, with no increase over the FY 2009 enacted of \$640,000,000.

FY 2008 Accomplishments

- Provided comprehensive security and law enforcement services to more than 9,000 Federal facilities nationwide to mitigate risk to those facilities and their 1.1 million occupants. FPS operational activities included conducting comprehensive risk assessments to determine, recommend, and install appropriate risk mitigation measures in coordination with facility tenants. Further, FPS personnel provided regular security awareness training to stakeholders, conducted criminal investigations, responded to critical incidents, and provided support to major events, including the Democratic and Republican National conventions.
- Strengthened security standards representing the key elements for reducing threat and vulnerability levels at federal facilities.

FY 2009 Projected Accomplishments

- Provide significant, appropriate law enforcement and security services for the approximately 9,000 facilities to accommodate the FPS mission.
- Receive and respond to reports of law and building rules violations, suspicious or unusual activities on federal property, weapons and explosives violations, demonstrations and disturbance incidents, alarm activations and any fire related incidents.
- Serve as the Sector Specific Agency for the Government Facilities Sector under the National Infrastructure Protection Plan (NIPP), to coordinate protection and security efforts for designated critical infrastructure and key resources across the sector.

FY 2010 Projected Accomplishments

- Develop risk-based security standards tied to intelligence by implementing a robust and improved risk assessment tool to improve threat identification, identify associated risk mitigation countermeasures and provide objective security evaluations to stakeholders.
- Improve the service provided by contract security guard force multiplier via effective acquisition strategies and intensive monitoring and coaching.
- Coordinate with Government Facilities Sector in support of the FPS roles as the sector specific agency under the Nation.

OBJECTIVE 3.2: *Ensure Continuity of Government Communications and Operations*

National Communications System. The National Communications System (NCS) is fully aligned to DHS Strategic Objective 3.2 to ensure continuity of government communications and operations. NCS provides mission-critical communications for Federal, State and local governments, and private industry through homeland security-related telecommunications functions and responsibilities, and provision of national security and emergency preparedness communications for the Federal government under all circumstances.

In FY 2010, NPPD requests \$140,149,000 to ensure continuity of government communications and operations, a decrease of \$1,164,000 from FY 2009 enacted of \$141,313,000. These funds will support four programs: Priority Telecommunications System, Next Generation Networks, Programs to Study and Enhance Telecommunications, and Critical Infrastructure Protection.

Priority Telecommunications System. The Priority Telecommunications System program provides specially designed telecommunications services to the national security and emergency preparedness user community during natural or man-made disasters when conventional communications services are ineffective. These telecommunication services are used to coordinate response and recovery efforts and in severe conditions assist with Continuity of Operations and Government.

Next Generation Networks. A technology insertion initiative to maintain and migrate legacy priority voice telecommunications features (Government Emergency Telecommunications Service and Wireless Priority Service) and to apply priority to data applications as the public switched network evolves to Next Generation Networks.

Critical Infrastructure Protection. Ensures the continued availability of national security and emergency preparedness telecommunications services under all circumstances, including crisis or emergency, attack, recovery, and reconstitution. The Critical Infrastructure Protection program includes National Coordinating Center Operations, Critical Infrastructure Protection Operations, Plans, and Policy, Training and Exercises, Network Security Information Exchanges, and Telecommunications Service Priority.

Programs to Study and Enhance Telecommunications. The Programs to Study and Enhance Telecommunications conduct technical studies and analyses of public communications infrastructures, vulnerability assessments of new communications technologies to Telecommunication Electromagnetic Disruptive Effects, and works with the international communications industry consensus standards organizations to ensure that evolving communications commercial standards address the technical requirements of national security/emergency preparedness communications.

FY 2008 Accomplishments

- Increased total Wireless Priority Service users to 85,756 and increased total Government Emergency Telecommunications Service cards to 208,944 providing outreach to qualified national security and emergency preparedness personnel.
- Initiated development of Internet Protocol Multimedia Subsystem Access national security/emergency preparedness Industry Requirements necessary to migrate Government Emergency Telecommunications Service /Wireless Priority Service functionality onto carriers' Next Generation Networks.
- Maintained strong relations with the telecommunications industry and the NCS Committee of Principals in facilitate joint planning, operational activities, and coordination of assessments, information sharing, and restoration and recovery of the critical telecommunications infrastructure.
- Performed cyber and communications modeling and analysis studies in support of emerging requirements, such as the impact undersea cable infrastructure damage would have on the communications infrastructure.
- Tested Continuity of Operations Plan and procedures during National Level Exercise 2008.

FY 2009 Planned Accomplishments

- Provide support to the NCS Committee of Principals, including technical, logistical, executive, planning and managerial support in the identification, development, and analysis of current national security/emergency preparedness communications issues and recommended solutions.
- Produce a 2009 risk assessment of the threat to and vulnerability of the public communications Networks.
- Analyze physical infrastructure diversity, or "last-mile" connectivity, for two National Communications System member agencies to ensure primary mission essential functions are preserved.
- Ensure operational readiness and validate information flow through participation in exercises such as Cyberstorm, Top Officials, Pinnacle, Forward Challenge, National Response Framework Exercises, and other Continuity of Operations and Continuity of Government readiness events.
- Complete development of Internet Protocol Multimedia Subsystem Access national security and emergency preparedness Industry Requirements necessary to migrate Government Emergency Telecommunications Service/Wireless Priority Service functionality onto carriers' Next Generation Networks.

FY 2010 Projected Accomplishments

- Increase total Government Emergency Telecommunications Service cards to 252,822 and increase total Wireless Priority Service users to 113,198.
- Support Emergency Support Function #2 participation in national security and emergency preparedness exercises before the 2010 Winter Olympics (January-February 2010).
- Deploy one Regional Communications Coordinator in each of the 10 Federal Regions to support planning, preparedness and response activities with the private and public sectors associated with Emergency Support Function #2 – Communications of the National Response Framework.

- Develop and implement continuity communications architecture to ensure, under all conditions, federal executive branch cross-department and agency communications.

OBJECTIVE 3.3: *Improve Cyber Security*

National Cyber Security Division. The National Cyber Security Division (NCSD) is fully aligned to DHS Strategic Objective 3.3 to improve cyber security. NCSD partners with the private sector, government, military, and intelligence stakeholders in risk assessment and threat/vulnerability reduction to critical IT assets for the United States' critical infrastructures. Additionally, NCSD provides cyber threat and vulnerability analysis, early warning, and incident response assistance for public and private sector constituents.

In FY 2010, NPPD requests \$400,654,000 to improve cyber security, an increase of \$87,154,000 over the FY 2009 enacted of \$313,500,000.

FY 2008 Accomplishments

- Assessed over 4,000 current external internet connections in the .gov domain and identified approximately 80 of those as potential consolidated internet access points. Began deploying the National Cybersecurity Protection System (NCPS) to potential consolidated locations, enabling data collection for the detection of potential malicious cyber activities on Federal networks.
- Collaborated with the National Science Foundation, the National Security Agency, colleges, and universities to strengthen and expand academic programs aimed at improving information assurance in higher education institutions through the National Centers of Academic Excellence in Information Assurance Education and Centers of Academic Excellence-Research.
- Developed and delivered the Supply Chain Risk Management Strategy and Implementation Plan, which included a legal and policy evaluation of the potential application of all-source counterintelligence risk assessments, an intelligence community all-source counterintelligence risk assessment Concept of Operations to include threat information, vulnerability analyses, technical mitigations, and criteria to identify high priority systems.
- Established and participated in a Federal government-wide Federal Control Systems Working Group to collaborate on creating a control systems strategy to be applied across the Federal enterprise.

FY 2009 Planned Accomplishments

- Develop and enhance the United States Computer Emergency Readiness Team Alert Level process to ensure threat descriptions and risk thresholds are appropriate and that the process for working with stakeholders and releasing cyber notifications is thoroughly socialized and refined with the stakeholders.
- Collaborate with the National Institute for Standards and Technology to further develop final base-line source code security analysis tool specification document and a test plan document, Software Assurance Metrics and Tool Evaluation Reference Dataset test suite, and Web Application Scanner Tool Functional Specifications test suite.
- Implement robust Supply Chain Risk Management projects conducted across the Federal government that will establish a body of best practices, guidance, and lessons learned across the Federal enterprise, thus identifying available Federal guidance and industry best practices sufficient for successful and consistent applications.

FY 2010 Projected Accomplishments

- Conduct a combined feasibility study and cost-benefit analysis on the optimization of reducing Trusted Internet Connection access points. Explore at least two options for optimization in order to determine the extent to which consolidation efforts will continue to yield cost-effective optimization of Federal security and the point of diminishing returns on investment.
- Continue building out the National Cybersecurity Protection System to identify cyber threats and apply effective analysis and risk mitigation strategies.
- Facilitate the development of common indexing and reporting capabilities for malware, exploitable vulnerabilities, and common attacks which target software. This will support daily updates which enable the automation, use and evolution of these capabilities within the IT security community.
- Update and maintain the Federal Coordination Strategy for Securing Control Systems and the Control Systems Security Protection Framework as the central framework for coordinating Federal activities with State and local government, private industries, international entities, and control systems vendors.
- Execute Cyber Storm III National Cyber Exercise and during exercise activities, test and validate Cyber Exercise Range, which will provide the capability to execute technical level cyber exercises for the Federal government and State and local governments, providing the possibility of eventual expansion into private industries.
- Monitor implementation of Federal cybersecurity policies by Federal partners, providing day-to-day coordination, guidance, and track the progress in implementation of information security policies.
- Create an environment of improved information security and awareness pertaining to the protection of federal information and information systems from unauthorized access, use, disclosure, disruption, modification, or destruction.

DHS STRATEGIC GOAL 4: *STRENGTHEN OUR NATION'S PREPAREDNESS AND EMERGENCY RESPONSE CAPABILITIES*

OBJECTIVE 4.2: *Strengthen Response and Recovery*

Office of Emergency Communications. The Office of Emergency Communications (OEC) is fully aligned to DHS Strategic Objective 4.2 to strengthen the Nation's response and recovery capabilities. OEC supports and promotes the adoption of capabilities that enhance interoperability or the ability of emergency response providers and Federal officials to continue to communicate in the event of natural disasters, acts of terrorism, or other man-made disasters.

In FY 2010, NPPD requests \$44,060,000 to strengthen the Nation's response and recovery capabilities, an increase of \$5,760,000 over the FY 2009 enacted of \$38,300,000.

FY 2008 Accomplishments

- Developed the National Emergency Communications Plan, the Nation's first strategic plan targeted at improving emergency response communications. This Plan complements overarching homeland security and emergency communications legislation, strategies, and initiatives, and was developed through a collaborative effort with more than 150 public and

private sector emergency communications officials at all levels of government and across disciplines.

- Established 56 Statewide Communication Interoperability Plans. Provided technical assistance and guidance to States and territories to support the development and approval of all 56 Statewide Communication Interoperability Plans—prior to this accomplishment, only eight States had strategic plans for interoperable communications.
- Finalized the Joint Wireless Programs Memorandum of Understanding among DHS and the Departments of Justice and Treasury, which superseded the previous Integrated Wireless Network Memorandum of Understanding allowing for coordination under Joint Wireless Programs. This program will ensure that common, standards-compliant technologies are procured, thereby fostering communications interoperability among Federal Agencies for more effective and efficient enforcement activities, and enabling communications interoperability with State and local partners.

FY 2009 Planned Accomplishments

- Provide Statewide Communication Interoperability Plan Implementation Workshops to support States and territories in establishing concrete milestones for advancing interoperable emergency communications and identify priorities for the Office of Emergency Communications technical assistance services.
- Validate 56 Statewide Communication Interoperability Plans Implementation reports and provide Implementation Workshops to support States and territories in establishing concrete milestones for advancing interoperable emergency communications and identify priorities for OEC technical assistance services.
- Officially establish the Emergency Communications Preparedness Center following final approval of the charter by all 22 member Departments and Agencies.
- Lead efforts to plan a national conference of Federal, State, local and Tribal emergency responders and government officials.
- Deploy Communications Unit Leader Training/Instructor Training that will ensure every State and territory has qualified personnel capable of coordinating on-scene emergency communications during a multi-jurisdictional response.

FY 2010 Projected Accomplishments

- Deploy Communications Unit Technician Training in order to ensure that in the event of a multi-discipline, multi-jurisdictional response event, on site response practitioners are trained to a similar baseline. The Communications Unit Technician is responsible for assisting with the technical activities of incident response.
- Implement the secure Emergency Communications Preparedness Center Clearinghouse. This activity will increase intergovernmental information sharing regarding emergency communications.
- Implement the final phase of the U.S.-Mexico High Level Consultative Commission on Telecommunications Security Communications Task Group Action Plan. This phase includes completing system implementation and finalization of bi-national and domestic standard operating procedures.

MANAGEMENT AND ADMINISTRATION

Management and Administration (M&A) directs and assists the programs within the Directorate to reduce the risk of attack against the nation by protecting critical physical and cyber infrastructure, guarding against threats posed by foreign travelers to the country, and by standardizing the Department's approach to the analysis and management of potential risks to the Nation. This requires concerted leadership, coordination, outreach and partnerships among multiple Homeland Security agencies, the national preparedness and response community of federal agencies, State and local governments, tribal organizations, the private sector, and the American public

Directorate Administration. Administration directs and assists the Directorate's programs to enhance the protection of America's critical infrastructure and key resources. This appropriation supports activities associated with the Office of the Under Secretary, Office of Budget and Financial Administration, Office of Resource Management, Information Technology Division, Office of Communications and Public Affairs, and Office of Information Management. Together these activities provide Directorate leadership, budgeting, financial execution, human capital, security, program review and evaluation, executive secretariat functions, information technology support, facilities build out, rent and security services.

In FY 2010, NPPD requests \$44,577,000 to perform these functions, a decrease of \$6,773,000 below the FY 2009 enacted level of \$51,350,000.

FY 2008 Accomplishments

- Provided day-to-day fiscal services and financial operations including funds approval, prompt payment of invoices, payroll reconciliations and projections.
- Instituted a hiring tiger team to streamline the hiring process, as well as recruitment and advertising positions.
- Delivered IT services via a Project Management Office in direct support of the NPPD mission, goals, objectives, and programs for major systems.

FY 2009 Planned Accomplishments\

- Initiate an NPPD Internal Controls Program. In accordance with OMB Circular A-123, conduct assessments of internal controls on Funds Control and Budgetary Resource Management.
- Manage the Directorate Table of Organization, which lays out how personnel are aligned within the Directorate and staffing levels to assist in Workforce Planning.
- Develop and implement a robust IT support model for growing number of NPPD Remote (Field) offices to ensure IT capabilities are implemented and maintained for programs with remote personnel.

FY 2010 Projected Accomplishments

- Strengthen the performance measures and performance management process. Evaluate performance measures to ensure the measures align with strategic goals and objectives and the data collected remains relevant and informative to decision makers. Collect and analyze data more effectively to inform corrective actions and program/activity changes that minimize risk.
- Continue to support long range facilities planning efforts.
- Manage and ensure Earned Value periodic reporting for IT investments quarterly.

Risk Management and Analysis. Risk Management and Analysis (RMA) leads the Department's efforts to establish a common framework to address the overall management and analysis of homeland security risk. RMA supports development of a consistent, standardized, coordinated and collaborative approach to risk management, and allows RMA to direct and integrate risk expertise across Department components as well as external stakeholders.

In FY 2010, NPPD requests \$9,895,000 for RMA, an increase of \$395,000 over FY 2009 enacted of \$9,500,000.

FY 2008 Accomplishments

- Completed the first prototype for the Risk Assessment Process for Informed Decision Making (RAPID). Risk Assessment Process for Informed Decision Making supports strategic policy and budgetary decision making, by assessing risk, evaluating risk reduction effects of DHS programs, and evaluating alternative resource allocation strategies.
- Completed first draft of the Interim DHS Integrated Risk Management Framework. The Interim DHS Integrated Risk Management Framework provides a foundation for developing follow-on policy, doctrine and guidance that will institutionalize integrated risk management in the Department. The Interim DHS Integrated Risk Management Framework outlines a vision, objectives, principles and a process for integrated risk management within DHS, and identifies how the Department will achieve integrated risk management by developing and maturing governance, processes, training, and accountability methods.

FY 2009 Planned Accomplishments

- Incorporate the RAPID I prototype results to refine the methodology, broaden the scope, and prepare for application to inform the DHS' annual Planning, Programming, Budgeting, and Execution cycle of resource allocation decisions, including the FY 2011-2015 Integrated Planning Guidance and the process for developing Resource Allocation Plans and Resource Allocation Decisions. Initiate execution of RAPID II as well as detailed assessments within the chemical and biological threat spectrum: 1) providing an analysis of DHS chem./bio programs based on risk reduction across the DHS mission space, 2) evaluating the degree to which DHS chem./bio programs are currently managing the homeland security risk, 3) identifying gaps, and 4) recommending strategies for better allocating resources to manage risk.
- Establish a working group to conduct an assessment of the requirements and resources available, complete a methodological background and implications document, complete a requirements document, and complete an execution plan for the Homeland Security National Risk Assessment. The Homeland Security National Risk Assessment will serve as a comprehensive assessment of risk, leveraging existing risk assessments that empower leaders to make informed decisions to optimize the nation's security. It will show the potential for risk reduction to inform strategies, policies, planning venues, and operations across the homeland security enterprise.

FY 2010 Projected Accomplishments

- Implement Risk Informed Decision Making to inform the Planning, Programming, Budgeting, and Execution cycle of resource allocation decisions, including the FY 12-16 IPG and the process for Resource Allocation Plans and Resource Allocation Decisions.
- Continue to lead the Protect and defend sub-objective related to risk management for the National Implementation Plan Global War on Terrorism.

Strategic Issues Facing the National Protection and Programs Directorate

1. Expanding and strengthening relationships, both within and beyond the Directorate, developing an integrated, national approach to assessing risks and ensuring security of the homeland.
2. Reducing risks to the Nation's critical infrastructure and key resources, both physical and virtual
 - a. Coordinating defense and responses to cyber attacks across the Nation; analyzing and reducing cyber threats and vulnerabilities; disseminating cyber threat warning information; and coordinating incident response activities to cyber threats.
 - b. Implementing the Chemical Facility Anti-Terrorism Standards regulatory program.
 - c. Successfully implementing the National Infrastructure Protection Plan and effectively managing the risks to the Nation's critical infrastructure and key resources.
3. Ensuring emergency response providers and Federal officials have the ability to communicate in the event of natural or man-made disasters.
 - a. Promote the ability of emergency response providers and Federal officials to continue to communicate in the event of natural or man-made disasters, and to attain interoperable emergency communications nation-wide.
 - b. Enhance the communications infrastructure to accommodate next generation technologies and enable national security and emergency preparedness users to communicate when the next generation networks are damaged and congested
 - c. Providing improved crisis management capabilities. This will include robust situational awareness to leadership at all levels and improved collaboration and conferencing capabilities.
4. Executing a continuum of visitor identification and identity document security measures to enhance the security of the United States while facilitating legitimate travel and trade while protecting visitors' privacy.
 - a. Develop and implement a plan for the Comprehensive Biometric Exit Solution.
 - b. Expand available biometric information to State and local law enforcement and intelligence community users to improve the identification of overstay, criminals, national security threats and biometric watch list candidates for subsequent action.

C. Resources Requested and Performance Impact

In FY 2010, NPPD requests \$1,958,937,000 (2,559 FTE), an increase of \$800,674,000 and 1,729 FTE over NPPD FY 2009 appropriated amount of \$1,158,263,000 (830 FTE).

Major Changes within the Base Level

- 2010 pay increase (2.0%) and 2009 pay inflation (3.9%): \$2,825,000
- Annualization of FY 2009 new positions: 114 FTE and \$15,457,000
- A realignment of \$49,724,000 from program dollars fund an additional 450 FTP and 377 FTE.
- Federal Protective Services is requested to be transferred from Immigration and Customs Enforcement to NPPD

Major Program Increases

OBJECTIVE 1.3

US-VISIT Program Management \$17.5M (0 FTE)

Enhancement will support the staffing and program support activities across all of the project. The funding will support the hiring, training and retention of the US-VISIT workforce.

US-VISIT Identity Management and Screening Services \$11.2M (0 FTE)

Enhancement will support efforts to address a growing workload resulting from 10 print identifications/verifications, latent print processing, data sharing initiatives (most notably with the FBI), and support for Secure Communities.

US-VISIT Data Center Mirror and Migration \$19.9M (0 FTE)

Enhancement will improve system capacities for IDENT and ADIS and provide additional system redundancy.

US-VISIT Operations and Maintenance \$41.9M (0 FTE)

Enhancement will provide support that is attributable to the impact of current services growth on the IDENT system and the requirement to refresh aging fingerprint matcher hardware.

OBJECTIVE 3.1

Vulnerability Assessments \$3.0M (0 FTE)

Enhancement will support the identification of vulnerabilities and enhances the security of the Nation's Tier 1 and Tier 2 critical infrastructure and key resources.

Bombing Prevention \$4.2M (0 FTE)

Enhancement will provide an enhanced and coordinated national bombing prevention and improvised explosive device (IED) security effort.

Infrastructure Security Compliance \$19.0M (23 FTE)

Enhancement will support Chemical Site Security and Ammonium Nitrate to enhance current inspection capabilities through the hiring, training, equipping and housing of additional inspectors.

OBJECTIVE 3.2**Continuity Communications Architecture** \$2.5M (0 FTE)

Enhancement will develop a continuity communications architecture (CCA) to ensure federal branch cross-department and agency communications in a continuity event.

Regional Communications Coordinators \$2.5M (7 FTE)

Enhancement will support planning, preparedness, and response activities with the private and public sectors associated with Emergency Support Function #2.

OBJECTIVE 3.3**Cybersecurity: Security of the Federal IT Enterprise** \$75.1M (15 FTE)

Enhancement will support the implementation of the Comprehensive National Cybersecurity Initiative.

Cybersecurity: Security of State/Local/Private Sector IT \$15.0M (1 FTE)

Enhancement will enhance the Control Systems Security, Cyber Exercises and Critical Infrastructure Protection-Cybersecurity programs

OBJECTIVE 4.2**Office of Emergency Communications** \$3.8M (0 FTE)

Enhancement will advance implementation of the National Emergency Communications Plan.

D. Program Performance Highlights, Resources, and Alignment to Strategic Goals

For each major program, the performance goal, alignment to DHS goals and objectives, total dollars and FTE, and main performance measure/s are shown below. For many of the programs, more performance information may be found on the OMB web site Expectmore.gov (program names may differ slightly from those used in this document).

Program: Infrastructure Protection						
Performance Goal: Improve the protection of the Nation's high risk and most valued critical infrastructure and key resources (CIKR) by characterizing and prioritizing assets, modeling and planning protective actions, and building partnerships.						
DHS strategic objectives supported and % allocation of activities: Objective 3.1 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$311,806	\$311,381	\$299,460	\$251,633	\$328,357	\$344,961
FTE	201	201	338	267	424	760

Performance Plan Measures

Measure: Percent of inspected high-risk chemical facilities in compliance with risk based performance standards.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	0%	75%	85%	70%
Actual:	None	None	None	0%	N/A	N/A

Measure: Percent of Critical Infrastructure and Key Resource (CIKR) sector specific planning protection implementation actions on track.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	N/A	90%	90%	90%
Actual:	None	None	None	93%	N/A	N/A

Measure: Percent of high priority CIKR where a vulnerability assessment has been conducted and enhancement(s) have been implemented.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	N/A	95%	95%	95%
Actual:	None	None	None	100%	N/A	N/A

Program: Cyber Security and Communications						
Performance Goal: Improve the security and interoperability of America's cyber and emergency preparedness communications assets by working collaboratively with public, private, and international entities.						
DHS strategic objectives supported and % allocation of activities: Objective 3.2 - 36% Objective 3.3 - 55% Objective 4.2 - 9%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$234,074	\$261,317	\$298,339	\$331,208	\$515,989	\$605,321
FTE	46	106	155	114	275	379

Performance Plan Measures

Measure: Percent of targeted stakeholders who have implemented the Control Systems Security Self Assessment Tool (CS2SAT) to conduct vulnerability assessments						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	N/A	25%	75%	80%
Actual:	None	None	None	50%	N/A	N/A

Measure: Percent of planned Einstein sensors deployed on-time annually throughout the Federal Government.						
Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	None	None	Baseline	100%	100%	100%
Actual	None	None	None	26%	N/A	N/A

Measure: Priority services call completion rate during emergency communications periods.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	90% (Baseline estimate)	90%	90%	90%	90%	90%
Actual:	95.5%	97.8	None	97%	N/A	N/A

Measure: Percent of States and Urban Areas whose current interoperable communications abilities have been fully assessed.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	65%	100%	100%
Actual:	None	None	None	84%	N/A	N/A

Program: US - VISIT						
Performance Goal: Improve the identity and document verification capabilities available to Immigration and Border Management stakeholders to enable them to make timely and accurate risk and eligibility decisions.						
DHS strategic objectives supported and % allocation of activities: Objective 1.3 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$340,000	\$236,622	\$368,656	\$355,247	\$313,917	\$368,654
FTE	84	102	109	101	131	220

Performance Plan Measures

Measure: Percent of biometrically screened individuals inaccurately identified as being a on a US-VISIT watch list.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	.013%	<.04%	<.04%
Actual:	None	None	None	0.0197%	N/A	N/A

Measure: Percent of in-country overstay leads deemed credible and forwarded to Immigration and Customs Enforcement for further investigation						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	Baseline	23%	25%	27%
Actual:	None	None	21.6%	25%	N/A	N/A

Measure: Average biometric watch list search times for Department of State BioVisa queries						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	5 minutes	<5 minutes	<5 minutes	<5 minutes
Actual:	None	None	2.21 minutes	2.34 minutes	N/A	N/A

Measure: Average biometric watch list search times for queries from U.S. ports of entry						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	Less than 10 sec.	Less than 10 sec.	Less than 10 sec.	<10 sec.	<10 sec.
Actual:	7.85 sec.	7.14 seconds	9.47 seconds	9.67 secs	N/A	N/A

Program: Federal Protective Service¹						
Performance Goal: Mitigate risk to Federal facilities and their occupants.						
DHS strategic objectives supported and % allocation of activities: 3.1 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	[\$436,414]	[\$487,000]	[\$516,000]	[\$613,000]	[\$640,000]	\$640,000
FTE	[1,367]	[1,300]	[1,295]	[1,053]	[1,200]	1,200

Performance Plan Measures

Measure: Percent of countermeasures rated effective in federal buildings						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	[Baseline]	[>94%]	[>96%]	[>98%]	[>95%]	[>95%]
Actual:	[92%]	[90%]	[94%]	[94%]	[N/A]	[N/A]

Measure: Percent of planned federal building security assessments completed						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	[None]	[None]	[baseline]	[None]	[>89%]	[>90%]
Actual:	[None]	[None]	[84%]	[100%]	[N/A]	[N/A]

¹ Funding in FY 2008 and FY 2009 for Federal Protective Service was requested as part of U.S. Immigration and Customs Enforcement. Funding is now being proposed for transfer to NPPD in the FY 2010 Request.

E. Digest Tables by Future Year Homeland Security Program (FYHSP) Program

Budget Activity	FY 2008 Actuals		FY 2009 Enacted		FY 2010 Total Request		Increase (+) or Decrease (-) for FY 2010					
	FTE	Amount	FTE	Amount	FTE	Amount	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	Amount	FTE	Amount	FTE	Amount
Infrastructure Protection	267	\$ 251,633	424	\$ 328,357	760	\$ 344,961	336	\$ 16,604	0	\$ (10,000)	336	\$ 26,604
NPPD Management & Administration Shared	22	\$ 11,996	38	\$ 14,557	72	\$ 11,659	34	\$ (2,898)	0	\$ -	34	\$ (2,898)
IP	245	\$ 239,637	386	\$ 313,800	688	\$ 333,302	302	\$ 19,502	0	\$ (10,000)	302	\$ 29,502
Cyber Security & Communications	114	\$ 331,208	275	\$ 515,989	379	\$ 605,322	104	\$ 89,333	16	\$ 114,500	88	\$ (25,167)
NPPD Management & Administration Shared	9	\$ 15,789	25	\$ 22,876	36	\$ 20,458	11	\$ (2,417)	0	\$ -	11	\$ (2,417)
NCSD Management & Administration Shared	3	\$ 7,686	10	\$ 14,543	20	\$ 14,015	9	\$ (529)	0	\$ -	9	\$ (529)
NCS Management & Administration Shared	6	\$ 6,546	10	\$ 6,556	11	\$ 4,902	1	\$ (1,653)	0	\$ -	1	\$ (1,653)
OEC Management & Administration Shared	1	\$ 1,557	4	\$ 1,777	5	\$ 1,541	1	\$ (236)	0	\$ -	1	\$ (236)
NCSD	32	\$ 153,541	105	\$ 313,500	186	\$ 400,654	81	\$ 87,154	16	\$ 114,500	65	\$ (27,346)
NCS	67	\$ 130,775	103	\$ 141,313	105	\$ 140,149	2	\$ (1,164)	0	\$ -	2	\$ (1,164)
OEC	6	\$ 31,103	42	\$ 38,300	52	\$ 44,060	10	\$ 5,760	0	\$ -	10	\$ 5,760
US Visitor & Immigrant Status Indicator Technology	101	\$ 355,247	131	\$ 313,917	220	\$ 368,653	89	\$ 54,736	0	\$ 51,747	89	\$ 2,989
NPPD Management & Administration Shared	8	\$ 16,935	12	\$ 13,917	21	\$ 12,460	9	\$ (1,458)	0	\$ -	9	\$ (1,458)
US-VISIT	93	\$ 338,312	119	\$ 300,000	199	\$ 356,194	80	\$ 56,194	0	\$ 51,747	80	\$ 4,447
Federal Protective Service	[1,053]	[613,000]	[1,225]	[640,000]	1,225	\$ 640,000	0	\$ -	0	\$ -	0	\$ -
Subtotal, Budget Authority (All Sources)	483	\$ 938,088	830	\$ 1,158,263	2584	\$ 1,958,936	529	\$ 160,673	16	\$ 156,247	513	\$ 4,426
Less Adjustments for Other Funding Sources												
Total enacted appropriations and budget estimates	483	\$ 938,088	830	\$ 1,158,263	2584	\$ 1,958,936	529	\$ 160,673	16	\$ 156,247	513	\$ 4,426

Department of Homeland Security

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i. Summary of FY 2010 Budget Estimates by Appropriation

**Department of Homeland Security
Office of Health Affairs**
Summary of FY 2010 Budget Estimates by Program / Project / Activity
Total Appropriations
(Dollars in Thousands)

Program / Project / Activity	FY 2008 ¹ Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
BioWatch		78,185		111,606		94,513		(17,093)		(17,093)		-
National Biosurveillance Integration Center		9,981		8,000		8,000		---		---		-
Rapidly Deployable Chemical Detection System		2,587		2,600		2,600		---		---		-
Planning and Coordination		4,548		5,775		2,476		(3,299)		(3,299)		-
Salaries and Expenses	35	23,336	80	29,210	84	30,411	4	1,201	---	700	4	501
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	35	\$118,637	80	\$157,191	84	\$138,000	4	-\$19,191	0	-\$19,692	4	\$501

¹Actual does not include \$32.7M OHA received from other DHS components for the DHS/HHS PHSO reimbursable agreement, which OHA manages on behalf of the DHS.

ii: Homeland and Non-Homeland Allocation

Department of Homeland Security
Office of Health Affairs
 Homeland and Non-Homeland Allocation by Program/Project Activity
 (Dollars in Thousands)

Budget Activity	2008 Actual						2009 Enacted						2010 Request					
	Homeland		Non-		Total		Homeland		Non-Homeland		Total		Homeland		Non-		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
BioWatch	---	\$ 78,185	---	---	---	\$ 78,185	---	\$ 111,606	---	---	---	\$111,606	---	\$94,513	---	---	---	\$94,513
National Biosurveillance Integration Center	---	9,981	---	---	---	9,981	---	8,000	---	---	---	8,000	---	\$8,000	---	---	---	8,000
Rapidly Deployable Chemical Detection System	---	2,587	---	---	---	2,587	---	2,600	---	---	---	2,600	---	\$2,600	---	---	---	2,600
Planning and Coordination	---	4,548	---	---	---	4,548	---	5,775	---	---	---	5,775	---	\$2,476	---	---	---	2,476
Salaries and Expenses	35	23,336	---	---	35	23,336	80	29,210	---	---	80	29,210	84	\$30,411	---	---	84	30,411
Total Direct Appropriations and Budget Estimates	35	\$ 118,637	---	---	35	\$ 118,637	80	\$ 157,191	---	---	80	\$ 157,191	84	\$ 138,000	---	---	84	\$ 138,000

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

**Department of Homeland Security
Office of Health Affairs**

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2009	07/23/08	Senate Report 110-396	OHA has been tasked to review healthcare policies at departmental detention facilities and directs OHA, in conjunction with U.S. Immigration and Customs Enforcement and the Division of Immigration Health Services, to brief the Committee within 30 days after the date of enactment of this act on any initial findings.	Briefing is Scheduled
2009	Ongoing	HR 110-862	The Committee directs OHA to notify the Committee 15 days prior to deploying any BioWatch device to new locations.	Ongoing
2009	1/18/2009	HR 110-862	OHA is directed to provide to the Committee, within four months of enactment of this Act, a plan to communicate and enforce medical standard policies across DHS.	Completed
2009	Quarterly	HR 110-862	OHA is directed to brief the Committee quarterly on the National Biodefense Architecture (NBA) efforts to establish a comprehensive framework of Federal, State, local and private sector biodefense responsibilities and capabilities.	Ongoing
2009	11/30/2008	Joint Explanatory Statement (Page 619)	OHA shall submit an expenditure plan on BioWatch base program and an expenditure plan on the BioWatch field testing program.	Ongoing
2009	Ongoing	Joint Explanatory Statement (Page 619)	OHA shall notify the Committees within five days of any deviation from the expenditure plan.	Ongoing
2008	2/3/2008	HR1/House Report 110-259; P.L. 110-53, August 3, 2007	SEC. 316. NATIONAL BIOSURVEILLANCE INTEGRATION CENTER.(c) Deadline for Implementation- The National Biosurveillance Integration Center under section 316 of the Homeland Security Act, as added by subsection (a), shall be fully operational by not later than September 30, 2008;	Ongoing
2008	10/1/2007	Senate Rept 110-84	The Committee requests that OHA provide a briefing on the cooperation between DHS, Agriculture, and HHS and multi-state initiatives on joint preparedness and planning.	Briefed
2008	10/30/2008	House Report 110-181, DHS 2008 Appropriation Bill	The committee provides \$2M for a NAS contract to evaluate the effectiveness of BioWatch; requests report prior to end of FY08.	Ongoing
2007	N/A	H.R. 2206; Conf Rept.110-107	Conduct a nuclear event public health assessment; however, an expenditure plan is to be approved prior to obligation of funds.	Ongoing
2007	Quarterly	FY 07 Supp; Conf Rept 110-107	Quarterly briefings on progress of the assessment	Ongoing

iv: Schedule of Authorized/Unauthorized Appropriations by PPA

Department of Homeland Security

Office of Health Affairs

Schedule of Authorized/Unauthorized Appropriations by Program Project/Activity

(Dollars in Thousands)

Budget Activity				
	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2010 Request
	Fiscal Year	Amount	Amount	Amount
BioWatch	N/A	N/A	N/A	\$94,513
National Biosurveillance Integration Center	N/A	N/A	N/A	\$8,000
Rapidly Deployable Chemical Detection System	N/A	N/A	N/A	\$2,600
Planning and Coordination	N/A	N/A	N/A	\$2,476
Salaries and Expenses	N/A	N/A	N/A	\$30,411
Total Direct Authorization/Appropriation	N/A	N/A	N/A	\$138,000

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BUDGET REQUEST AND SUPPORTING INFORMATION

OFFICE OF HEALTH AFFAIRS OFFICE OF HEALTH AFFAIRS APPROPRIATION

I. Appropriation Overview

A. Mission Statement for Office of Health Affairs:

The Office of Health Affairs (OHA) serves as the Department of Homeland Security's (DHS) principal authority for all medical and public health matters. Working with all levels of government, non-government organizations, associations, and the private sector, OHA leads the Department's role in developing and supporting a scientifically rigorous, intelligence-based biodefense and health preparedness architecture to ensure the security of our Nation in the face of all hazards.

OHA has four strategic goals that coincide with the strategic goals of the Department:

- 1) Serve as the principal medical authority for the Department of Homeland Security (including all Components);
- 2) Lead the Department's biodefense activities, to include policy, strategy, requirements, operational programs and metrics;
- 3) Lead the Department's public health and medical preparedness and planning activities; and,
- 4) Ensure that DHS employees are supported by an effective Health and Safety Program.

The Secretary of DHS serves as the Principal Federal Official for domestic incident management and coordinates Federal operations that are dedicated to preserving the security of the Nation as mandated by law and under Homeland Security Presidential Directive (HSPD)-5: Management of Domestic Incidents. This mandate is supported by OHA through its coordination with partners across all levels of government and with the private sector. OHA will not duplicate or supplant activities currently being provided by other components or offices within DHS, or among the Departments and agencies of the Executive Branch. Instead, OHA's responsibilities and activities will enhance other programs by ensuring collaborative planning for and response to the consequences of catastrophic incidents, whether naturally occurring or man-made.

OHA staff has extensive training and expertise in public health, epidemiology, medicine, intelligence analysis, policy-making, planning, science of weapons of mass destruction (WMD), agriculture and veterinary medicine, and pre-hospital medicine. This expertise enables OHA to provide critical medical and public health information to DHS components and programs as well as to other Federal agencies including the Department of Agriculture, the Department of Defense, the Department of Health and Human Services, the Department of Transportation, and the Department of Veterans Affairs. OHA provides risk and threat assessments to guide preparedness activities, planning, and incident management. OHA also provides occupational and operational medicine, health, and safety guidance for the DHS HQ Offices and Components,

and coordinates the activities of various Federal government entities to respond to threats to the health security of the Nation.

OHA is also responsible for the Department meeting the requirements in HSPD-9: Defense of the United States Agriculture and Food by ensuring that medical, public health and safety variables are fully considered and accurately addressed.

OHA fulfills biosurveillance requirements established by HSPD-10: Biodefense for the 21st Century via its biodetection capability and role as medical advisor in meeting HSPD-10's essential pillars: threat awareness; prevention; surveillance and detection; and response and recovery.

OHA is led by the Assistant Secretary for Health Affairs, who also functions as the Department's Chief Medical Officer (CMO), and serves as the principal health and medical advisor to the Secretary of DHS and the Administrator of the Federal Emergency Management Agency (FEMA). The Principal Deputy Assistant Secretary for Health Affairs, who serves as the Deputy Chief Medical Officer, is designated as the Chief Operating Officer. OHA is divided into four offices:

Office of the Assistant Secretary: This office is headed by the Chief of Staff and the Director of Operations. The Office of the Chief of Staff provides legal, policy, external affairs, and executive secretariat services to all entities within OHA. The Director of Operations oversees the Chief Financial Officer, the Chief Administrative Officer, and the Chief Human Capital Officer.

- Also within the Office of the Assistant Secretary (OAS) is the **Office of International Affairs and Global Health Security** (OIA). OIA oversees the Department's global health security initiatives, such as: the international aspects of medical readiness pertaining to Avian and Pandemic Influenza, all-hazards emergency public health planning and other global health security concerns. The office also maintains high-level liaisons with senior foreign partners, international private sector representatives, technical and professional associations, and other Federal agencies to ensure sustainable solutions to global health security issues that may have national implications to homeland security and medical preparedness.
- **Office of WMD & Biodefense:** This office is headed by the Deputy Assistant Secretary for WMD and Biodefense and oversees the Department's biodefense and biosurveillance activities, which include BioWatch, the Rapidly Deployable Chemical Detection System, the National Biosurveillance Integration Center, the Department's equities in Project BioShield and the Food, Agricultural, and Veterinary Defense Division.
- **Office of Medical Readiness:** This office is led by an Associate Chief Medical Officer and oversees many programs and activities including medical and public health support to Federal planning, medical first responder readiness, incident coordination and support, preparedness grants coordination, development of the National Biodefense Architecture, and engagement with State and local agencies, non-profit organizations and the private sector.

- **Office of Component Services:** This office is headed by an Associate Chief Medical Officer and is responsible for establishing policy, standards, requirements and metrics for the Department’s Health and Safety programs and Operational Medical Services through support and guidance to the protective and operational medical oversight, credentialing, and medical quality management.

B. Budget Activities:

BioWatch:

The BioWatch Program achieves DHS’ mission of detection against biological attacks by managing an early warning system that can rapidly detect pathogen-specific nucleic acid in the air whether intentionally released into or naturally present in the environment. This program deploys detection devices in over thirty jurisdictions/Urban Area Security Initiative areas throughout the country. The BioWatch Program provides public health experts with a warning of a biological agent release before exposed citizens become clinically symptomatic (“ill”). This “detect-to-treat” approach provides public health officials an opportunity to respond aggressively to eliminate or substantially mitigate the potentially catastrophic impact on the population of a biological agent release.

BioWatch provides emergency personnel with the information they need to respond rapidly and effectively to implement life-saving medical countermeasures. The BioWatch Program works closely with local communities to integrate life-saving medical countermeasures and to integrate response activities into ongoing public health and emergency management activities. Additionally, DHS employs BioWatch to provide biological monitoring and surveillance support for National Special Security Events (NSSEs) and other national and local special events. DHS, in partnership with the Environmental Protection Agency (EPA), Department of Health and Human Services (HHS)/Centers for Disease Control and Prevention (CDC), and the Department of Justice (DOJ)/Federal Bureau of Investigation (FBI) work with BioWatch activities. BioWatch has operated in more than 30 jurisdictions since early 2003, performing approximately seven million assays to date without a false positive.

The Biological Warning and Incident Characterization (BWIC) system works in tandem with the BioWatch detection capability by interpreting warning signals from BioWatch collectors and public health surveillance data using incident characterization tools (e.g., plume and epidemiological models) to assess the potential impact of a release on the population. This system provides emergency personnel with modeling information and analytical tools to respond effectively. Currently, this system is operating only in three jurisdictions.

Rapidly Deployable Chemical Detection System/Chemical Defense Division:

The Rapidly Deployable Chemical Detection System (RDCDS) is only part of a larger effort to provide leadership and direction to a comprehensive chemical defense program. This larger chemical defense initiative [Chemical Defense Division (CDD)] is intended to support the efforts established by HSPD-22: Domestic Chemical Defense. Technology and operations already used for RDCDS will become the nexus for creating an overarching chemical DEFENSE and chemical DETECTION architecture. The architecture will serve as an overarching vision for leading an effort to ensure Federal/DHS/OHA coordination to carry out operations for threatened

or actual domestic chemical attacks. The chemical defense architecture is intended to focus the Nation's vast resources on the critical aspects of a catastrophic chemical event and integrate all of our nation's chemical defense capabilities both horizontally and vertically in order to develop and affect end to end capabilities.

The Chemical Defense Division (CDD) uses the same Four Pillars of the National Biodefense Program outlined in HSPD-10: 1) Threat awareness, 2) Prevention and Protection, 3) Chemical Detection and Surveillance, 4) Emergency Response and Recovery. For the chemical defense division, the first two pillars are aligned with policy formation, strategic planning and preparedness efforts. Operational capabilities of the division address aspects of the 3rd and 4th pillars.

One critical aspect of the overarching chemical defense architecture is development of a chemical detection strategy for deploying reliable chemical detection systems at critical infrastructure nodes. The systems will be tailored to types of venues and fully integrated with the Chemical Terrorism Risk Assessment (CTRA), Chemical Facility Infrastructure Protection risk assessments, local vulnerability risk assessments and local response plans and capabilities. The successful deployment and operations of RDCDS to date serves as a starting point for defining and establishing the larger Chemical Defense Architecture.

The CDD seeks to leverage cutting-edge science to operationally employ state of the art chemical sensing technology to combat emergent threats and acts of nature resulting in catastrophic chemical events. The RDCDS system provides a robust suite of chemical detection capabilities for use at National Special Security Events (NSSE) or DHS Special Event Assessment Rating (SEAR) Level events. The RDCDS system is a detect-to-warn capability that provides situational awareness enabling consequence management assessment and deliberate decision making metrics for Incident Commanders, medical personnel, and the first responder community. Identification, quantification and consequence assessment of TICs, CWAs and other toxic inhalants is a principal capability of the RDCDS architecture.

The RDCDS architecture incorporates an air sensing platform coupled with an array of ground-based chemical detector technologies merged into a fusion cell where the signal is refined for dissemination. The air component provides multi-spectral / hyperspectral air sensor capabilities to ensure standoff detection and quantification of volatile chemical releases. The ground component includes flexible and configurable commercial off the shelf (COTS) chemical detectors and a robust communication infrastructure that may be deployed for outdoor and/or indoor static emplacements. The system is rapidly configured to detect a variety of potential threat compounds depending on the venue and perceived threats. Disparate detection technologies provide a layered, complementary detection capability with a high monitoring coefficient for a wide range of Toxic Industrial Chemicals, Toxic Industrial Material, Chemical Warfare Agents (TIC, TIM and CWA) threats. RDCDS is directed to be prepared to deploy in support of NSSE and SEAR Level I and II events. Support to these events requires: stewardship and regular maintenance for static detection equipment; deployment, sustainment, and redeployment of all operational personnel and equipment; and a critical infrastructure analysis of the venue that incorporates a comprehensive threat and vulnerability probability assessment on a twenty-four hour seven days- per- week readiness posture.

Future missions will have a greater focus on local chemical vulnerability assessments and emergency response planning prior to the event. This enhanced preplanning effort will allow the RDCDS team to build critical relationships with local emergency response leadership and after the event, leave behind an enhanced local emergency response system.

In addition to RDCDS, the CDD is devising a limited overarching chemical defense architecture that will be used to provide the necessary overarching guidance for efforts to prevent and respond to a catastrophic chemical event. To effectively lead such an effort requires intra and interagency relationship building. To that end, the chemical defense division provides subject matter expertise to many policy and planning groups. For example, within the DHS Office of Health Affairs, the CDD provides support to Food, Agriculture and Veterinary Defense Division, National Biosurveillance Integration Center, Office of Medical Readiness and Component Services. It provides SME support to other DHS components such as S&T, IP, and TSA and other federal partners such as HHS, CDC, OSTP, EPA and HSC.

National Biosurveillance Integration Center:

The Implementing Recommendations of the 9/11 Commission Act of 2007 (9/11 Act), P.L. 110-53, established the National Biosurveillance Integration Center (NBIC) to enhance the capability of the Federal government to rapidly identify and monitor biological events of national concern by integrating and analyzing data from human, animal, plant, food, and environmental monitoring systems. The 9/11 Act also tasked NBIC to disseminate alerts to Federal partners, States and localities to better enable them to prepare for and respond to biological threats.

NBIC collaborates with Federal partners to collect, analyze, and share biosurveillance information. NBIC established formal agreements with seven NBIC Member Agencies (NMAs) including the Departments of Health and Human Services (Centers for Disease Control and Prevention and the Food and Drug Administration), Agriculture, Defense, State, Interior, Commerce, and Veterans Affairs. In addition, despite not having formal agreements in place, the Departments of Justice (Federal Bureau of Investigation) and Transportation, the United States Postal Service, and the Environmental Protection Agency support NBIC and routinely provide representation on the Interagency Oversight Council, Interagency Working Group, and its Sub Working Group. All NMAs provide subject matter expertise in the daily production meetings. The 9/11 Act also requires NMAs provide a detailee to work with NBIC to provide in-depth subject matter expertise and analytic perspectives and approaches to analyze and report on biological events. At this time only HHS has provided a detailee to serve at NBIC.

NBIC's mission is to provide a homeland security-relevant biosurveillance common operating picture (BCOP) to senior leaders and partner agencies regarding natural disease outbreaks, accidental or intentional uses of biological agents, and emergent biohazards through the acquisition, integration, analysis and dissemination of information from existing human disease, food, agriculture, water, meteorological, and environmental surveillance systems and relevant threat and intelligence information. HSPD-9 dated January 30, 2004 and HSPD-10 dated April 21, 2004 directs DHS to establish a National Biosurveillance Integration System (NBIS) to provide early detection and situational awareness of biological events of potential national consequence by acquiring, integrating, analyzing, and disseminating data across the biosurveillance domains of interest (human, animal, plant, and environmental). The NBIS, comprising of representatives from all participating agencies, will integrate and analyze all-

source biosurveillance information to recognize unusual biological events and provide situational awareness to the NBIS community and decision-makers. Utilizing this biosurveillance system data, a biological common operating picture (BCOP) that represents a comprehensive depiction of the global biosurveillance security environment can augment the DHS National Operation Center's COP, which provides a consistent, integrated picture of biosurveillance situational awareness throughout the country. Since December 2005, NBIC analysts have provided BCOPs on numerous real-world threats including pet food contamination, Foot and Mouth Disease (FMD), cases of extensively drug resistant tuberculosis (XDR-TB), and the 2008 *Salmonella* saintpaul outbreak. Ultimately, NBIC will ensure that near real-time biosurveillance threat awareness is provided to the Incident Management Group (IMG) and the National Operations Center (NOC) via a BCOP.

NBIC has initiated outreach to State and local partners to encourage participation in NBIC. BCOPs and other analytical information composed by NBIC have the potential to support the preparedness and response efforts taking place at the State and local level. In addition, valuable information will be passed up from the State and local level to provide Federal decision makers enhanced surveillance data. NBIC also works with international partners to obtain a global biological surveillance picture.

Planning and Coordination:

Planning and Coordination is responsible for ensuring the health security and welfare of the Nation before, during and after disasters. The Planning and Coordination PPA is composed of the programs within the Office of Medical Readiness and the Food, Agriculture, Veterinary Defense program. The Office of Medical Readiness is divided into 3 Divisions: Plans and Policy, Incident Coordination and Health Security Coordination. The programs within Medical Readiness (1) provide advice and guidance on health and medical security issues to the Secretary of DHS and the Administrator of FEMA through the Assistant Secretary for Health Affairs/CMO; (2) provide health and medical support for the Department's operations for incident management in accordance with HSPD-5; (3) working with the Federal interagency, states and local officials and the private sector, provide direction on the development of policies and guidance for medical readiness and emergency management; (4) provide direction and subject matter expertise to the Federal interagency planning process to ensure health impacts are fully integrated; (5) provide guidance and direction on Federal emergency preparedness grants requirements for health and medical issues, and on their alignment and synchronization across the Department; and (6) lead the development of the National Biodefense Architecture.

The Food, Agriculture and Veterinary Defense program leads and coordinates the various DHS food, agricultural and veterinary programs and providing technical insight to the Department's efforts to prepare and respond to a food or agricultural catastrophic event.

Salaries and Expenses:

Salaries and Expenses funds all FTEs within the Office of Health Affairs, the program support for the Office of Component Services and the Office of International and Global Health Security programs. Component Services supports the "One DHS" concept by implementing Safety, Wellness, and Occupational and Operational Medicine programs to allow the DHS workforce to be effective in their mission. In conjunction with the Chief Human Capital Officer, Office of

Safety and Environment Protection, Science and Technology, and Component Emergency Medical Services leads, current activities include: 1) Developing consultative services for Component leads on Health Issues; 2) Developing cross-DHS EMS protocols, credentialing and quality assurance standards; 3) Supporting international deployment health and wellness decisions; 4) Supporting DHS/ICE with quality assurance and medical input; 5) Promoting wellness through newsletter and a internet based health information site; and, 6) Advising FEMA on safety and environmental health housing issues.

The Office of International Affairs and Global Health Security (OIA) oversees the Department's global health security initiatives. Efforts include the international aspects of medical readiness pertaining to Avian and Pandemic Influenza, all-hazards emergency public health planning and other global health security concerns. The office also maintains high-level liaisons with senior foreign partners, international private sector representatives, technical and professional associations, and other Federal agencies to ensure sustainable solutions to global health security issues that may have national implications to homeland security and medical preparedness.

C. Budget Request Summary:

OHA requests \$138 million, 84 full-time positions (FTP) and 84 full-time equivalent (FTE) personnel. This request includes a decrease of: \$19.2 million, and adjustments-to-base totaling (4) FTE and \$0.5 million:

- BioWatch (\$94.5 million);
- Rapidly Deployable Chemical Detection System (\$2.6 million);
- National Biosurveillance Integration Center (\$8.0 million);
- Planning and Coordination (\$2.5 million);
- Salaries and Expenses (\$30.4 million, 84 positions, 84 FTE).

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
Office of Health Affairs
 Summary of FY 2010 Budget Estimates by Program / Project / Activity
 Total Appropriations
 (Dollars in Thousands)

Program / Project / Activity	FY 2008 ¹ Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
BioWatch		78,185		111,606		94,513		(17,093)		(17,093)		-
National Biosurveillance Integration Center		9,981		8,000		8,000		---		---		-
Rapidly Deployable Chemical Detection System		2,587		2,600		2,600		---		---		-
Planning and Coordination		4,548		5,775		2,476		(3,299)		(3,299)		-
Salaries and Expenses	35	23,336	80	29,210	84	30,411	4	1,201	---	700	4	501
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	35	\$118,637	80	\$157,191	84	\$138,000	4	-\$19,191	0	-\$19,692	4	\$501

¹ Actual does not include \$32.7M OHA received from other DHS components for the DHS/HHS PHSO reimbursable agreement, which OHA manages on behalf of the DHS.

III. Current Services Program Description by PPA

Department of Homeland Security
Office of Health Affairs
Program Performance Justification
(Dollars in thousands)

PPA: BIOWATCH

	Perm Pos	FTE	Amount (\$ 000)
2008 Actual	---	---	78,185
2009 Enacted	---	---	111,606
2010 Adjustments-to-Base	---	---	0
2010 Current Services	---	---	111,606
2010 Program Change	---	---	-17,093
2010 Request	---	---	94,513
Total Change 2009-2010	---	---	-17,093

The BioWatch Program requests FY 2010 funding of \$94.5 million to maintain the baseline capability of the Gen -1/Gen -2 collectors, complete the Gen-3.0 prototype unit field-testing, procure the IT architecture backbone to allow networking between biodetection systems, and begin procurement of initial production units to support the Gen-3.0 Operational Test and Evaluation (OT&E).

CURRENT SERVICES PROGRAM DESCRIPTION:

As the mission of BioWatch capabilities evolves and includes indoor operations, the required timeliness and time resolution of the BioWatch Actionable Results (BAR) by far exceeds that provided by Gen-1 and Gen-2 capabilities. Furthermore, the scope of the BioWatch program is increasing markedly as the population coverage increases and more jurisdictions participate in the surveillance program.

Current detection capabilities, termed Gen-1 / Gen-2, consist of outdoor aerosol collectors whose filters are manually retrieved for transport to and subsequent analysis in a BioWatch Laboratory of the Laboratory Response Network (LRN) facility. This system, while extremely beneficial, is labor-intensive and the data results are significantly time-delayed. It is between 12-36 hours post release before detection occurs. This is not adequate for indoor use. Therefore, it is necessary to augment and ultimately replace the current collection and detection capability with an autonomous biodetection system called Gen-3. This transition will improve time to detect to between 4-6 hours, increase population coverage, and provide greater cost effectiveness.

The location of these indoor biodetectors within a given city or urban area will be based on a comprehensive analysis of the highest risk indoor environments in the Nation, typically high throughput transit environments and large indoor facilities such as sports arenas. The

principal users of BioWatch are the local public health authorities that will use the information generated by the capabilities as an important tool in deciding whether a biological event of public health significance has occurred.

BioWatch Gen-3 detection capability is a fully autonomous networked biodetection system whose function is to monitor the air for agents of biological concern. The primary functions of the Gen-3 detection capability include sample collection, preparation, analysis, reporting, archiving, self-assessment, failure analysis, waste handling and fault isolation. Unlike the collectors currently fielded, Gen-3 collects and analyzes the samples on-site without the labor intensive collection and transport of samples for laboratory analysis required with the older equipment.

BioWatch expenses occur in four areas of activity:

- **Fixed Systems Support Costs**
This program area is responsible for providing overarching system level program guidance, management, modeling and simulation, communications, consequence management, and public health coordination and United States Public Health Service (USPHS) detailees. The activities in this program area are required to maintain and coordinate all the elements in BioWatch.
- **BioWatch Operations and Maintenance**
This program area includes the direct operational elements required to keep the BioWatch monitoring capability functional. The activities included in this program area: field collection activities, lab sample analysis, autonomous detection recurring operations and maintenance costs.
- **Investment and Technology Architecture**
This program area includes functions essential to the establishment of new detection capabilities for improved system architecture, detection instruments, or jurisdictional improvements and expansions. The activities in this program area include: test and evaluation activities, limited detector procurement, limited deployment, and jurisdictional deployment costs.
- **BioWatch Warning and Incident Characterization System**
This program area funds the operation of the BioWatch Warning and Incident Characterization System (BWIC) system. The BWIC system is a suite of web-based computer tools (e.g., plume and epidemiological models) that assist public health officials in interpreting signals from BioWatch and public health syndromic surveillance programs. These tools assist to: 1) develop a common situational awareness; 2) characterize the incident; 3) determine the potential impact a release may have, and 4) inform response and recovery activities.

Significant accomplishments in FY 2008 include:

- Maintained Gen-1 and Gen-2 baseline capability;

- Maintained and deployed capability to support BioWatch jurisdictions for National Security Special Events (NSSEs) and Special Events (SE);
- Maintained subject matter expertise and reach-back support necessary to assist local jurisdictions in the event of a BioWatch Actionable Result (BAR);
- Provided indoor and outdoor guidance for BioWatch Jurisdictions and National BioWatch CONOPS;
- Fielded BioWatch collectors on a military installation in San Diego;
- Developed strategy to integrate/optimize all Federal outdoor biomonitoring capabilities within the National Capitol Region (NCR);
- Fielded the Autonomous Pathogen Detection System (prototype APDS) for three indoor facilities in New York City (NYC).

FY 2009 planned accomplishments include:

- Maintain Gen-1 and Gen-2 baseline capability for detection of biological releases;
- Maintain and deploy capability to support BioWatch jurisdictions for NSSEs and special events;
- Maintain subject matter expertise and reach-back support necessary to assist local jurisdictions in the event of a BAR;
- Initiate a field test program for prototype units for Gen-3 autonomous detectors. This field test program includes characterization testing, assay validation, and operational testing to establish suitability, effectiveness, sustainability, operating characteristics, and performance.
- Initiate and support the development of local response plans to a BAR;
- Perform BioWatch site modeling and simulation, taking into account a variety of attack scenarios, meteorological conditions, detector characteristics, and network configurations; the model will identify optimal network configuration for citing and performance;
- Identify and characterize deployment options for indoor facilities (including estimates of each deployment option's overall benefit to the population);
- Establish laboratory response network system supply requirements for consumables, and reagents to support Gen-1 and Gen-2 current capability.
- Covered the 2009 Presidential Inauguration.

In FY 2010, the BioWatch Program planned accomplishments include:

- Maintain Gen-1 and Gen-2 baseline capability;
- Maintain and deploy capability to support BioWatch jurisdictions for NSSEs and special events;
- Maintain subject matter expertise and reach-back support necessary to assist local jurisdictions in the event of a BAR;
- Complete the Gen-3.0 prototype unit field testing (to include characterization and jurisdictional tests), perform data analysis, and verify the performance of one or more autonomous detection technology platforms in preparation for large scale system wide procurement and deployment; and,

- Commence initial production procurement of up to 63 Gen-3.0 autonomous detectors to be used to conduct operational test and evaluation.
- Initiate planning and long-lead deployment activities required to 1) conduct OT&E on production units, and 2) prepare for the deployment of a large procurement of Gen-3 detectors.

Department of Homeland Security
Office of Health Affairs
Program Performance Justification
(Dollars in thousands)

PPA: RAPIDLY DEPLOYABLE CHEMICAL DETECTION SYSTEM

	Perm Pos	FTE	Amount (\$ 000)
2008 Actual	---	---	2,587
2009 Enacted	---	---	2,600
2010 Adjustments-to-Base	---	---	0
2010 Current Services	---	---	2,600
2010 Program Change	---	---	0
2010 Request	---	---	2,600
Total Change 2009-2010	---	---	0

The RDCDS program requests FY 2010 funding of \$2.6 million to operate and sustain the current operations. This funding will facilitate the development of proposed chemical detection architecture & upgrades to the current operational capability of existing systems.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Rapidly Deployable Chemical Detection System (RDCDS) is an essential non-military asset available for detection of potential chemical release against our citizens. OHA requests these resources for RDCDS so the program can maintain operational capability while enhancing the network of its ground-based chemical detectors, which support National Special Security Events (NSSEs) and DHS Special Event Assessment Rating (SEAR) Level I and II Events. DHS capabilities are currently limited to covering a single event at a time due to the limitation of one airborne platform and twelve ground-based chemical detectors.

This program has developed architecture and planning protocols to support NSSEs and DHS Special Event Assessment Rating Level I and II Events such as large assemblies in sports arenas or at outdoor celebrations. Key elements of the RDCDS are detection analysis, communications, meteorology, plume mapping, and hazard prediction. RDCDS can identify specific chemical compounds and swiftly image the impact of a downwind chemical hazard. The detection element consist of a network of chemical, ground-based point detectors (CGPD) and a chemical airborne surveillance platform for 24/7 capability. RDCDS will support two National Security Special Events in 2009 and two DHS SEAR Level 1 Events.

The successful deployment and operations of RDCDS to date serve as a focal point for creating a larger chemical defense architecture that supports the efforts established by HSPD-22: Domestic Chemical Defense.

Significant accomplishments in FY 2008 include:

- Validated intelligence information on chemical compounds believed to be of interest to terrorists. RDCDS then conducted primary field experiments based on findings;
- Enhanced detection capability through procurement and deployment of an additional four chemical ground-based detectors to bring the existing set from 8 to 12;
- Collaborated with the EPA to provide aerial surveillance and support during natural or manmade disasters;
- Participated in four SEAR events: Philadelphia's Fourth of July Celebration, the National Governors' Association Meeting in Philadelphia, the 2008 Rose Bowl, and 2008 Super Bowl; and,
- Participated in one NSSE event: the 2008 Democratic National Convention.

FY2009 planned accomplishments include:

- Continue to validate intelligence information on chemical compounds believed to be of interest to terrorists and conduct primary field experiments based on findings;
- Conduct a market survey and evaluate chlorine gas detection equipment. As seen in Iraq, chlorine gas is a potential WMD and demonstrated terrorist interest;
- Continue collaborative efforts with the EPA to provide aerial surveillance and support during natural or manmade disasters;
- Upgrade surveillance capabilities for National Security Special Events (NSSE) and DHS SEAR Level I and II Events;
- Provide DHS SEAR support of the 2009 Rose Bowl and 2009 Super Bowl; and,
- Provide coverage for the 2009 Presidential Inauguration.

In FY 2010, RDCDS planned accomplishments include:

- Further validate intelligence information on chemical compounds believed to be of interest to terrorists and conduct primary field experiments based on findings;
- Commercialize ground-based chemical detectors;
- Procure, install, and validate equipment for aerial surveillance and detection of chlorine gas;
- Conduct field testing to evaluate the effectiveness and efficiency of the RDCDS system;
- Further enhance surveillance systems to support NSSE and DHS SEAR Level I and II Events;
- Further collaborate efforts with the EPA to provide aerial surveillance and support during natural or manmade disasters; and,
- Provide DHS SEAR support of the 2010 Rose Bowl and 2010 Super Bowl.

Department of Homeland Security
Office of Health Affairs
Program Performance Justification
(Dollars in thousands)

PPA: NATIONAL BIOSURVEILLANCE INTEGRATION CENTER

	Perm Pos	FTE	Amount (\$ 000)
2008 Actual	---	---	9,981
2009 Enacted	---	---	8,000
2010 Adjustments-to-Base	---	---	0
2010 Current Services	---	---	8,000
2010 Program Change	---	---	0
2010 Request	---	---	8,000
Total Change 2009-2010	---	---	0

The National Biosurveillance Integration Center requests \$8.0 million in FY10, which will fund NBIC technical support services, NBIS IT operations and improvements, biosurveillance private sector data acquisitions and coordination efforts with Federal, State, local and tribal governments.

CURRENT SERVICES PROGRAM DESCRIPTION:

NBIC is fully operational and has the capability, infrastructure, and personnel in place to successfully work with, analyze and integrate biological surveillance data-streams as well as open source and classified data-streams. NBIC collects and analyzes information from Sensitive but Unclassified, Secret, Top Secret, and Top Secret Sensitive Compartmented Information. The first NBIC situational report was distributed to all eleven (11) Federal partners during the 2008 *Salmonella saintpaul* outbreak (an event involving data sharing between Customs and Border Protection and HHS/Food and Drug Administration).

The NBIC organization is comprised of full-time management employees. The supporting analytical staff, project management support staff and information systems management personnel are contractor positions. Sufficient contractor positions are required to meet the current and growing analytical, operational and information technology (IT) support staff needs.

A primary goal of NBIC is to reduce the impact of a major biological or disease event. Clear and definable metrics support the Center's efforts to provide accurate information on emergent biological events to leaders at all levels of government. Metrics used include:

- a) Growth in access and dissemination of shared biological situational awareness information across the health communities;
- b) Growth in access and dissemination of shared biological situational awareness to leaders at all levels of government and select private sector organizations;

- c) Reduction in process and delivery time of sensitive biological event data and decision support information to senior leaders;
- d) Timely reflection of current biological situational information on the BCOP; and,
- e) Trained and mission driven staff.

Significant accomplishments in FY 2008 include:

- Enhanced biosurveillance exchange with subject matter experts and data streams made possible through Memoranda of Understanding (MOUs) with Federal partners and participating Federal agencies who have not yet entered into a MOU;
- Provided a Homeland Security Information Network (HSIN) based on the Biological Common Operating Picture (BCOP) that provides interagency partners a complete picture of current events to support improved decision-making within the biosurveillance community;
- Began 24/7 biological surveillance monitoring, collection, and collaboration operations to provide interagency partners with effective and timely biological situational awareness;
- Effectively responded to biological events, enhanced by employing and refining NBIC sourced protocols and standard operating procedures (SOPs) with NMAs.
- Exchanged situational awareness in a timely manner through the dissemination of high interest NBIC Spot Reports, NBIC Daily General Disease Reports and NBIC Weekly Avian Influenza Reports to NMAs;
- Entered into an Interagency Agreement with HHS/CDC to support one NMA detailee to serve at NBIC to provide in-depth subject matter expertise and analytic perspectives and approaches to analyze and report on biological events;
- Disseminated post-event analysis capturing lessons learned from significant biological events, such as the 2008 *Salmonella* saintpaul outbreak, FMD and XDR-TB cases;
- Actively participated in responses and decision-making notifications for all BioWatch Actionable Results (BAR) events; and,
- Established an interagency governance process (Interagency Oversight Council (NIOC) and the Interagency Working Group (NIWG)).

FY 2009 planned accomplishments include:

- Encourage all Federal partner agencies to be actively engaged;
- Reach out to State, local, /Local Tribal, and Territorial partners /Territorial via existing DHS relationships, State and local Fusion Coordination Center representatives, and Protective Security Advisors (PSAs);
- Encourage NMAs to enter into Interagency Agreements to support detailees to serve at NBIC to provide in-depth subject matter expertise and analytic perspectives and approaches to analyze and report on biological events;
- Integrate and support State, local, Tribal, and Territorial biological situational awareness through the expansion of the IT System processing capability;
- Engage select private sector agencies and organizations in the public health, food and agriculture, transportation and logistics, and banking and finance;
- Initiate exchanges of information, techniques and analysis with select US Allies and international agencies; and,

- Expand use of DHS Centers of Excellence at the University of Minnesota (Food Defense) and Texas A & M (Visual Analytics) to build tools and decision support processes to improve NBICNBIS production.

FY 2010 planned accomplishments include:

- Significantly evolve and improve the visual analytic and decision support capabilities of the BCOP by providing access to in-depth scientific data, situational awareness, digital and analog depictions, and modeling and simulation results in a User Defined Operational Picture (UDOP). UDOP will provide a full, comprehensive electronic picture with assessments of current biological events and trends and their potential impacts on homeland security;
- Link the BCOP and the Biosurveillance Common Operating Network into an integrated IT architecture, supported by life-cycle management, and make it exportable to NMAs.
- Upgrade systems infrastructure to implement data-sharing services, provide access to additional data resources across the biological and surveillance communities, and offer proper protection of data for all NBIC partners;
- Encourage NMAs to enter into Interagency Agreements to support detailees to serve at NBIC to provide in-depth subject matter expertise and analytic perspectives and approaches to analyze and report on biological events; and,
- Initiate the National Biosurveillance Integration Conference to bring together the biological surveillance Community across all domains (human, animal, plant and environmental) with State, local, and tribal governments and select portions of key private sector elements.

Department of Homeland Security
Office of Health Affairs
Program Performance Justification
(Dollars in thousands)

PPA: PLANNING AND COORDINATION

	Perm Pos	FTE	Amount (\$ 000)
2008 Actual	---	---	4,548
2009 Enacted	---	---	5,775
2010 Adjustments-to-Base	---	---	0
2010 Current Services	---	---	5,775
2010 Program Change	---	---	-3,299
2010 Request	---	---	2,476
Total Change 2009-2010	---	---	-3,299

The Planning and Coordination PPA requests FY 2010 funding of \$2.4 million, which \$1.7 million will fund the Office of Medical Readiness (OMR) and \$.7 million of which will fund the Food, Agricultural and Veterinary Defense (FAV Defense) Division. The \$1.7 for the Office of Medical Readiness will fund the Medical First Responder Readiness Program as well as minimal work with incident management and policy and planning, and several Public Health Service Officers. The \$.7 Million request for the Food, Agricultural and Veterinary Defense (FAV Defense) Division will fund FAV Defense Subject Matter Expertise (SME) and development of an Agricultural Security Preparedness and Response Benchmarking Tool Kit.

CURRENT SERVICES PROGRAM DESCRIPTION:

Planning and Coordination works collaboratively with Federal interagency partners, state and local officials, academia, the non-profit sector and the private sector to protect human and animal health from natural or man-made events which includes protection of and reducing vulnerabilities in the Nation's food supply, agriculture, the environment and medical infrastructures; also including sustaining public health and private healthcare operations during significant events in accordance with HSPD-5: Management of Domestic Incidents. These efforts include:

- Providing direction on the development of policies and guidance for medical readiness and emergency management, including interagency alignment of health preparedness grants and identification of gaps in health resources;
- Providing direction and subject matter expertise to the Federal interagency planning process to ensure health and medical impacts resulting from catastrophic incidents, both man-made and naturally occurring, are fully integrated;
- Directing the development of the National Biodefense Architecture (NBA);
- Developing and promoting regionalization within states and between states to ensure community preparedness
- Serving as the DHS point of contact for the Emergency Medical Services community.

The Office of Medical Readiness leads the Department's interagency effort on health and medical issues. OMR develops policies and programs to enhance medical preparedness and response aspects of all-hazards planning, exercises, and training; oversees weapons of mass destruction incident management support; promotes the integration of State and local medical response capabilities; aligns DHS emergency preparedness grants with medical preparedness; and leads the DHS role in addressing medical first responder requirements to prepare for and respond to catastrophic incidents, while serving as the principal DHS representative for the medical first responder community. The three divisions within OMR are:

1. The **Plans and Policy Division** supports medical and public health planning for the National Planning Scenarios in coordination with the Office of Operations Coordination, providing subject matter expertise on health issues to inform the Integrated Planning System through Federal plans development with the Incident Management Planning Team (IMPT). The division assures that health impacts are fully integrated into all Federal plans, and interfaces with State, local, and tribal planning entities to ensure planning consistency. In its role in planning and policy support, the division provides ongoing and 24/7 on-call crisis action planning support to the IMPT to ensure health related aspects of crisis action planning are accomplished. Personnel within this Division also represent the Office and Department on interagency policy councils including councils addressing biological scenarios.
2. The **Incident Coordination - Operations Division** is the primary source for situational awareness for OHA and during incidents of national significance. The division provides incident management and guidance, coordinating the Department's efforts in responding to health-related issues during disasters, mass casualty incidents, and national special security events. The Concept of Operations and Standard Operating Procedures are designed to create a fully functional situational awareness unit to assure that the Assistant Secretary/Chief Medical Officer has constant visibility to situations and incidents which have the potential to impact the health and welfare of the Nation. The division provides health experts at the National Operations Center (NOC) and the FEMA National Response Coordination Center (NRCC), to inform DHS' leadership on all health related issues arising from current operations. The division also provides medical and public health expertise to various exercise and training programs, including departmental and national-level events. Also, personnel from this Division provide support to the FEMA Incident Management Assistance Teams (IMAT) by deploying OHA staff with the teams to provide on the ground situational awareness of medical conditions before and during incidents and to provide any necessary medical care to team members.
3. The **Health Security Coordination Division** integrates OHA's efforts relating to State and local emergency management coordination with health and medical resources. The division is comprised of three primary offices: Emergency Management and Medical Response Integration, Mitigation and Capability Enhancement, and Medical First Responder Coordination.
 - a. *Emergency Management and Medical Response Integration* (EMMRI) facilitates integration of emergency management and medical response capabilities at the regional, State, and local levels as well as the private sector to leverage resources. EMMRI provides subject matter expertise to other DHS programs that foster collaborative regional engagement and community resiliency.

- b. *Mitigation and Capabilities Enhancement (MACE)* leads interagency alignment of health preparedness grants and identifies and addresses gaps in resources. MACE works in coordination with FEMA's Grants Program Division on ensuring health and medical issues are appropriately addressed and incorporated into DHS Grants programs. MACE also works in coordination with DHS components to identify, develop, and refine DHS-relevant public health and medical standards and training programs to enhance preparedness and response capabilities. MACE supports FEMA's efforts to evolve the health and medical target capabilities through the development of clearly articulated performance metrics that are both risk-informed and based on real-world preparedness requirements.
- c. *Medical First Responder Coordination (MFRC)* serves as the principal DHS representative to the external medical first responder and emergency medical services (EMS) communities, and acts as DHS' representative to the Federal Interagency Committee on EMS (FICEMS). Also, MFRC staff provides support to the FEMA United States Fire Administration on medical first responder issues. MFRC leads the Department's role in improving medical first responder readiness for catastrophic incidents.

Since the creation of OHA in April, 2007, Office of Medical Readiness' primary accomplishments have included:

- Implemented the Medical Officer system to provide 24/7 on-call coverage to respond to incidents involving public health and medical security
- In collaboration with the Department of Health and Human Services, developed and disseminated the Pandemic Influenza Vaccination Allocation and Targeting Guidance, which assists state, local, and tribal communities in preparing for the allocation of vaccines to reduce a pandemic's impact
- In collaboration with the Federal Interagency, developed the National Strategy for border management during an Influenza Pandemic
- Stockpiled medical countermeasures and protective equipment for DHS employees in the event of a pandemic outbreak
- Provided support staff to the Federal Emergency Management Agency (FEMA) Incident Management Advance Team during the 2008 hurricane season
- Partnered with the Science and Technology (S&T) Directorate on integrated community-based capabilities to enhance health-related resiliency of communities to better withstand disasters
- Collaborated with the DHS Office of Intelligence and Analysis to develop a Health Security Intelligence Enterprise. This enterprise seeks to integrate public health and healthcare communities into the homeland security and intelligence information sharing process (State Fusion Centers).
- Provided the Department with medical expertise that addressed the concerns related to health services for immigration detainees
- Developed a National Training Resource Clearinghouse, a web-based catalog of emergency preparedness training programs that is now being used to build an IT platform that will include not only training programs, but a catalogue of Federal preparedness grants and medical standards
- Provided medical expertise to the planning for the Democratic and Republican National Conventions, the G-20 Summit, and other National Special Security Events.

Significant accomplishments in FY 2008 include:

- Development of the CONOPS for the watch desk and the medical officer program;
- Drafted Strategic Guidance Statement for Aerosol Anthrax, and completed of medical content for the Draft Federal Strategic Plan for Aerosol Anthrax, in collaboration with DHS Office of Operations Coordination and the Federal interagency;
- Completed EMS Assessment tool (DHS and DOT led interagency activity);
- OHA/OMR participation in all national-level DHS exercises, including TOPOFF 4;
- Completed and disseminated of Pandemic Influenza Vaccination Allocation and Targeting Guidance (DHS and HHS led interagency activity);
- Completed a web-based National Training Resource Clearinghouse;
- Awarded contracts to begin concept development of NBA;
- Engaged the Institute of Medicine to bring together stakeholders and experts to develop multi-disciplinary response and recovery systems; and partner with the Science and Technology Directorate on integrated, community-based capabilities to enhance health-related resiliency for communities to better withstand disasters;
- Developed and Conducted Anthrax Table Top Exercise in collaboration with the City of New York
- Established a Medical Officer on call; and,
- Implemented Medical Officer system to provide 24/7 on-call coverage to respond to incidents involving health and consequences.

FY 2009 planned accomplishments include:

- Complete health subject matter content for Strategic Guidance Statements related to biological events;
- Support the crisis action planning activations by DHS Operations Coordination that have a health related impact yearly;
- Complete an EMS Assessment using new EMS Assessment tool;
- Complete the OHA incident communications plan, OHA incident deployment plan, interagency grants catalogue, and revised health and medical target capabilities;
- Complete CONOPS for Medical Intelligence Program in support of Health Security presence in State Fusion Centers;
- Draft Integrated Community Response Template of the Biodefense Demonstration Project; and,
- Draft Resource Infusion Model of the Biodefense Demonstration Project.

FY 2010 planned accomplishments include:

- Work on health security operations for OHA and DHS incident management in accordance with HSPD-5;
- Continue to provide health subject matter content for Federal strategic plans related to biological events;
- Support the interagency Incident Management Planning Team and the crisis action planning activations by DHS Operations Coordination providing health and medical subject matter expertise;

- Start to implement the Medical Intelligence Program in support of Health Security presence in State Fusion Centers; and,
- Work and support the interagency process for development of policies and guidance related to medical readiness for WMD and natural disasters.
- Initiate a plan to provide guidance and technical assistance to states and local communities on medical and health issues related to medical readiness and response and to provide reachback technical assistance for Occupational Health for intra-DHS first responder forces.

The **Food, Agricultural and Veterinary Defense Division** (FAV Defense), working with all levels of government and the private sector, leads the coordination of the Department's programs to ensure the security of our Nation's food, agriculture, human and animal health in the face of all hazards. FAV Defense programs are based on a Secretarial Delegation of Authority and as assigned through HSPD-9: Defense of U.S. Agriculture and Food. The Chief Medical Officer (CMO) serves as principal medical advisor for all food, agricultural, veterinary and related public health program responsibilities of DHS and is responsible for managing the 18 distinct activities identified within HSPD-9.

FAV Defense focuses on providing technical support to DHS leadership and components to effectively coordinate across the government for a catastrophic food or agricultural incident under the requirements of Homeland Security Presidential Directive 5. The Food and Drug Administration (FDA) and United States Department of Agriculture (USDA) maintain primary technical lead for these incidents as specified within the Food and Agricultural Incident Supplemental Annex to the National Response Framework.

The FAVD is developing a Defense of Food and Agriculture Dashboard and Collaboration Portal on the Office of Management and Budget (OMB) MAX Website. The Dashboard is designed to provide a transparent picture of the implementation of Food, Agriculture and Veterinary Defense initiatives across the U.S. Government at the department and agency level. The development has been supported by an interagency working group to ensure quality metrics and standards are selected. The Dashboard has greater application to the entire national biodefense architecture to include chemical, biological, and public health executive initiatives. The Collaborative Portal is being developed to overcome an inherent lack of transparency and communication between intra/inter agency components across multiple government activities. The Portal provides an effective methodology to resolve and improve efficiency between intra-DHS components working Food, Agriculture and Veterinary Defense issues and is being expanded to assist the communication between DHS, USDA, FDA, EPA, etc.

Food and Agriculture is a Critical Infrastructure to this Nation as evidenced by:

1. Food and agriculture is a \$1.3 trillion Critical Infrastructure representing one-fifth of the Nation's economic activity.
2. It is estimated that a catastrophic event could result in significant loss of life and have long term economic consequences (the *Salmonella* saintpaul event in 2008 cost producers over \$300 million).
3. A catastrophic food and/or agricultural event could result in an increase in vulnerability for the country if food and/or agricultural production moved outside of the CONUS (subsequent to the event).

4. The impact of a food or agricultural catastrophic event on National Security, as demonstrated by exercises such as “Silent Prairie,” could have significant impact on military strength and the ability of the military to operate in infected zones. Significant multi-state food events with high mortality would compromise the government at all levels.
5. History demonstrates that a compromise of the food supply has led to the collapse of governments and/or loss of confidence in political officials secondary to the loss of the public’s trust in government.

Significant accomplishments in FY 2008 include:

- Developed the content of Strategic Guidance Statements (for Federal Bio Planning Against Biological Attacks) for catastrophic Foreign Animal Disease (Foot and Mouth Disease) and Food Contamination Scenarios;
- Initiated an HSPD-9 “Dashboard” (Defense of Food and Agriculture “Dashboard”) that identifies all interagency efforts to protect the Nation’s food and agriculture sectors. This allows better coordination of efforts, and identifies the metrics and deliverables to meet this challenge. The Dashboard is designed to provide a transparent picture of the implementation of Food, Agriculture and Veterinary Defense initiatives across the U.S. Government at the department and agency level. The development has been supported by an interagency working group to ensure quality metrics and standards are selected. The Dashboard has greater application to the entire national biodefense architecture to include chemical, biological, and public health executive initiatives;
- Supported response and analysis of events: Melamine contamination in dried milk products, the *Salmonella* saintpaul outbreak, and the *Salmonella* Typhimurium outbreak;
- Initiated a DHS Collaboration Tool, a portal that seeks to overcome an inherent lack of transparency and communication between intra/inter agency components across multiple government activities. The Portal provides an effective methodology to improve efficiency between intra-DHS components working Food, Agriculture and Veterinary Defense issues and is being expanded to assist the communication between DHS, USDA, FDA, EPA, and others; and
- Identified DHS Food, Agricultural and Veterinary program Intelligence Requirements to inform planning and programs.

FY 2009 planned accomplishments include:

- Complete the development of the Strategic Plan (for Federal Bio Planning Against Biological Attacks) for catastrophic Foreign Animal Disease (Foot and Mouth Disease) and Food Contamination Scenarios;
- Participate in the development of CONOPS, OPS Plan and Tactical Plan (for Federal Bio Planning Against Biological Attacks) for Foreign Animal Disease (Foot and Mouth Disease) and Food Contamination Scenarios;
- Develop a Preparedness and Response Toolkit which will allow State, local, and tribal organizations to measure their preparedness and response capabilities against established food and agricultural catastrophic scenarios, develop exercises to test their response, and facilitate the implementation of lessons learned from exercises and/or events as a means to improve capability. Additionally, the self evaluations will be used to develop national standards that are based in real world experiences of the State, local, and tribal organizations;

- Continue the development of the Defense of Food and Agriculture “Dashboard;”
- Continue the development of the DHS Collaboration Tool;
- Increase coordination with the intelligence community to assure that the threat posture remains current and that mitigating strategies are optimized;
- Continue to integrate and support a comprehensive program and gap analysis specific to FAV Defense arenas across internal, external and Federal, State, local, and private organizations;
- Develop a model State Response Plan for a catastrophic food event;
- Further coordinate with Federal partners and specific international partners to build a collaborative food defense network, building upon the FY 2008 G8 Food Defense Exercise;
- Improve FAV Defense efforts in response to catastrophic events working with Federal, State, local, and tribal Governments and in private industry.

In FY 2010, Food, Agriculture and Veterinary Defense will continue its efforts in coordination with all level of government and the private sector which includes:

- Completion of the development of the Defense of Food and Agriculture “Dashboard” and Collaboration Tool on the Office of Management and Budget (OMB) MAX Website;
- Complete the Preparedness and Response Benchmarking Tool Kit to enhance preparedness at the State and local level;
- Continue to integrate and support a comprehensive program and perform gap analysis specific to FAV Defense arenas across internal, external and Federal, State, local, and private organizations.

Department of Homeland Security
Office of Health Affairs
Program Performance Justification
(Dollars in thousands)

PPA: SALARIES AND EXPENSES

	Perm Pos	FTE	Amount (\$ 000)
2008 Actual	70	35	23,336
2009 Enacted	84	80	29,210
2010 Adjustments-to-Base		4	501
2010 Current Services	84	84	29,711
2010 Program Change	---	---	700
2010 Request	84	84	30,411
Total Change 2009-2010	---	4	1,201

Salaries and Expenses (S&E) requests FY 2010 funding of \$30.4 million, which will fund 84 FTE for the Office of the Assistant Secretary which includes the Office of International and Global Health Security; the Office of Component Services; and houses the funding for all Federal positions within OHA's programs. Additionally, the Working Capital Fund is included in the funding request.

CURRENT SERVICES PROGRAM DESCRIPTION:

Management and Administration:

In FY 2007, OHA was established with funding transferred from the Office of the Chief Medical Officer, and the National Biosurveillance Integration Center (NBIC) from the National Program Preparedness Directorate (NPPD). In addition, OHA received functional responsibility for the BioWatch and RDCDS accounts from the Science and Technology Directorate (S&T). At inception, OHA was minimally staffed and had a Human Capital plan in place for hiring up to its FTP ceiling. As a new component, OHA prioritized the hiring of its core program mission positions in its initial months of operation.

During FY 2008, OHA received an additional 54 FTP/27 FTE. With the full annualization of these 54 FTP in FY 2009, OHA will be able to address mission-related responsibilities. In FY 2008, OHA relied on service agreements with other components of DHS for the provision of financial services, acquisitions and contracting, and human capital services. Contractor personnel predominately staffed the budget, financial and human capital functions as OHA prepared to meet its FTE ceiling. Some of the need for additional administrative personnel was addressed in FY 2009.

OHA requested eight (8) FTP/ four (4) FTE in FY 2009 for personnel to conduct administrative and business functions within OHA. The annualization of the 54 FTP requested for FY 2008 and the additional personnel requested in FY 2009 bring OHA's personnel ceiling to 84 FTP. The requested levels will allow OHA to:

- Strengthen OHA financial reporting activities and internal controls; and,
- Enhance Program Management expertise to assist OHA technical experts with metrics, strategic planning and program management control.

Today, OHA is led by the Assistant Secretary for Health Affairs, who also holds the title of Chief Medical Officer for DHS, and serves as the principal health and medical advisor to the Secretary and the Administrator of FEMA. The Deputy Chief Medical Officer and Principal Deputy Assistant Secretary for Health Affairs is a career member of the Senior Executive Service (SES) and serves as the Chief Operating Officer. OHA includes all personnel in the S&E PPA and is divided into three offices:

1. Component Services
2. WMD & Biodefense
3. Medical Readiness

Office of Component Services

- Occupational Medical Services: The Occupational Medical Services Branch will augment its first staff members to assist the Medical Director, in the development of strategy, policy, requirements and metrics for the medical aspects of a department-wide occupational health and safety program. This will be done in partnership with the Office of Safety and Environmental Programs within the Office of the Under Secretary for Management.
- As the principal medical authority for DHS, OHA's Occupational Medical Services provides health and medical consultation resources and assistance at a leadership level on a 24/7 basis. OHA's consultation services will ensure regulatory compliance and consistency with industry best practices in support of various components' missions with regard to medical, health and safety considerations.
- This branch will assist the Department's Office of the Chief Human Capital Officer (OCHCO) personnel with:
 - Assessing position descriptions;
 - Physical evaluation programs (pre-placement, fitness-for-duty, return-to-work, etc.);
 - Performing post-incident analyses (for example, adding medical analysis to personnel aircraft and motor vehicle mishap investigations); and
 - Working with programs under the Federal Employee Compensation Act to improve return-to-work programs and to facilitate evaluation and treatment activities within Department of Labor guidelines and limitations, thus helping to control growth of workers compensation and continuation-of-pay costs.
- Workforce Health Protection Activities: DHS' ability to protect the Nation in the event of a disaster, natural or terrorist, depends on the safety and health of its workforce. Component Services, in coordination with S&T and OSRP, will work to define the requirements for job appropriate personal protective equipment, vaccinations, and post exposure prophylaxis. Future work will include a gap analysis of components' ability to protect its workforce and procure appropriate equipment. The programs managed by this branch include items that can

be developed and delivered to the employees of the Department, such as: travel medicine, deployment health guidelines and policies; health protection guidelines in dangerous work environments; facilitated health screening programs; and mechanisms to support a physical fitness culture to help ensure that workforces are physically able to support the Department's missions while minimizing health threats and work-related disability.

- Operational Medicine Support: DHS has thousands of medical personnel deployed throughout the country. They provide care for wide-ranging and often remotely deployed personnel, including border agents in the Southwest desert, to DHS aviation personnel engaged in counter-narcotics and counter-smuggling operations through the hemisphere, to rescue swimmers engaged in USCG search and rescue. They are also directly engaged in the humanitarian rescue of migrants who have fallen victim to varying dangerous conditions in an attempt to enter the United States. Under the direction and guidance of the OHA Component Services Emergency Medical Services Program, OHA staff is creating a credentialing and medical oversight framework. Current programs include standardization of Austere Medicine and Tactical Protocols and the purchase of a learning management system and an electronic medical record system. Future goals include standardization and cross training of medical response, guaranteeing integration of the DHS medical assets.

Office of International Affairs and Global Health Security

- IA-GHS enhances OHA's executive decision-support to DHS leadership by coordinating international engagement and ensuring that health related global lessons learned and best practices are applied domestically. These best practices are collected and applied through the *Lessons without Borders Initiative (Lw/oB)*. This initiative provides a framework for information sharing between national and international governmental, non-governmental, academic and private sector organizations to improve knowledge and decision-making on global health security issues. This strengthens the Department's ability to meet its mandate for the emergency management of natural or manmade threats, including Pandemic Influenza, chemical, biological, radiological or nuclear incidents. Additionally, IA-GHS coordinates all international OHA-related activities with the DHS/PLCY Office of the Assistant Secretary for International Affairs. This includes an all-hazard, multi-sector approach to countering trans-border health threats and natural or man-made catastrophic disasters.

Significant accomplishments under this PPA in FY 2008 include:

- Developed a requirements and implementation plan for a comprehensive workers injury and disability management system in conjunction with OCHCO;
- Provided scientific and medical guidance and led the direct interaction with the Centers for Disease Control and Prevention in supporting the Federal Emergency Management Agency on issues related to formaldehyde and mold in emergency temporary housing;
- Developed specialty protocols for Tactical Emergency Medical Personnel, that are currently being vetted throughout the Department and with national experts; and,
- Created an EMS Training Board with input from all the operational components to work collaboratively on training and operational issues and policies.
- Further developed the Office of Health Affairs by transitioning programs from NPPD and S&T in FY 2007 into FY 2008; and,

- Established a full complement of services to the component under the Office of the Assistant Secretary, managed by the Chief of Staff and Director of Operations, that provides a full-range of administrative services to OHA personnel from its Administrative Office, Human Resources Office, Budget Office, Policy Office, External Affairs Office, Executive Secretariat and Legal Counsel.

FY 2009 planned accomplishments include:

- Establish the Virtual Medical Support System (VMMS);
- In cooperation with OSEP, develop a comprehensive set of Safety and Health Policies beginning with existing "best practices" program throughout government;
- Identify key management level health and safety metrics which can drive departmental implementation of occupational health principles. The goal is to shift occupational safety from only a compliance-oriented "cost-center" to ensure a healthier and safer workforce, thus improving productivity and decreasing lost-time costs. Key mechanisms which will be used to accomplish this include:
 - Integration of occupational medicine into the functions of the Department's Occupational Safety Committee to assist in integration and promulgation of occupational medical principles and policies; and,
 - Standardization of health and safety related forms across the Department regarding excess liabilities incurred by current lack of consistency across the various components of the Department.
- Develop workforce health protection and wellness related materials for use throughout the Department including:
 - Model wellness newsletters; and,
 - Policy-based health protection guidelines for situations such as disaster related deployment and international travel.
- Develop Austere Medicine Protocols
- Develop comprehensive requirements for a risk-management information system which will track injury, illness, and safety trends in order to inform management on mechanisms to reduce injuries, occupational illness, and other factors causing lost productivity in conjunction with the Office of Safety and Environmental Programs;
- Create a medical direction committee of federal operational medical directors;
- Create policies, protocols and medical supervisory mechanisms for the operational emergency medical services personnel of the Department; and,
- Develop policies on DHS-wide credentialing and component privileging, in advance of a proposed FY 2010 Working Capital Fund (WCF) activity for a credentialing system.
- Provide enhanced financial reporting and internal controls;
- Develop policy in the areas of budget, performance metrics, strategic planning and internal controls;
- Provide space and facilities management to meet the needs of OHA's personnel ceiling;
- Develop a Human Capital Management hiring strategy to meet OHA's personnel ceiling;
- Improve performance and reporting capabilities for OHA programs that will enhance OHA's ability to track the progress of DHS' medical programs and OHA's partnerships with Federal partners, State, local, and tribal governments; the private sector, and OHA stakeholders, and;
- Coordinate interoperability through EMS training and standards.

In FY 2010, Salaries and Expenses planned accomplishments include:

- Develop a cross training plan for delivery of emergency medical services that will guarantee interoperability throughout DHS components in response to events of significance or disasters.
- Continue development of a common set of standards, policies, and training opportunities for occupational medical aspects of occupational safety and health programs across the Department;
- Implement a risk management information capability throughout the Department. While the office of primary responsibility for the capability is the Office of Safety and Environmental Programs, personnel from OHA will play an integral role in ensuring the success of this program;
- Develop a credentialing program throughout DHS to ensure adequate credentialing of medical personnel in conjunction and partnership with the component agencies. This process will set minimum standards for working as a medical provider within the Department;
- Develop a Quality Assurance Program that will set standards and metrics for measuring quality of care, provide insight into training and certification needs, and reduce the liability risk of the Department; and,
- Work with the Working Capital Fund program to incorporate the credentialing service as a DHS-wide initiative;
- Continue to provide a full range of administrative services to the OHA personnel; and,
- Continue to provide space and facilities management to meet the needs of OHA's personnel.
- Enhance the range of administrative services provided to OHA personnel to strengthen the workforce and install additional internal controls to improve program management.

IV. Program Justification of Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Office of Health Affairs
Justification of Proposed Changes in Appropriation Name
Appropriation Language**

For the necessary expenses of the Office of Health Affairs, [\$157,191,000] **\$138,000,000**; of which [\$29,210,000] **\$30,411,000** is for salaries and expenses; and of which [\$127,981,000] **\$107,589,000** is for biosurveillance, BioWatch, chemical response, and related activities for the Department of Homeland Security, to remain available until September 30, [2010] **2011**: *Provided*, That not to exceed \$3,000 shall be for official reception and representation expenses.

Explanation of Changes:

OHA was created to effectively carry out the Congressionally mandated duties as authorized in Section 516 of the Homeland Security Act of 2002, as amended (6 U.S.C 321e).

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
Office of Health Affairs
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual	70	35	118,637
FY 2009 Enacted	84	80	157,191
Adjustments to Base (ATB)			
Increases			
Annualization of Prior Year Funding.....	---	4	478
Annualization of FY 2009 Pay Raise.....	---	---	285
FY 2010 Pay Increase.....	---	---	438
Non-Pay Inflation.....	---	---	0
Total Increases	---	4	1,201
Decreases			
Non-Recurring Costs.....	---	---	(700)
Total Decreases	---	---	(700)
Total Adjustments-to-Base	---	4	501
2010 Current Services	84	84	157,692
Program Changes			
Program Increases/(Decreases)			
BioWatch.....	---	---	(17,093)
National Biosurveillance Integration Center.....	---	---	0
Rapidly Deployable Chemical Detection System (RDCDS).....	---	---	0
Planning & Coordination.....	---	---	(3,299)
Salaries & Expenses.....	---	---	700
Total Program Changes	---	---	(19,692)
2010 Request	84	84	138,000
2009 to 2010 Total Change	---	4	(19,191)

C. Summary of Requirements

Department of Homeland Security
Office of Health Affairs
Summary of Requirements
(Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	70	35	\$118,637
2009 Enacted	84	80	\$157,191
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	---	---	---
Increases	---	4	501
Decreases	---	---	---
Total Adjustments-to-Base	---	4	501
2010 Current Services	84	84	\$157,692
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	---	---	(19,692)
2010 Total Request	84	84	\$138,000
2009 to 2010 Total Change	---	4	(\$19,191)

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 BioWatch			111,606			0			-17,093			94,513			-17,093
2 National Biosurveillance Integration Center			8,000			0			0			8,000			0
3 Rapidly Deployable Chemical Detection System			2,600			0			0			2,600			0
4 Planning and Coordination			5,775			0			-3,299			2,476			-3,299
5 Salaries and Expenses	84	80	29,210	---	4	501	---	---	700	84	84	30,411	---	4	1,201
Total	84	80	\$157,191	---	4	\$501	---	---	(\$19,692)	84	84	\$138,000	---	4	(\$19,191)

D. Summary of Reimbursable Resources

**Department of Homeland Security
Office of Health Affairs
Summary of Reimbursable Resources
(Dollars in Thousands)**

Collections by Source	FY 2008 Actual			2009 Estimate			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
DHS - ICE			\$30,000,000			\$40,000,000			\$50,000,000	---	---	\$10,000,000
DHS - S&T			\$400,000			\$415,600			\$431,808	---	---	\$16,208
DHS - DNDO			\$200,000			\$207,800			\$215,904	---	---	\$8,104
DHS - FEMA			\$700,000			\$727,300			\$755,665	---	---	\$28,365
DHS - NPPD			\$200,000			\$207,800			\$215,904	---	---	\$8,104
DHS - MGMT/OCAO/OAO			---			\$1,000,000			\$1,000,000	---	---	---
State Department			---			\$100,000			\$100,000	---	---	---
Department of Defense - Joint Program Executive Office			---			\$175,000			\$175,000	---	---	---
Total Budgetary Resources	---	---	\$31,500,000	---	---	\$42,833,500	---	---	\$52,894,281	---	---	\$10,060,781

Obligations by Program/Project Activity	FY 2008 Actual			2009 Estimate			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Salaries & Expenses			\$31,500,000			\$42,558,500			\$52,619,281	---	---	\$10,060,781
BioWatch			---			\$275,000			\$275,000	---	---	---
Total Obligations	---	---	\$31,500,000	---	---	\$42,833,500	---	---	\$52,894,281	---	---	\$10,060,781

E. Summary of Requirements By Object Class

**Department of Homeland Security
Office of Health Affairs**

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

Object Classes	FY 2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	3,965	8,895	9,575	680
11.3 Other than full-time permanent	328	717	---	(717)
11.5 Other Personnel Compensation	404	---	---	---
11.8 Special Service Pay	1,309	3,748	1,254	(2,495)
12.1 Benefits	1,133	2,460	4,172	1,711
Total, Personnel Comp. & Benefits	7,140	15,820	\$15,001	(819)
Other Object Classes:				
21.0 Travel	511	599	507	(93)
23.1 GSA rent	2,005	2,612	---	(2,612)
25.1 Advisory and assistance services	51,071	56,065	23,794	(32,271)
25.2 Other services	---	15,206	16,438	1,232
25.3 Purchases of goods & svcs. from Gov't accounts	39,550	16,892	32,178	15,286
25.7 Operation and maintenance of equipment	11	4,100	---	(4,100)
26.0 Supplies and materials	---	11,112	115	(10,997)
31.0 Equipment	---	10,338	22,812	12,475
41.0 Grants/Subsidies/Contributions	18,349	24,448	27,155	2,707
Total, Other Object Classes	111,497	141,372	122,999	(18,373)
Total, Direct Obligations	\$118,637	157,191	\$138,000	(19,192)
Unobligated balance, start of year	31,926	307	4,500	4,193
Unobligated balance, end of year	(307)	(4,500)	(4,000)	500
Recoveries of prior year obligations	---	---	---	---
Total requirements	\$150,256	\$152,998	\$138,500	(14,499)

F. Permanent Positions by Grade

Grades and Salary Ranges	2008	2009	2010	2009 to 2010
	Actual Pos.	Enacted Pos.	Request Pos.	Change Total
Total, SES	3	2	2	---
Total, EX	---	1	1	---
Total, SL	2	---	---	---
Total, SQ	2	---	---	---
Total, ST	3	5	5	---
GS-15	23	25	25	---
GS-14	20	20	20	---
GS-13	7	9	9	---
GS-12	5	4	4	---
GS-11	3	11	11	---
GS-10	---	4	4	---
GS-9	2	3	3	---
GS-8	---	---	---	---
GS-7	---	---	---	---
GS-6	---	---	---	---
GS-5	---	---	---	---
GS-4	---	---	---	---
GS-3	---	---	---	---
GS-2	---	---	---	---
Other Graded Positions	---	---	---	---
Ungraded Positions	---	---	---	---
Total Permanent Positions	70	84	84	---
Unfilled Positions EOY	10	---	---	---
Total Perm. Employment EOY	70	84	84	---
FTE	35	80	84	4
Headquarters	35	80	84	4
U.S. Field	---	---	---	---
Foreign Field	---	---	---	---
Total Permanent Positions	70	84	84	---
Average SES Salary	\$ 159,697	\$ 161,815	\$ 159,697	
Average SL Salary	\$ 158,500	\$ ---	\$ 158,500	
Average SQ Salary	\$ 183,176	\$ ---	\$ 183,176	
Average ST Salary	\$ 157,939	\$ 157,939	\$ 157,939	
Average GS Salary	\$ 107,934	\$ 93,990	\$ 99,329	
Average GS Grade	13.75	12.67	13.21	

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications

Department of Homeland Security
Office of Health Affairs
BioWatch
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
11.8 Special Service Pay	242	368	376	7
Total, Personnel Comp. & Benefits	\$242	\$368	\$376	\$7
21.0 Travel	33	50	42	(8)
25.1 Advisory and assistance services	29,383	34,358	5,600	(28,758)
25.2 Other services	---	15,045	16,238	1,193
25.3 Purchases of goods & svcs. from Gov't accounts	30,178	12,537	25,330	12,793
25.7 Operation and maintenance of equipment	---	3,500	---	(3,500)
26.0 Supplies & Materials	---	11,000	---	(11,000)
31.0 Equipment	---	10,300	19,773	9,473
41.0 Grants/Subsidies/Contributions	18,349	24,448	27,155	2,707
Total, BioWatch	\$78,185	\$111,606	\$94,513	-\$17,093

BioWatch Mission Statement

The BioWatch Program achieves DHS' mission of detection against biological attacks by managing an early warning system that can rapidly detect trace amounts of pathogen-specific nucleic acid in the air whether intentionally released into or naturally present in the environment. This program deploys detection devices in over thirty of the country's major metropolitan areas. The BioWatch Program provides public health experts with a warning of a biological agent release before exposed citizens become clinically symptomatic. This "detect-to-treat" approach provides public health officials an opportunity to respond aggressively to eliminate or substantially mitigate the potentially catastrophic impact on the population of a biological agent release.

Summary Justification and Explanation of Changes

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
Special Service Pay	242	368	376	7
The FY 2010 request includes an inflationary increase of \$7,000 (2%) for special service pay of IPAs, detailees, and PHS Officers.				
Travel	33	50	42	(8)
The FY 2010 request reflects a decrease of \$8,000 due to budgetary constraints, which will reduce program travel.				
Advisory and assistance services	29,383	34,358	5,600	(28,758)
The FY 2010 request reflects a decrease of \$28,757,996 in advisory and assistance services associated with procurement and deployment of autonomous detectors.				

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
Other services	---	15,045	16,238	1,193

The FY 2010 request includes an increase of \$1,193,102 in other services and assistance services associated with procurement and deployment of autonomous detectors.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
Purchases of goods & svs. from Gov't accounts	30,178	12,537	25,330	12,793

The FY 2010 request includes a increase of \$12,793,000 for purchases of good and services from government accounts, which will be used to fund government agencies, such as the national labs with which BioWatch partners, to develop autonomous detection technology.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
Operation and maintenance of equipment	---	3,500	---	(3,500)

The FY 2010 request includes a \$3,500,000 decrease in the cost of operation and maintenance of equipment to account for the decommissioning of autonomous detectors in New York City.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
Equipment	---	10,300	19,773	9,473

The FY 2010 request includes an increase of \$9,473,000 tied to the purchase of autonomous detectors.

Department of Homeland Security
Office of Health Affairs
National Biosurveillance Integration Center
Summary of Requirements by Object Class
(Dollars in Thousands)

Object Classes	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
11.8 Special Service Pay	677	711	725	14
Total, Personnel Comp. & Benefits	\$677	\$711	\$725	\$14
21.0 Travel	99	27	40	13
25.1 Advisory and assistance services	9,037	7,219	5,205	(2,014)
25.2 Other services	---	10	10	---
25.7 Operation & maintenance of equipment	11	---	---	---
25.3 Purchases of goods & svcs. from Gov't accounts	157	33	2,019	1,986
Total, NBIC	\$9,981	\$8,000	\$8,000	(\$0)

National Biosurveillance Integration Center Mission Statement

The National Biosurveillance Integration Center (NBIC) provides early detection, characterization, and situational awareness of biological events of potential national significance by establishing a common operating picture (COP) to depict a global biosurveillance environment and decision-making tools. NBIC operates by acquiring, integrating, analyzing, and disseminating biosurveillance information from human, animal, plant and environmental data. NBIC has formal agreements with seven NBIC Member Agencies (NMAs) including the Department of Health and Human Services (HHS), Department of Agriculture (USDA), Department of Defense, State Department, Department of the Interior, and Department of Transportation (DOT). Beyond collaboration with the NMAs, NBIC collaborates with all 12 Federal Departments to share surveillance information. NBIC combines the surveillance data and reports with relevant intelligence, open-source information, meteorological data, and other observational data to perform integrative analysis of the relevant domains.

Summary Justification and Explanation of Changes

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
Special Service Pay	677	711	725	14

The special service pay is expected to increase by \$14,000 to cover inflationary pay increases of 2% for NBIC Watchdesk operations as well as IPAs and detailees from other Federal agencies who support NBIC.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
Travel	99	27	40	13

In FY 2010 OHA expects travel support for NBIC to increase by \$13,000.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
Advisory and assistance services	9,037	7,218	5,205	(2,014)

NBIC will decrease funding for advisory and assistance services.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
Other services	---	10	10	---

The FY 2010 request includes no change for other support services for the cost of additional subscriptions for online biosurveillance information services.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
Purchases of goods & svcs. from Gov't accounts	157	33	2,019	1,986

The FY 2010 request includes an increase of \$1,986,000 for purchases of good and services from Government accounts tied to the decrease in advisory and assistance services.

Department of Homeland Security
Office of Health Affairs
Rapidly Deployable Chemical Detection System
Summary of Requirements by Object Class
(Dollars in Thousands)

Object Classes	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
11.8 Special Service Pay	119	119	122	2
Total, Personnel Comp. & Benefits	\$119	\$119	\$122	\$2
21.0 Travel	17	12	12	---
25.1 Advisory and assistance services	169	---	---	---
25.3 Purchases of goods & svcs. from Gov't accounts	2,282	1,869	2,467	598
25.7 Operations & Maintenance of Equipment	---	600	---	(600)
Total, RDCDS	\$2,587	\$2,600	\$2,600	(\$600)

Rapidly Deployable Chemical Detection System Mission Statement

The Rapidly Deployable Chemical Detection System (RDCDS) is the only non-military asset available in the country for the detection of a potential chemical release against our citizens. The program provides a necessary detection capability with an operational network of chemical detectors, which support National Special Security Events (NSSEs) and DHS Special Event Assessment Rating (SEAR) Level I and II Events. Currently, DHS has the capability to cover a single event due to the limitation of one airborne platform and twelve ground-based chemical detectors

Summary Justification and Explanation of Changes

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
Special Service Pay	119	119	122	2

The FY 2010 request includes an inflationary increase of \$2,000 (2%) for special service pay of detailees and PHS Officers supporting RDCDS.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
Travel	17	12	12	---

The FY 2010 request includes no change for travel associated with field testing to evaluate the effectiveness and efficiency of the RDCDS system.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
Advisory and assistance services	169	---	---	---

The FY 2010 request includes no change in cost for advisory and assistance services. RDCDS procures support services through other government agencies.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
Purchases of goods & svcs. from Gov't accounts	2,282	1,869	2,467	598

The FY 2010 request includes an increase of \$598,000 for purchase of goods and services from government accounts, which enable the RDCDS program to gain governmental expertise in developing its detection technologies.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
Operations & Maintenance of Equipment	---	600	---	(600)

The FY 2010 request includes a reduction in spending for the operation and maintenance of the Environmental Protection Agency's Airborne Spectral Photometric Environmental Collection Technology (ASPECT), which provides transport for RDCDS detectors.

Department of Homeland Security
Office of Health Affairs
Planning and Coordination
Summary of Requirements by Object Class
(Dollars in Thousands)

Object Classes	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
11.8 Special Service Pay	272	514	22	(491)
Total, Personnel Comp. & Benefits	\$272	\$514	\$22	(\$491)
21.0 Travel	168	276	118	(158)
25.1 Advisory and assistance services	4,108	4,982	2,335	(2,647)
26.0 Supplies and materials	---	4	---	(4)
Total, Planning and Coordination	\$4,548	\$5,775	\$2,476	(\$3,299)

Planning and Coordination Mission Statement

Planning and Coordination is responsible for leading and sustaining a comprehensive, integrated and multi-agency strategy that ensures the health security and welfare of the Nation before, during and after disasters. The various programs within Planning and Coordination:

- (1) lead and coordinate the various DHS food, agricultural and veterinary programs and providing technical insight to the Department's efforts to prepare and respond to a food or agricultural catastrophic event;
- (2) provide advice and guidance on health security issues to the Secretary of DHS and the Administrator of FEMA through the Assistant Secretary for Health Affairs/CMO;
- (3) lead health security operations for incident management in accordance with HSPD-5;
- (4) provide direction on the development of policies and guidance for medical readiness and emergency management;
- (5) provide direction and subject matter expertise to the Federal interagency planning process to ensure health impacts are fully integrated;
- (6) provide guidance and direction on Federal emergency preparedness grants requirements and on their alignment and synchronization across the Department; and
- (7) lead and direct the development of the National Biodefense Architecture.

Summary Justification and Explanation of Changes

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
Special Service Pay	272	514	22	(491)

The special service pay is expected to decrease by \$491,000 in accordance with the Planning and Coordination budget reduction.

	FY 2008 Actual	FY 2009 Enacted	2010 Request	FY 2009 - FY 2010 Change
Travel	168	276	118	(158)

The FY 2010 request includes a \$158,000 reduction in travel associated with stakeholder outreach, regional coordination associated with response and readiness, and training exercises.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
Advisory and assistance services	4,108	4,982	2,335	(2,647)

The FY 2010 request includes a decrease of \$2,647,000 for advisory and assistance services to provide programmatic and subject matter expert support for medical readiness coordination efforts.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
Supplies and materials	---	4	---	(4)

The FY10 request includes a reduction of \$4,000 in spending for supplies and materials.

Department of Homeland Security
Office of Health Affairs
Salaries and Expenses
Summary of Requirements by Object Class
(Dollars in Thousands)

Object Classes	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
11.1 Total FTE & personnel compensation	3,965	8,895	9,575	680
11.3 Other than full-time permanent	328	717	---	(717)
11.5 Other Personnel Compensation	404	---	---	---
11.8 Special Service Pay	---	2,036	9	(2,027)
12.1 Benefits	1,133	2,460	4,172	1,712
Total, Personnel Comp. & Benefits	\$5,830	\$14,108	\$13,756	(\$351)
21.0 Travel	193	234	294	60
23.1 GSA rent	2,005	2,612	---	(2,612)
25.1 Advisory and assistance services	8,374	9,507	10,654	1,147
25.2 Other services	---	151	189	38
25.3 Purchases of goods & svcs. from Gov't accounts	6,933	2,453	2,362	(91)
26.0 Supplies and materials	---	108	115	7
31.0 Equipment	---	38	3,040	3,002
Total, S&E	\$23,336	\$29,210	\$30,411	\$1,201

Salary and Expenses Mission Statement

The Office of Health Affairs is the Department of Homeland Security's principal authority for all medical and public health matters. Working across all levels of government, and with the private sector, the Office leads the Department's role in developing, supporting, measuring and refining a scientifically rigorous, intelligence-based medical and biodefense architecture that ensures the public health and medical security of our nation.

Summary Justification and Explanation of Changes

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
Salaries and Benefits	5,830	14,108	13,756	(351)

The FY 2010 request includes a decrease of \$351,000 tied to a reduction in IPA and detailee costs.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
Travel	193	234	294	60

The FY 2010 request includes an increase of \$60,000 for travel associated with the increase in Federal personnel.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
GSA rent	2,005	2,612	---	(2,612)

The FY 2010 request includes a decrease of \$2,612,000 for GSA Rent charges.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
Advisory and assistance services	8,374	9,507	10,654	1,147

The FY 2010 request includes an increase of \$1,147 for costs associated with advisory and assistance services due to the cost increase for contractor personnel supporting the budget, financial and human capital functions.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
Other services	---	151	189	38

The FY 2010 request includes a \$38,000 increase associated with other services due to the increased need for services by contractor personnel to audit financial statements.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
Purchases of goods & svcs. from Gov't accounts	6,933	2,453	2,362	(91)

The FY 2010 request includes an additional \$91,000 for working capital fund decreases.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
Supplies and materials	---	108	115	7

The FY 2010 request includes an increase of \$7,000 for supplies and materials tied to the increase in staff.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	FY 2009 - FY 2010 Change
Equipment	---	38	3,040	3,002

The FY 2010 request includes a \$3,002 increase in supplies and materials to cover the cost of National Capital Region information technology infrastructure costs.

I. Changes in FTE

Department of Homeland Security
Office of Health Affairs
 Changes in Full-Time Equivalents

	FY 2008	FY 2009	FY 2010
	Actual	Enacted	Request
Base: Year-end Actual from Prior Year	8.0	76.0	80.0
INCREASES			
Increase #1:			
Description: Annualization of FY 2010 Positions			4.0
Increase #2:			
Description: Increases by PPA:			
BioWatch	1.0		
National Biosurveillance Integration Center	2.0		
Rapidly Deployable Chemical Detection System	1.0		
Planning and Coordination	8.0		
Salaries Expenses	13.0	4.0	
Increase #3:			
Description: Transfer from S&T	2.0		
Sub-Total Increases	27.0	4.0	4.0
DECREASES			
Not Applicable			
Sub-Total Decreases	0	0	0
Year-end Actual/Estimated FTEs	35.0	80.0	84.0
Net Change from prior year base to Budget Year Estimate:		4.0	4.0

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity

**Department of Homeland Security
Office of Health Affairs**

FY 2010 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	Increase / Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Salaries and Expenses	6,124	9,351	7,240	(2,111)
Total Working Capital Fund	\$6,124	\$9,351	\$7,240	(\$2,111)

Department of Homeland Security

Office of Health Affairs

Biodefense Countermeasures



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

OFFICE OF HEALTH AFFAIRS BIODEFENSE COUNTERMEASURES

I. Appropriation Overview

A. Mission Statement for Biodefense Countermeasures:

The Biodefense Countermeasures program procures medical countermeasures to strengthen the Nation's preparedness against chemical, biological, radiological, and nuclear (CBRN) attacks, including promoting the removal of barriers to development and production processes that the Government undergoes to pre-purchase critically needed vaccines or medications for biodefense. The Project Bioshield Act of 2004 authorized the 10-year program to encourage the development and production of new medical countermeasures for chemical, biological, radiological, and nuclear (CBRN) agents. Provisions of this Act were designed to provide incentive for private companies, which might otherwise be discouraged due to inherent risks in product development and lengthy timelines to licensure, to develop these countermeasures by guaranteeing a government market for successfully developed countermeasures. Biodefense Countermeasures is thus a procurement program, allowing the Federal Government to enter into contracts to acquire countermeasures while they are still in development. Successful countermeasures are delivered to the Strategic National Stockpile (SNS) at an agreed upon price and quantity, as well as at a development stage demonstrating sufficient safety and efficacy. The Biodefense Countermeasures program strengthens the Nation's preparedness against CBRN attacks through acquiring civilian medical countermeasures to CBRN agents for the SNS.

B. Budget Activities:

In FY09 the Biodefense Countermeasures funding supported coordinated efforts to remove barriers to development and production processes and enabled the government to pre-purchase critically needed vaccines or medication for biodefense once production of licensable products that will be safe and effective enough to place in the SNS were judged scientifically feasible. The Department of Health and Human Services (HHS) was the procuring authority.

The Biodefense Countermeasures procurement process requires actions by DHS, HHS, and the President, and relies on interagency working groups. Specifically, the DHS Office of Health Affairs (OHA) coordinates with HHS through interagency working groups to determine program requirements, priorities and acquisitions. DHS is instrumental in the very first stage of this process – identifying and prioritizing programs for the development and acquisition of medical countermeasures – by establishing a relative hierarchy of CBRN threat classes. Each of the threat classes and agents within a given threat class are distinct in their likelihood of use and in their potential medical and public health consequences. DHS' Directorate of Science & Technology (S&T), in conjunction with the Office of Health Affairs, has the lead in considering the best available intelligence, law-enforcement, scientific, and public-health information to identify and prioritize CBRN threats. DHS uses this as the basis for issuing Material Threat Determinations (MTDs) which identify agents presenting a material threat sufficient to affect national security (an MTD issued by the Secretary of DHS is required for procurement using Biodefense Countermeasures funds and authorities.) DHS then conducts a Population Threat Assessment (PTA) (formerly referred to as Material Threat Assessments (MTAs)) to estimate the size of the

population exposed to the agents identified in the MTDs and gauge the impact on the population and national infrastructure if that particular agent was released for a given plausible, high consequence scenario. Once the MTDs are issued and PTAs are completed for any given threat, the results are provided to HHS to inform subsequent medical and public health consequence assessments. These inputs are used to inform medical countermeasure requirements which are developed by interagency working groups as part of the Public Health Emergency Medical Countermeasures Enterprise (PHEMCE), a coordinated interagency effort which HHS created in July 2006 to take a more integrated, systematic end-to-end approach to the medical countermeasure mission – including research, development, acquisition, storage, maintenance, deployment, and guidance for utilization. Upon identification of countermeasures that meet the eligibility requirements to warrant use of the Special Reserve Fund (SRF), the Secretary of DHS and the Secretary of HHS jointly requested that OMB release funds to HHS from the SRF to acquire the countermeasures. Under section 319F-2(c) (7) (C) of the Public Health Service Act, as amended, HHS is ultimately responsible for managing the countermeasure procurement process including the negotiation of terms and entering into contracts for research, development, acquisition, procurement, storage and distribution of countermeasures. The PHEMCE process was the vehicle by which DHS provided input on the medical countermeasure continuum ranging from research and development to storage, maintenance, and deployment.

C. Budget Request Summary:

The Biodefense Countermeasures program was transferred to the OHA from FEMA under the Department's Second Stage Review (2SR) in 2006. Although all the funds for this account were provided in the 2004 Department of Homeland Security Appropriations Act, only a portion became available for obligation upon enactment. The act specified that no more than \$890 million could be obligated in FY04, and no more than \$3.4 billion could be obligated from FY04 through FY08. Any money not obligated within these defined periods would remain available through FY13. Thus, before rescissions were enacted, DHS had \$890 million available as budget authority for this account in FY04. In FY05, an additional \$2.5 billion would have become available. In FY 09, the remaining \$2.175 billion became available for use to purchase the countermeasures. However, in FY 09, Congress transferred \$412 million from the SRF to HHS for advanced development of countermeasures. Given the lower than expected obligation rate, the budget proposes to transfer the remaining balances in the SRF, estimated to be \$1.569 billion in FY 2010, to HHS to boost funding for advanced development of countermeasures and to support countermeasure procurement done by HHS. This action will eliminate the SRF for future procurements and transfer the responsibility to procure next-generation medical countermeasures to HHS.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
Office of Health Affairs
Biodefense Countermeasures
 Summary of FY 2010 Budget Estimates by Program/Project Activity
 (Dollars in Thousands)

Program/Project Activity	FY 2008 Actual*		FY 2009 Enacted*		FY 2010 Request*		Increase (+) or Decrease (-) For FY 2009 *					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Biodefense Countermeasures	---	0	---	2,175,000	0	0	---	(2,175,000)	---	(2,175,000)	---	0
Subtotal, Enacted Appropriations/Budget Estimates	---	\$0	---	\$2,175,000	0	\$0	---	(\$2,175,000)	---	(\$2,175,000)		\$0
Net, Enacted Appropriations and Budget Estimates	---	\$0	---	\$2,175,000	---	\$0	---	(\$2,175,000)	---	(\$2,175,000)	---	\$0

* In accordance with H.R.2555 Biodefense Countermeasures was appropriated, "For necessary expenses for securing medical countermeasures against biological terror attacks, \$5,593,000,000, to remain available until September 30, 2013; Provided, That not to

III. Current Services Program Description by PPA

Department of Homeland Security
Office of Health Affairs
Biodefense Countermeasures
Program Performance Justification
(Dollars in thousands)

PPA: Biodefense Countermeasures

PPA: Biodefense Countermeasures

	Perm Pos	FTE	Amount
2008 Actual	---	---	0
2009 Enacted	---	---	2,175,000
2010 Adjustments-to-Base	---	---	0
2010 Current Services	---	---	0
2010 Program Change	---	---	0
2010 Request	---	---	0
Total Change 2009-2010	---	---	(2,175,000)

CURRENT SERVICES PROGRAM DESCRIPTION:

The Biodefense Countermeasures program, provided through advanced appropriations, supported the Government's efforts to secure medical countermeasures to strengthen the Nation's preparedness against CBRN attacks, including promoting the removal of barriers to development and production processes and pre-purchasing critically needed vaccines or medication for biodefense.

To date, ten contracts have been awarded through the Project BioShield program using the Strategic Reserve Fund (SRF). Delivery to the SNS has begun (or been completed) for three of the seven following products:

- Pediatric liquid formulation of potassium iodide (radionuclide blocking agent): \$5.7 million for 1.7 million one-ounce bottles; delivery to the SNS was completed in September 2005. In FY06, contract was modified to provide \$11.8 million for 3.1 million additional bottles; delivery to the SNS is on-going;
- Anthrax Vaccine Adsorbed (AVA): \$122.7 million for 5 million doses; delivery to the SNS has been completed. In FY06 contract modified to provide \$120 million for 5 million additional doses of AVA; delivery to the SNS is on-going. In FY 07, another contract was issued to supply 18.75 million doses of AVA for placement into the SNS \$448 million.
- Calcium and Zinc Diethylenetriaminepentaacetate (DTPA) (chelating agents that remove radioactive particulates from the body): \$21.9 million for 474,739 doses; delivery to the SNS was completed in April 2006.
- Contracts were issued in FY06 for two different anthrax therapeutics (\$309 million) and for botulinum antitoxins \$415 million.
- A contract was awarded in June 2007 for \$500 million to manufacture and deliver 20 million doses of a next generation modified vaccinia Ankara (MVA) smallpox vaccine.

In FY07 the Program completed delivery of second 5 million doses of AVA; completed delivery of second 2.3 million bottles of pediatric potassium iodide (KI) to SNS; began delivery of anthrax immune globulin to the SNS; delivered additional botulinum antitoxin to the SNS; and awarded a contract for modified vaccinia Ankara smallpox vaccine.

In FY08, the Program issued Requests For Proposals (RFPs) for anthrax recombinant Protective Antigen (rPA) vaccine and treatments for Acute Radiation Syndrome; began delivery of the modified vaccinia Ankara (MVA) smallpox vaccine to the SNS; and continued delivery of botulinum antitoxin and anthrax immune globulin to the SNS.

FY 2008 Accomplishments

Planned RFPs and acquisition contracts in FY 2009 that included:

- Anthrax recombinant Protective Antigen (rPA) vaccine; and
- Medical countermeasure(s) for Acute Radiation Syndrome.

FY 2009 initiatives coordinated with HHS

Mid-term (FY 2010-2013) planned acquisitions using the SRF include:

- Diagnostics;
- Broad spectrum antibiotic(s);
- Anthrax antitoxin(s);
- Medical countermeasure(s) for Filoviruses;
- Smallpox antiviral(s);
- Medical countermeasure(s) for Acute Radiation Syndrome;
- Radiological biodosimetry/bioassay(s); and
- Radionuclide-specific agent(s).

In addition, Project BioShield material threat determinations (MTDs) and population (material) threat assessments (PTAs) for all traditional biological agents posing a threat sufficient to affect national security were completed in FY 2007. In FY 2009, DHS will continue to evaluate biological agents, as well as chemical, and issue MTDs and conduct PTAs as appropriate. These determinations and assessments are required to inform medical countermeasure requirement setting and support the use of the Biodefense Countermeasures account for the acquisition and stockpiling of medical countermeasures against the designated agents.

IV. Program Justification of Changes

Program justification changes are not requested for Biodefense Countermeasures.

V. Exhibits and Other Supporting Materials

Not Applicable

B. FY 2009 to FY 2010 Budget

**Department of Homeland Security
Office of Health Affairs
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual	0	0	0
FY 2009 Enacted	0	0	2,175,000
Adjustments to Base (ATB)			
Increases			
Annualization of Prior Year Funding.....	---	---	0
Annualization of FY 2009 Pay Raise.....	---	---	0
FY 2010 Pay Increase.....	---	---	0
Non-Pay Inflation.....	---	---	0
Total Increases	---	---	0
Decreases			
Non-Recurring Costs.....	---	---	0
Total Decreases	---	---	0
Total Adjustments-to-Base	---	---	0
2010 Current Services	---	---	0
Within Guidance Program Changes			
Program Increases/(Decreases)			
BioShield.....	---	---	0
Total Program Changes	---	---	0
2010 Request	---	---	0
2009 to 2010 Total Change	---	0	(2,175,000)

C. Summary of Requirements

Department of Homeland Security
Office of Health Affairs
Biodefense Countermeasures
 Summary of Requirements
 (Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	0	---	\$0
2009 Enacted	---	---	\$2,175,000
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	---	---	---
Increases	---	---	---
Decreases	---	---	---
Total Adjustments-to-Base	---	---	---
2010 Current Services	---	---	\$0
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	---	---	---
2010 Total Request	---	---	\$0
2009 to 2010 Total Change	---	---	(\$2,175,000)

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Biodefense Countermeasures			2,175,000			0			0			0			(2,175,000)
Total	---	---	\$2,175,000	---	---	\$0	---	---	\$0	---	---	\$0	---	---	(\$2,175,000)

D. Summary of Reimbursable Resources

Not Applicable

E. Summary of Requirements by Object
Office of Health Affairs
Biodefense Countermeasures
Summary of Requirements by Object Class
(Dollars in Thousands)

Object Classes	FY 2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	---	---	---	---
11.3 Other than full-time permanent	---	---	---	---
11.5 Other Personnel Compensation	---	---	---	---
11.8 Special Service Pay	---	---	---	---
12.1 Benefits	---	---	---	---
13.0 Benefits - former	---	---	---	---
Total, Personnel Comp. & Benefits	\$0	\$0	\$0	\$0
Other Object Classes:				
21.0 Travel	---	---	---	---
22.0 Transportation of things	---	---	---	---
23.1 GSA rent	---	---	---	---
23.2 Other rent	---	---	---	---
23.3 Communications, utilities, & other misc. charges	---	---	---	---
24.0 Printing and reproduction	---	---	---	---
25.1 Advisory and assistance services	---	---	---	---
25.2 Other services	---	---	---	---
25.3 Purchases of goods & svcs. from Gov't accounts	---	2,175,000	---	(2,175,000)
25.4 Operation & maintenance of facilities	---	---	---	---
25.5 Research and development contracts	---	---	---	---
25.6 Medical care	---	---	---	---
25.7 Operation and maintenance of equipment	---	---	---	---
25.8 Subsistence and support of persons	---	---	---	---
26.0 Supplies and materials	---	---	---	---
31.0 Equipment	---	---	---	---
32.0 Land & structures	---	---	---	---
41.0 Grants/Subsidies/Contributions	---	---	---	---
42.0 Indemnity	---	---	---	---
43.0 Interest & dividends	---	---	---	---
44.0 Refunds	---	---	---	---
91.0 Unvouchered	---	---	---	---
99.0 Other	---	---	---	---
Total, Other Object Classes	\$0	\$2,175,000	\$0	(\$2,175,000)
Total, Direct Obligations	\$0	\$2,175,000	\$0	(\$2,175,000)
Unobligated balance, start of year	1,800,000	375,000	---	---
Unobligated balance, end of year *	(375,000)		---	
Recoveries of prior year obligations		---	---	---
Total requirements	\$1,425,000	\$2,550,000	\$0	(\$2,175,000)

F. Permanent Positions by Grade

Not Applicable.

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications

Not Applicable

I. Changes in FTE

Not Applicable

J. Working Capital Fund

Not Applicable

Department of Homeland Security

Office of Health Affairs



Fiscal Year 2010
Strategic Context
Congressional Justification

FY 2010 CONGRESSIONAL JUSTIFICATION STRATEGIC CONTEXT

Office of Health Affairs

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A. Mission and Description of Component

The Office of Health Affairs (OHA) serves as the Department of Homeland Security's (DHS) principal agent for all medical and health matters. Working throughout all levels of government and the private sector, OHA leads the Department's role in developing and supporting a scientifically rigorous, intelligence-based biodefense and health preparedness architecture to ensure the security of our Nation in the face of all hazards.

OHA has four strategic goals that coincide with the strategic goals of the Department:

- 1) Serve as the principal medical authority for the Department of Homeland Security (including all Components);
- 2) Lead the Department's biodefense activities, to include policy, strategy, requirements, operational programs and metrics;
- 3) Lead the Department's public health and medical preparedness and planning activities; and,
- 4) Ensure that DHS employees are supported by an effective Health and Safety Program.

OHA provides critical medical and public health information to DHS components and programs as well as to other Federal agencies. OHA provides risk and threat assessments to guide preparedness activities, planning, and incident management. OHA also provides occupational and operational medicine, health, and safety guidance for the DHS offices and components. OHA is also responsible for the Department meeting the requirements in HSPD-9: Defense of the United States Agriculture and Food, by ensuring that medical, public health and safety variables are fully considered and accurately addressed.

B. Major Activities and Key Strategic Goals

BioWatch - The BioWatch program provides early detection capabilities to detect pathogen-specific nucleic acid in the air. To reduce detection time (currently estimated at 10-34 hours after collection), FY09 BioWatch funds will support the development, procurement, and testing and evaluation of a next-generation autonomous biodetection system (called Generation-3). Generation-3 will reduce time to detect to between 4-6 hours, increase population coverage, and provide greater cost effectiveness. In FY10, OHA will complete the prototype unit field testing and data analysis for candidate autonomous detection technology platforms in preparation for system procurement, and will complete operational testing on production units in FY 2011. 2012. Testing and evaluation efforts will ensure that a viable next-generation autonomous detection capability is available. This effort supports the Department in strengthening our Nation's preparedness and emergency response capabilities.

Rapidly Deployable Chemical Detection System – The Rapidly Deployable Chemical Detection System (RDCDS) is part of a larger effort to provide leadership and direction to a comprehensive chemical defense program. In FY10, RDCDS will incorporate State and local chemical vulnerability assessments and emergency response planning documents into its deployment operations. OHA will continue devising a chemical defense architecture to provide the necessary overarching guidance for efforts to prevent and respond to a catastrophic chemical event. The long-term goal of RDCDS is to ensure chemical detection systems are in place throughout the Nation to protect the population from chemical events. Through its efforts to coordinate with State and local partners, RDCDS will support the Department in protecting the Nation from dangerous goods and strengthening our Nation's preparedness and emergency response capabilities.

National Biosurveillance Integration Center – The National Biosurveillance Integration Center (NBIC) provides a homeland security-relevant biosurveillance common operating picture (BCOP) to senior leaders and partner agencies regarding natural disease outbreaks, accidental or intentional uses of biological agents, and emergent biohazards. NBIC supports planning, preparedness, and response efforts at the State and local level. Efforts in FY10 will focus on engaging State and local partners to participate in NBIC. OHA will also work with international partners to obtain a global biological surveillance picture. Incorporating critical partners into NBIC will further protect the Nation from dangerous people and goods, and strengthen our Nation's preparedness and emergency response capabilities.

Office of Medical Readiness – The Office of Medical Readiness works collaboratively with Federal interagency partners, State and local officials, academia, the non-profit sector and the private sector to protect human and animal health from natural or man-made events which includes protection of and reduction of vulnerabilities in the Nation's food supply, agriculture, the environment and medical infrastructures; including sustaining public health and private healthcare operations during significant events. Medical Readiness programs support the DHS goals to strengthen our Nation's preparedness and emergency response capabilities, and strengthen and unify DHS operations and management.

Plans and Policy supports medical and public health planning for the National Planning Scenarios in coordination with the Office of Operations Coordination, providing subject matter expertise on health issues to inform the Integrated Planning System through Federal plans development with the Incident Management Planning Team (IMPT). The program assures that health impacts are fully integrated into all Federal plans, and interfaces with State, local, and tribal planning entities to ensure planning consistency.

Incident Coordination - Operations is the primary source for situational awareness for OHA and during incidents of national significance. The program provides incident management and guidance, coordinating the Department's efforts in responding to health-related issues during disasters, mass casualty incidents, and national special security events.

National Biodefense Architecture (NBA) works across local, federal, state, local communities, tribal and territorial governments and with the private sector, to lead the Department in the establishment of a scientifically rigorous, intelligence-based, medical biodefense architecture that ensures the health and medical security of our Nation. The NBA is specified directly within DHS Strategic Goal #2, Protect our Nation from Dangerous Goods, Objective 2.2, Prevent, Detect and Protect Against Biological Attacks. Objective 2.2 states "We will lead efforts to establish an integrated National Bio-defense Architecture."

Regional Programs facilitates integration of emergency management and medical response capabilities at the regional, State, and local levels as well as the private sector to leverage resources. This program provides subject matter expertise to other DHS programs that foster collaborative regional engagement and community resiliency.

Mitigation and Capabilities Enhancement (MACE) leads interagency alignment of health preparedness grants and identifies and addresses gaps in resources. MACE works in coordination with FEMA's Grants Program Division on ensuring health and medical issues are appropriately addressed and incorporated into DHS grant programs.

Medical First Responder Coordination (MFRC) supports the Department's goals as the DHS representative to State, tribal, territorial and local medical first responder and emergency medical services (EMS) and as the DHS representative to the Federal Interagency Committee on EMS (FICEMS). The goal of the MFRC program is to build upon accomplishments by providing authoritative and evidence-based guidance in disaster preparedness to the first responder and EMS communities.

Health Security Intelligence Enterprise integrates Public Health and Healthcare Community (PH/HC) interests into national standards, protocols, and mechanisms for homeland security information and intelligence exchange. These goals will be achieved by promoting PH/HC representation within the national network of State and Local Fusion Centers, and by facilitating the development of a network of existing and emerging PH/HC information and intelligence analysis nodes and affiliate stakeholders. These efforts will foster communication and collaboration among PH/HC organizations and between the PH/HC, the Federal homeland security and intelligence communities, and State, local, and Tribal law enforcement and public safety stakeholders.

Food, Agricultural and Veterinary Defense - The Food, Agricultural and Veterinary Defense Division (FAV Defense), working with all levels of government and the private sector, leads the coordination of the Department's programs to ensure the security of our Nation's food, agriculture, and human and animal health in the face of all hazards. FAV Defense began development of a Defense of Food and Agriculture Dashboard (the Dashboard) and Collaboration Portal on the Office of Management and Budget (OMB) MAX Website in FY09. In FY10, the Dashboard will continue to incorporate Federal partners' work regarding HSPD 9: Defense of U.S. Agriculture and Food. FAV Defense's efforts to promote collaboration and coordination among the interagency support the Department in protecting the Nation from dangerous people and goods and strengthening the Nation's preparedness and emergency response capabilities.

Office of Component Services – Component Services programs support the DHS goal to strengthen and unify DHS operations and management.

Occupational Medical Services assists the Department in the development of strategy, policy, requirements and metrics for the medical aspects of a department-wide occupational health and safety program. The goal of the program is to provide health and medical consultation resources and assistance at a leadership level on a 24/7 basis. OHA's consultation services will ensure regulatory compliance and consistency with industry best practices in support of various components' missions with regard to medical, health and safety considerations.

Workforce Health Protection - DHS' ability to protect the Nation in the event of a disaster, natural or terrorist, depends on the safety and health of its workforce. This program develops and provides to DHS employees deployment health guidelines and policies, health protection guidelines in dangerous work environments, facilitated health screening programs, and mechanisms to support a physical fitness culture to help ensure that workforces are physically able to support the Department's missions while minimizing health threats and work-related disability.

Operational Medicine Support - DHS has thousands of medical personnel deployed throughout the country. They provide care for wide-ranging and often remotely deployed personnel. They are also directly engaged in the humanitarian rescue of migrants who have fallen victim to varying dangerous conditions in an attempt to enter the United States. OHA is creating a credentialing and medical oversight framework. Current programs include standardization of Austere Medicine and Tactical Protocols and the purchase of a learning management system and an electronic medical record system. Future goals include standardization and cross training of medical response, guaranteeing integration of the DHS medical assets.

Office of International Affairs and Global Health Security – This program enhances OHA's executive decision-support to DHS leadership by coordinating international engagement and ensuring that health related global lessons learned and best practices are applied domestically. This includes an all-hazard, multi-sector approach to countering trans-border health threats and

natural or man-made catastrophic disasters. International Affairs and Global Health Security efforts help the Department in strengthening the Nation's preparedness and emergency response capabilities.

C. Resources Requested and Performance Impact

The Office of Health Affairs requests 84 positions, (84 FTE), and \$138 million. The total adjustments to base is 4 FTE and \$.5 million. The FY10 budget request reflects a reduction in the current services level of \$19.2 million. This reduction will affect several programs in the Office of Medical Readiness including the National Biodefense Architecture, the Health Security Intelligence Enterprise and OHA's ability to lead the Department's efforts in Pandemic Influenza (PI) preparedness and coordination.

BioWatch – In FY09 OHA will maintain Generation-1 and Generation-2 baseline capabilities in approximately 30 jurisdictions throughout the Nation, providing early detection of biological airborne agents. OHA will also initiate a field test program for Generation-3 autonomous detectors. The FY10 request will support prototype unit field testing and data analysis for candidate autonomous detection technology platforms in preparation for system procurement, and will complete operational testing on production units in FY 2011. Funds will also support the initial production procurement of up to 63 Generation-3 autonomous detectors for operational testing and evaluation.

Rapidly Deployable Chemical Detection System (RDCDS) – In FY09 OHA will upgrade surveillance capabilities for NSSE and DHS SEAR Level I and II Events (2009 Rose Bowl, 2009 Super Bowl, and the 2009 Presidential Inauguration). OHA will also validate intelligence information on chemical compounds, conduct a market survey and evaluate chlorine gas detection equipment, and collaborate with the Environmental Protection Agency (EPA) regarding aerial surveillance efforts. The FY10 request supports ongoing program operation and maintenance, deployment to NSSE and DHS SEAR Level I and II Events, and the procurement, installation, and validation of equipment for aerial surveillance and detection of chlorine gas.

National Biosurveillance Integration Center (NBIC) – In FY09 NBIC will continue its analysis and collection of biosurveillance data. OHA will reach out to State, local, tribal, territorial, private sector, and international partners to encourage participation in NBIC. The FY10 request supports ongoing program operation and maintenance, integrates the Biosurveillance Common Operating Picture (BCOP) with an information technology architecture, and supports an upgrade of the systems infrastructure to implement data-sharing services and provide access to additional data resources across the biological and surveillance communities.

Office of Medical Readiness

Plans and Policy - The program assures that health impacts are fully integrated into all Federal plans, and interfaces with State, local, and tribal planning entities to ensure planning consistency. In FY09, Plans and Policy will complete health subject matter content for Strategic Guidance

Statements related to biological events. The FY10 request will provide capacity to review health subject matter content for Federal strategic plans related to biological events.

Incident Coordination - Operations – In FY09, the division provided health experts at the National Operations Center (NOC) and the FEMA National Response Coordination Center (NRCC) to inform DHS’ leadership on all health related issues arising from current operations. The program also provided medical and public health expertise to various exercise and training programs, including departmental and national-level events. Also in FY09, personnel provided support to the FEMA Incident Management Assistance Teams (IMAT) by deploying OHA staff with the teams to provide on the ground situational awareness of medical conditions before and during incidents and to provide any necessary medical care to team members. This program provided critical support to the Presidential Inauguration, hurricanes, and other emerging national incidents. On behalf of the Department, this program also conducted two PI exercises, an anthrax exercise with New York City, and conducted an exercise with the National Governors Association. The FY10 request supports medical and public health expertise to incident management, including some support to the NOC and NRCC during incidents, and exercise support.

Mitigation and Capabilities Enhancement (MACE) – In FY09, MACE began development of CoPASS, a database that will make it easier for public health and medical stakeholders to find Federal grant funding, training and exercise opportunities, and standards. MACE also supports FEMA’s efforts to evolve the health and medical target capabilities, an initiative started in FY09 that will continue in FY10.

Medical First Responder Coordination (MFRC) – In FY09, this program provided DHS representation to the Federal Interagency Committee on EMS (FICEMS), and to the external medical first responder and emergency medical services (EMS) communities. MFRC staff also provided support to the FEMA United States Fire Administration on medical first responder issues. The program began work in FY09 on an EMS assessment tool, which will be the basis of an EMS assessment. The MFRC goal is to lead the Department’s role in improving medical first responder readiness for catastrophic incidents, activities that will continue with the FY10 request.

Food, Agriculture, and Veterinary Defense – In FY09 FAV Defense continued to lead the Department’s efforts to ensure the safety and security of the Nation’s food supply. OHA will complete the development of the Strategic Plan for catastrophic Foreign Animal Disease (Foot and Mouth Disease) and Food Contamination scenarios and will continue to develop and encourage collaboration among partners via the Dashboard. In FY10 OHA will continue its efforts to coordinate with all level of government and the private sector, will complete the Dashboard, and will complete the Preparedness and Response Benchmarking Tool Kit to enhance preparedness at the State and local level.

Office of Component Services

Occupational Medical Services – FY09 funding established the Virtual Medical Support System (VMMS). In cooperation with the Management Directorate, the program also developed a

comprehensive set of Safety and Health Policies beginning with existing "best practices" program throughout government. The FY10 request continues development of a common set of standards, policies, and training opportunities for occupational medical aspects of occupational safety and health programs across the Department.

Workforce Health Protection – In FY09, this program will draft workforce health protection and wellness related materials for use throughout the Department including model wellness newsletters and policy-based health protection guidelines for situations such as disaster related deployment and international travel. In coordination with S&T and MGMT, the program will work in FY10 to define the requirements for job appropriate personal protective equipment, vaccinations, and post exposure prophylaxis. The FY10 request will also allow OHA to support implementation of a risk management information capability throughout the Department.

Operational Medicine Support – In FY09, the program began development of credentialing and medical oversight framework, drafted Austere Medicine and Tactical Protocols and advanced a learning management system and an electronic medical record system. The FY10 request will allow the establishment a credentialing program throughout DHS to ensure adequate credentialing of medical personnel in conjunction and partnership with the component agencies. This process will set minimum standards for working as a medical provider within the Department. In addition, the FY10 request will fund a Quality Assurance Program that will set standards and metrics for measuring quality of care, provide insight into training and certification needs, and reduce the liability risk of the Department.

Office of International Affairs and Global Health Security – In FY09, this program collected and applied lessons learned from the International community through the Lessons without Borders Initiative (Lw/oB). The FY10 request will continue to provide a framework for information sharing between national and international governmental, non-governmental, academic and private sector organizations to improve knowledge and decision-making on global health security issues.

Management & Administration - Provide Salaries and Expense funding including annualization of prior years, and annualization of the FY09 pay raise (4 FTEs and \$1.2 million increase). In FY09, OHA provided enhanced financial reporting and internal controls, developed policy in the areas of budget, performance metrics, strategic planning and internal controls, provided space and facilities management to meet the needs of OHA's personnel ceiling, and developed of a Human Capital Management hiring strategy to meet OHA's personnel ceiling. The FY10 request will continue to provide a full range of administrative services to the OHA personnel, continue to provide space and facilities management to meet the needs of OHA's personnel, and enhance the range of administrative services provided to OHA personnel to strengthen the workforce and install additional internal controls to improve program management.

D. Performance Highlights, Resources, and Alignment to Strategic Goals

Program: Medical and Biodefense Programs
Performance Goal: Bolster the Nation's biodefense readiness by enhancing the national architecture to rapidly detect, characterize, and respond effectively to a large-scale biological

event.						
Goal 2 – Protect our Nation from Dangerous Goods – 84%						
Goal 4 – Strengthen our Nation’s Preparedness and Emergency Response Capabilities – 16%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	None	None	12,980	\$118,330	\$157,191	\$138,000
FTE	None	None	22	49	80	84

Performance Plan Measures

Measure: Number of agencies who have agreed to provide information to the National Biosurveillance Integration System (NBIC).						
Description of Measure: The goal of the National Biosurveillance Integration Center (NBIC) is to increase the number of Federal, State, local agencies and private entities that share biological information. This measure demonstrates how many Federal agencies are actively sharing biological information by providing data feeds into the National Biosurveillance Integration System (NBIS). Using the input from these Federal data feeds as well as data feeds from state and local entities, NBIC is able to make potential or emerging biological threat information available to its member agencies to improve response to biological events. NBIC makes this information available to member agencies regardless of whether or not they provide input into the system. Agency participation and information exchange involves adequate consideration of major issues and documentation of the exchange details pertaining to privacy rights, system compatibility issues, and information security.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	Baseline	5	10	10	12
Actual:	None	0	7	7	N/A	N/A

Measure: Number of biological monitoring units employed in high-risk indoor facilities within BioWatch jurisdictions.						
Description of Measure: This performance measure captures the number of monitoring units, designed to detect the release of biological agents, within the facilities or complexes of BioWatch jurisdictions. A BioWatch jurisdiction includes the largest metropolitan areas in the U.S. The higher number of units employed, the larger number of people protected from a potential biological attack.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	66	116	38
Actual:	None	None	None	33	N/A	N/A

Measure: Percent of the population in BioWatch jurisdictions covered by outdoor biological monitoring units.						
Description of Measure: This measure calculates the percent of the population in the BioWatch jurisdictions that is covered by outdoor biological monitoring units. Population covered by these units can be warned and identified for treatment prior to becoming symptomatic as a consequence of an outdoor release of biological agent. A BioWatch jurisdiction includes the largest metropolitan areas in the U.S. This measure is an estimate based on performance (i.e., probability of detection) and range (i.e., protection area) of the monitoring units. This measure includes the population within BioWatch jurisdictions and estimates the coverage provided by biological monitoring units.						

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	UCI	UCI	UCI
Actual:	None	None	None	UCI	N/A	N/A

Measure: Time between an indoor monitoring unit exposure to a biological agent and the declaration of a confirmed positive sample result.

Description of Measure: This performance measure calculates the time between an indoor monitoring unit exposure to a biological agent and the declaration of a confirmed positive sample result by the local laboratory official. There are a number of factors that influence the time gauged by this measure such as the number of units and the type of technology. For instance, the higher the number of autonomous indoor biological monitoring units employed, the shorter the time will be between the release of a biological agent and the declaration of a confirmed positive sample result. An autonomous indoor biological monitoring unit is a type of sensor that collects airborne particles and performs sample analysis. By performing the sample analysis at the monitoring site, automated detection systems significantly reduce the time between a biological release and detecting confirming that an event has occurred.

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	< 17 hours	< 33 hours	< 33 hours
Actual:	None	None	None	33 hours	N/A	N/A

Measure: Time between an outdoor monitoring unit exposure to a biological agent and the declaration of a confirmed positive sample result.

Description of Measure: This performance measure calculates the time between an outdoor monitoring unit exposure to a biological agent and the declaration of a confirmed positive sample result by the local laboratory official. There are a number of factors that influence the time gauged by this measure such as the number of units and the type of technology. For instance, the higher the number of autonomous outdoor biological monitoring units employed, the shorter the time will be between the release of a biological agent and the declaration of a confirmed positive sample result. An autonomous outdoor biological monitoring unit is a type of sensor that collects airborne particles and performs sample analysis. By performing the sample analysis at the monitoring site, automated detection systems significantly reduce the time between a biological release and detecting confirming that an event has occurred.

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	< 36 hours	< 36 hours	< 36 hours
Actual:	None	None	None	36 hours	N/A	N/A

E. Digest Tables by Future Year Homeland Security Program (FYHSP) Program

Digest of FY 2010 Budget Estimates by Activity and FYHSP Program (dollars in thousands)						
FYHSP Program	FY2008 Actual		FY2009 Enacted		FY2010 Request	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Medical & Biodefense	49	\$118,637	80	\$157,191	84	\$138,000
BioWatch	0	78,185	0	111,606	0	94,513
NBIC	0	9,981	0	8,000	0	8,000
RDCDS	0	2,587	0	2,600	0	2,600
Planning & Coordination	0	4,548	0	5,775	0	2,476
Salaries & Expenses	49	23,336	80	29,210	84	30,411
Total Budget Authority	49	\$118,637	80	\$157,191	84	\$138,000

Department of Homeland Security

Federal Emergency Management Agency



Fiscal Year 2010
Congressional Justification

FEMA One-Time Exhibits

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i. Summary of FY 2010 Budget Estimates by Appropriation

**Department of Homeland Security
Federal Emergency Management Agency**
Summary of FY 2010 Budget Estimates by Appropriation
Total Appropriations
(Dollars in Thousands)

Budget Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Assistance to Firefighter Grants	48	575,646	54	775,000	---	---	(54)	(775,000)	---	---	(54)	(775,000)
Cerro Grande Fire Claims	1	1,531	---	(9,000)	---	---	---	9,000	---	---	---	9,000
Disaster Assistance Direct Loan Program	3	4,526	3	295	---	295	(3)	---	---	---	(3)	---
Disaster Relief Fund	7,061	10,920,466	2,738	1,400,000	2,738	2,000,000	---	600,000	---	---	---	600,000
Emergency Food and Shelter	0	153,000	---	200,000	---	100,000	---	(100,000)	---	---	---	(100,000)
Flood Map Modernization	27	219,781	43	220,000	43	220,000	---	---	---	---	---	---
National Flood Insurance Fund	245	4,240,358	344	3,193,599	352	3,244,469	8	50,870	---	---	8	50,870
National Flood Mitigation Fund	0	17,450	---	---	---	---	---	---	---	---	---	---
Operations, Management, and Administration	2,077	\$691,224	2,296	\$837,437	2,697	\$852,200	401	14,763	6	\$23,245	395	(\$8,482)
Pre-Disaster Mitigation	6	75,131	15	90,000	15	150,000	---	60,000	---	60,000	---	---
Radiological Emergency Preparedness Program	85	(8,040)	170	(505)	170	(265)	---	240	---	---	---	240
State and Local Programs	173	3,176,323	269	3,155,700	587	3,867,000	318	711,300	0	---	318	711,300
Emergency Management Performance Grants	0	300,000	15	315,000	---	---	(15)	(315,000)	0	---	-15	(315,000)
United States Fire Administration	100	42,083	115	44,979	115	45,588	---	609	---	---	---	609
Subtotal, Enacted Appropriations and Budget Estimates	9,826	20,409,479	6,062	10,222,505	6,717	10,479,287	655	256,782	6	83,245	649	173,537
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	9,826	\$20,409,479	6,062	\$10,222,505	6,717	\$10,479,287	655	\$256,782	6	\$83,245	649	\$173,537

Federal Emergency Management Agency
Homeland and Non-Homeland Allocation by Program/Project Activity
(Dollars in Thousands)

Budget Activity	2008 Actuals						2009 Enacted						2010 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
State and Local Program	163	\$3,085,086	10	\$91,237	173	\$3,176,323	264	\$3,035,700	5	\$70,000	269	\$3,105,700	338	\$3,302,000	249	\$65,000	587	\$3,867,000
State and Regional Preparedness Program	---	---	---	---	---	---	---	---	---	---	---	---	161	\$1,655,000	---	\$390,000	161	2,045,000
Metropolitan Statistical Area (MSA) Preparedness Program	---	---	---	---	---	---	---	---	---	---	---	---	69	\$1,437,000	---	\$0	69	1,437,000
Training, Measurement and Exercise Program	---	---	---	---	---	---	---	---	---	---	---	---	108	\$210,000	---	\$0	108	210,000
Management & Administration	---	---	---	---	---	---	---	---	---	---	---	---	---	249	\$175,000	---	---	
State Formula Grants Program	47	1,982,939	10	91,237	57	2,074,176	67	1,926,000	5	70,000	72	1,996,000	---	---	---	---	---	0
Urban Area Security Initiative	31	819,969	---	---	31	819,969	48	837,500	---	---	48	837,500	---	---	---	---	---	0
National Exercise Program	26	49,978	---	---	26	49,978	40	40,000	---	---	40	40,000	---	---	---	---	---	0
State and Local Training Program	38	197,200	---	---	38	197,200	59	197,200	---	---	59	197,200	---	---	---	---	---	0
Technical Assistance Program	0	11,000	---	---	0	11,000	16	11,000	---	---	16	11,000	---	---	---	---	---	0
Evaluation and National Assessment Program	21	24,000	---	---	21	24,000	32	24,000	---	---	32	24,000	---	---	---	---	---	0
Assistance to Firefighter Grants	---	---	48	\$575,646	48	\$575,646	54	\$775,000	---	---	54	\$775,000	---	\$0	---	---	---	\$0
United States Fire Administration	---	---	100	\$42,083	100	\$42,083	---	---	115	\$44,979	115	\$45,588	---	---	---	---	---	---
Disaster Relief	---	---	7,061	\$10,920,466	7,061	\$10,920,466	---	---	2,738	\$1,400,000	2,738	\$1,400,000	---	---	2,738	\$2,000,000	2,738	\$2,000,000
Direct Assistance Disaster Loan Program Account	---	---	3	\$569	3	\$569	---	---	---	295	---	295	---	---	---	\$295	---	\$295
Limitation on Direct Loans - Subsidy	---	---	---	\$0	---	\$0	---	---	---	295	---	295	---	---	---	295	---	295
Administrative Expenses	---	---	3	\$569	3	\$569	---	---	---	---	---	---	---	---	---	---	---	---
Flood Map Modernization Fund	---	---	27	\$217,065	27	\$217,065	---	---	43	\$220,000	43	\$220,000	---	---	43	\$220,000	43	\$220,000
National Pre-Disaster Mitigation Fund	---	---	6	\$75,131	6	\$75,131	---	---	15	\$90,000	15	\$90,000	---	---	15	\$150,000	15	\$150,000
Emergency Food and Shelter	---	---	---	\$153,000	---	\$153,000	---	---	---	\$100,000	---	\$100,000	---	---	---	\$100,000	---	\$100,000
Management and Administration	118	\$95,721	1,961	\$95,503	2,079	\$691,224	186	\$259,770	2,110	\$577,667	2,296	\$837,437	214	\$279,006	2,483	\$573,194	2,697	\$852,200
Operations Activities	104	89,848	545	271,765	649	\$361,613	166	253,428	2,102	545,167	2,268	798,595	194	272,011	2,475	545,194	2,669	817,205
Management and Administration	---	---	1,408	289,261	1,408	289,261	---	---	---	---	---	---	---	---	---	---	---	---
United States Fire Administration	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---
National Capitol Region	14	5,873	---	---	14	5,873	20	6,342	---	---	20	6,342	20	6,995	---	---	20	6,995
Urban Search and Rescue	---	---	8	34,477	8	34,477	---	---	8	32,500	8	32,500	---	---	8	28,000	8	28,000
Total Direct Appropriations and Budget Estimates	281	3,180,808	9,216	12,670,700	9,497	15,851,507	504	4,070,470	5,026	2,502,941	5,530	6,574,020	552	3,581,006	5,528	3,608,489	6,080	7,189,495
<i>Fee Accounts</i>						---												
National Flood Insurance Fund	---	---	245	4,285,280	245	4,285,280	---	---	337	3,193,599	337	3,193,599	---	---	352	3,244,469	352	2,984,650
Salaries and Expenses	---	---	245	38,537	245	38,537	---	---	330	49,418	330	49,418	---	---	330	51,970	330	49,418
Floodplain Management	---	---	---	58,213	---	58,213	---	---	---	107,181	---	107,181	---	---	---	107,500	---	67,131
NFIF - Mandatory	---	---	---	4,143,608	---	4,143,608	---	---	---	2,911,300	---	2,911,300	---	---	---	2,965,000	---	2,884,650
Severe Repetitive Loss Mitigation	---	---	---	35,764	---	35,764	---	---	7	80,000	7	80,000	---	---	14	70,000	14	80,000
Repetitive Flood Claims	---	---	---	9,158	---	9,158	---	---	---	10,000	---	10,000	---	---	---	10,000	---	10,000
Flood Mitigation Activities	---	---	---	---	---	---	---	---	---	35,700	---	35,700	---	---	8	40,000	8	10,000
Offsetting Collections - Discretionary	---	---	---	(96,750)	---	(96,750)	---	---	---	(156,599)	---	(156,599)	---	---	---	(159,469)	---	(116,550)
Offsetting Collections Mandatory	---	---	---	(1,450,912)	---	(1,450,912)	---	---	---	(3,037,000)	---	(3,037,000)	---	---	---	(3,085,000)	---	(2,974,650)
National Flood Mitigation Fund	---	---	---	27,866	---	27,866	---	---	---	\$0	---	\$0	---	---	---	0	---	0
Offsetting Collections	---	---	---	(27,866)	---	(27,866)	---	---	---	0	---	0	---	---	---	0	---	0
Radiological Emergency Preparedness Program	---	---	85	(\$8,040)	130	(\$6,477)	---	---	170	(\$505)	170	(\$505)	---	---	170	(\$265)	170	(265)
Offsetting Collections	---	---	---	8,040	0	[27,930]	---	---	---	[28,435]	---	[28,435]	---	---	---	[28,700]	---	[28,700]

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

**Department of Homeland Security
Federal Emergency Management Administration**

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2009	15-Oct-08	P.L. 110-161	Monthly DRF Report (with amount provided to each federal agency for mission assignments, as per JES, and information related to Hurricanes Katrina, Rita, Wilma, and other disasters, including amounts allocated, obligated, and undistributed as per the House Report)	Submitted to the Hill
2009	15-Nov-08	P.L. 110-161	Monthly DRF Report (with amount provided to each federal agency for mission assignments, as per JES, and information related to Hurricanes Katrina, Rita, Wilma, and other disasters, including amounts allocated, obligated, and undistributed as per the House Report)	Submitted to the Hill
2009	29-Nov-08	H.R. 2638; P.L. 110-329	Firefighter Assistance Grants expenditure plan	Submitted to the Hill
2009	29-Nov-08	H.R. 2638; P.L. 110-329	DRF Expenditure Plan	Submitted to the Hill
2009	29-Nov-08	H.R. 2638; P.L. 110-329	Management and Administration program expenditure plan (State & Local)	Submitted to the Hill
2009	1-Dec-08	H.R. 2638; P.L. 110-329	DHS Secretary, in coordination with FEMA Administrator, shall report that processes to incorporate stakeholder input for grant guidance development have been: (1) developed to ensure transparency and increased consultation about security needs for all-hazards; (2) formalized and made clear to stakeholders; and (3) formalized to ensure future use for each fiscal year	At DHS Level
2009	15-Dec-08	P.L. 110-161	Monthly DRF Report	Submitted to the Hill
2009	29-Dec-08	JES to H.R. 2638	Report on the process put in place to track compliance with the biennial financial statement audits, certify the number of WYO insurance companies in compliance for fiscal year 2008 and that the audits have been reviewed by FEMA program managers, and an explanation for any participating companies not in compliance	Submitted to the Hill
2009	1-Jan-09	JES to H.R. 2638	Plan on outlining completion of conversion to IPAWS per House Report	At DHS Level
2009	15-Jan-09	P.L. 110-161	Monthly DRF Report	Submitted to the Hill
2009	15-Jan-09	H.R. 2638; P.L. 110-329	DRF Quarterly Report on obligations against the expenditure plan and justifications for any changes in spending	Submitted to the Hill

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

**Department of Homeland Security
Federal Emergency Management Administration**

2009	30-Jan-09	JES to H.R. 2638	The Administrator is directed to create an inter-agency task force to make recommendations to the Administrator for the best way to coordinate efforts to measure preparedness and how grant program expenditures contribute to preparedness. The task force shall include FEMA's CFO and CIO, and shall consult with State and local governments through previously established entities such as the National Advisory Council. FEMA is directed to report to the Senate Appropriations Committee on these efforts, including the resources required and the timeframe to be completed	Provided during briefing
2009	30-Jan-09	JES to H.R. 2638	FEMA-USFA to submit a master facilities plan for the maintenance and modernization of the National Emergency Training Center. Per Senate Report: for maintenance and modernization of EMI and USFA campuses, and including any needed infrastructure improvements, building renovations, life-cycle costs, and where efficiencies can be gained through joint efforts	At DHS Level
2009	2-Feb-09	JES to H.R. 2638	Submit 2010 Budget Request by Office	ETA April 2009
2009	2-Feb-09	JES to H.R. 2638	5-year National Flood Map Maintenance Plan for 2010 – 2014	Submitted to the Hill
2009	15-Feb-09	P.L. 110-161	Monthly DRF Report	Submitted to the Hill
2009	3-Mar-09	H.R. 2638; P.L. 110-329	Report on the implications to States for making shelf stable meals an allowable expense under the Homeland Security Grant Program -- to include Lessons Learned and best practices with regard to allowing grant recipients to allocate reasonable funds for critical emergency provisions, such as shelf stable meals	Submitted to the Hill
2009	15-Mar-09	P.L. 110-161	Monthly DRF Report	Submitted to the Hill
2009	20-Mar-09	P.L. 110-329	FY 2009 Assistance to Fire Fighters Grant Program Guidance	At DHS Level
2009	6-Apr-09	JES to H.R. 2638	Report on Limited English Proficiency Populations per House Report	At DHS Level
2009	6-Apr-09	JES to H.R. 2638	Report on disaster preparedness capabilities of Emergency Medical Services per House Report; House Report states report is to include capabilities required to meet future preparedness goals and an analysis of the gap between current and target capabilities	Pending ETA 6/15/2009

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

**Department of Homeland Security
Federal Emergency Management Administration**

2009	6-Apr-09	JES to H.R. 2638	Spend Plan on Trucking Security Grant Program prior to obligation of funds	"Interim Report" Submitted to the Hill
2009	6-Apr-09	JES to H.R. 2638	Report on Training and Response Capabilities in US Territories per House Report	In FEMA Review; ETA 6/15/2009
2009	6-Apr-09	JES to H.R. 2638	Report on utility of adding additional sites for First Responder Training	ETA 4/15/2009
2009	6-Apr-09	JES to H.R. 2638	Report on National Exercise Program per House Report; House Report states report is to contain detailed information on Federal, State, and local issues related to incident management lapses during TOPOFF 4	at DHS for clearance
2009	9-Apr-09	JES to H.R. 2638	Report on possibility of adding new Urban Search and Rescue Team; per House Report. if FEMA determines it is feasible to add a team, the report shall include recommendation for geographical location and cost estimate	at DHS Level
2009	9-Apr-09	JES to H.R. 2638	5-year Capital Improvement Plan for Mt Weather per House Report	In FEMA Review
2009	15-Apr-09	P.L. 110-161	Monthly DRF Report	At DHS Level
2009	15-Apr-09	H.R. 2638; P.L. 110-329	DRF Quarterly Report on obligations against the expenditure plan and justifications for any changes in spending	
2009	15-May-09	P.L. 110-161	Monthly DRF Report	
2009	15-Jun-09	P.L. 110-161	Monthly DRF Report	
2009	15-Jul-09	P.L. 110-161	Monthly DRF Report	
2009	15-Jul-09	H.R. 2638; P.L. 110-329	DRF Quarterly Report on obligations against the expenditure plan and justifications for any changes in spending	
2009	15-Aug-09	P.L. 110-161	Monthly DRF Report	
2009	15-Sep-09	P.L. 110-161	Monthly DRF Report	
2009	15-Oct-09	H.R. 2638; P.L. 110-329	DRF Quarterly Report on obligations against the expenditure plan and justifications for any changes in spending	
2009	30 days after declaration by President	H.R. 2638; P.L. 110-329	Disaster Declarations Report	

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

**Department of Homeland Security
Federal Emergency Management Administration**

2009	No Due Date (see notes section)	P.L. 110-329	DRF to submit Implementation Plan on any funds to be transferred to "Management and Administration" as per House Report. (House Report says The funding shall remain unavailable until the Committee receives and approves an implementation plan that contains an expenditure plan, a hiring schedule, and a list of positions to be filled by Cadre On-Call Response Employees (CORE), including where they will be located. The reduction to the request is based on delays in the planned conversion of employees and the fact that previous funding provided for this effort has been reprogrammed by FEMA.)	At DHS Level
2009	PRIOR TO ACTION	P.L. 110-329	FEMA shall submit a reprogramming report, pursuant to Section 503, prior to the transfer of \$16 million from DRF to OIG	
2009	PRIOR TO ACTION	P.L. 110-329	FEMA shall submit reprogramming reports, pursuant to Section 503, prior to any transfer of more than 10% of allocations among offices	
2009	Prior to Action	JES to P.L. 110-329	FEMA shall report to the Appropriations Committees prior to closing the Florida Long Term Recovery Office.	
2009	Within 15 days of allocation	JES to H.R. 2638	Notify within 15 days of any allocation over 10% from any office	

Department of Homeland Security
Federal Emergency Management Agency
Schedule of Authorized/Unauthorized Appropriations by Program Project/Activity
(Dollars in Thousands)

Budget Activity	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2010 Request
	Fiscal Year	Amount	Amount	Amount
State and Local Program				\$3,867,000
<i>Authorities:</i>				
Section 1014 of the USA PATRIOT ACT (42 U.S.C. 3714)				
Section 70107(a) through (h) Maritime Transportation Security Act (46, U.S.C.)				
Section 24102 of Amtrak Improvement Act (49, U.S.C)				
9/11 Commission Recommendations Act (P.L. 110-53)				
Section 33 of the Federal Fire Prevention and Control Act of 1974 (15 U.S.C. 2229)				
Homeland Security Act of 2002 (P.L. 107-296)				
State and Regional Preparedness Program				\$2,045,000
State Homeland Security Grant Program (6 U.S.C. 605)	N/A	such sums	N/A	\$950,000
Emergency Management Performance Grants (6 U.S.C. 762)	2012	950,000	N/A	\$315,000
Interoperable Emergency Communication Grants (6 U.S.C.)	N/A	400,000	N/A	\$50,000
Regional Catastrophic Preparedness Grants	N/A	N/A	N/A	\$35,000
Medical Surge Grants (6 U.S.C. 723)	N/A	N/A	N/A	\$40,000
Assistance to Firefighter Grants	2009	1,000,000	775,000	\$590,000
National Security and Terrorism Prevention (Real ID)				
(Real ID - P.L. 109-13; U.S.C. 30301 note)	2009	such sums	50,000	\$50,000
Citizen Corps	N/A	N/A	N/A	\$15,000
MSA Preparedness Program				\$1,437,000
Urban Area Security Initiative (6 U.S.C. 604)	N/A	N/A	N/A	\$887,000
Port Security Grants (46 U.S.C. 70107)	2011	400,000	400,000	\$250,000
Rail/Mass Transit Grants (P.L. 110-53)	2011	508,000	N/A	\$250,000
National Security and Terrorism Prevention (BZP)				
(Real ID - P.L. 109-13; U.S.C. 30301 note)	2009	such sums	50,000	\$50,000
Training, Measurement and Exercise Program				\$210,000
National Domestic Preparedness Consortium	N/A	N/A	N/A	\$51,500
Continuing and Emerging Training Grants	N/A	N/A	N/A	\$23,000
Center for Domestic Preparedness	N/A	N/A	N/A	\$62,500
Technical Assistance Program	N/A	N/A	N/A	\$13,000
Evaluation and National Assessment Program	N/A	N/A	N/A	\$18,000
National Exercise Program	N/A	N/A	N/A	\$42,000
Management and Administration	N/A	N/A	N/A	\$175,000
Operations, Management & Administration				\$852,200
<i>Authorities:</i>				
National Flood Insurance Act of 1968, as amended (42 U.S.C. 4001 et seq.)	2009	N/A	N/A	
Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended (42 U.S.C. 5121 et seq.)	N/A	N/A	N/A	
Earthquake Hazards Reduction Act of 1977 (42 U.S.C. 7701 et seq.)	2009	23,640	N/A	
Defense Production Act of 1950 (U.S.C. App. 2061 et seq.)	2009	such sums	N/A	
National Security Act of 1947, as amended (U.S.C. 404,405)	N/A	N/A	N/A	
Homeland Security Act of 2002 (6 U.S.C. 101 et seq.)	N/A	N/A	N/A	
Federal Fire Prevention and Control Act of 1974, as amended (15 U.S.C. 2201 et seq. and 6 U.S.C. 101 et seq.) (USFA)	2012	68,800	N/A	\$45,588
Disaster Relief				\$2,000,000
<i>Authorities:</i>				
Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended (42 U.S.C. 5121 et seq.)	N/A	N/A	N/A	

Department of Homeland Security
Federal Emergency Management Agency
Schedule of Authorized/Unauthorized Appropriations by Program Project/Activity
(Dollars in Thousands)

Budget Activity	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2010 Request
	Fiscal Year	Amount	Amount	Amount
Direct Assistance Disaster Loan Program Account				\$295
<i>Authorities:</i> Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended (42 U.S.C. 5162.)	N/A	N/A	N/A	
Section 502 of the Congressional Budget Act of 1974 (2U.S.C. 661a)	N/A	N/A	N/A	
Flood Map Modernization Fund				\$220,000
<i>Authorities:</i> National Flood Insurance Act of 1968, as amended (42 U.S.C. 4001 et seq.)	2009	220,000	N/A	
National Pre-Disaster Mitigation Fund				\$150,000
<i>Authorities:</i> Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended (42 U.S.C. 5133.)	2009	90,000	N/A	
Emergency Food and Shelter				\$100,000
<i>Authorities:</i> Title III of the Stewart B. McKinney Homeless Assistance Act (42 U.S.C. 11331 et seq.)	1994	N/A	130,000	
Total Direct Authorization/Appropriation				\$7,235,083
Fee Accounts				\$3,244,204
National Flood Insurance Fund				\$3,244,469
Salaries and Expenses	2009	49,418	N/A	\$52,149
Floodplain Management	2009	107,181	N/A	\$107,320
Mandatory	2009	2,911,300	N/A	\$2,965,000
Severe Repetitive Loss Mitigation	2009	80,000	N/A	\$70,000
Repetitive Flood Claims	2009	10,000	N/A	\$10,000
Flood Mitigation Activities	2009	35,700	N/A	\$40,000
<i>Authorities:</i> National Flood Insurance Act of 1968, as amended (42 U.S.C. 4001 et seq.)	2009	N/A	N/A	
Radiological Emergency Preparedness Program				-\$265
<i>Authorities:</i> Title III of the Departments of Veterans Affairs and Housing and Urban Development, and Independent Agencies Appropriations Act, 1999 (42 U.S.C. 5196e)	N/A	N/A	N/A	

Department of Homeland Security

Federal Emergency Management Agency

Operations, Management, and Administration



Fiscal Year 2010
Congressional Budget Submission

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BUDGET REQUEST AND SUPPORTING INFORMATION

FEDERAL EMERGENCY MANAGEMENT AGENCY OPERATIONS, MANAGEMENT, AND ADMINISTRATION

I. Appropriation Overview

A. Mission Statement for Operations, Management, and Administration:

The FEMA Operations, Management and Administration (OMA) appropriation provides core mission funding for the development and maintenance of an integrated, nationwide capability to prepare for, mitigate against, respond to, and recover from the consequences of major disasters and emergencies regardless of cause, in partnership with other federal agencies, state, local and tribal governments, volunteer organizations, and the private sector. The account supports core operations for all FEMA organizations, providing resources for mission activities and administrative support. OMA resources are directed to both regional and headquarters operations.

B. Budget Activities:

Activities are organized according to the following PPA structure:

- Operating Activities
- National Capital Region Coordination
- Urban Search and Rescue

B.1 Operating Activities

Operating Activities includes the essential functions for all of FEMA's major mission organizations and directly supports FEMA's primary mission to reduce the loss of life and property and to protect the Nation from all hazards including natural disasters, acts of terrorism, and other man-made disasters. Operating Activities leads and supports the Nation through a risk-based, comprehensive emergency management system of preparedness, protection, response, recovery, and mitigation.

In FY 2010, OMA will support FEMA's continued achievement of requirements set forth within the Post-Katrina Emergency Management Reform Act (PKEMRA) of 2006 and provide a more complete service to the American people and our federal, state, local, and tribal counterparts. FEMA will continue to integrate and support operational and preparedness missions that transferred to FEMA in FY 2007/FY 2008 and aligned all activities with the "Vision for a New FEMA." FEMA will continue to unify strategic planning efforts, build robust disaster operations, disaster assistance, and logistics capabilities, and integrate our grants, training, exercise, technical assistance, and communications platforms.

The Operating Activities also incorporates the Office of the Administrator and the Administrative Management Staff who coordinate between Headquarters and Regional Offices all policy and strategic planning, managerial, resource, and administrative actions; maintain programs to address public information issues; and builds partnerships with and among state and local governments, non-governmental organizations, business, and industry. Management and Administration Activities also

provide the corporate infrastructure (IT, finance, HR, procurement, facilities) essential to FEMA's pursuit of an enhanced business approach to achieving results and providing support capabilities designed and scaled to enhance FEMA's mission success. FEMA will continue to integrate management and administration missions that transferred to FEMA in 2008 and aligned all activities with the "Vision for a New FEMA."

B.1.A Disaster Assistance Directorate (DAD)

The Disaster Assistance Directorate ensures that individuals and communities affected by disasters of all sizes, including catastrophic and terrorist events, are able to return to normal with minimal suffering and disruption of services. Program activities focus on improving efficiency and expediting delivery of disaster assistance to eligible individuals, to state, local, and tribal governments, and to eligible private nonprofit organizations. This is accomplished through a commitment to streamline policy and procedures to improve program performance, to minimize error, and to modernize service delivery technology. Key programs include, but are not limited to: The Individual and Households Program, the Public Assistance Program, Other Needs Assistance, the Crisis Counseling Assistance and Training Program, Disaster Unemployment Assistance, Disaster Legal Services, donations management, voluntary agency coordination, and management of the National Processing Service Centers. Disaster Assistance Directorate is FEMA's agent in the implementation of the National Disaster Housing Strategy, the National Disaster Recovery Strategy, the National Catastrophic Infrastructure Recovery Plan, Emergency Support Function (ESF) #6 (Mass Care, Emergency Assistance, Housing, and Human Services), and Emergency Support Function (ESF) #14 (Long-Term Community Recovery).

B.1.B Disaster Operations Directorate (DOD)

The Disaster Operations Directorate coordinates and supports the core federal disaster response capabilities necessary to save lives, minimize suffering, and protect property in communities throughout the Nation that have been overwhelmed by the impact of a major disaster or an emergency, regardless of cause. The Disaster Operations Directorate develops operational all hazards disaster operations plans, coordinates Federal disaster operational planning activities, executes disaster response programs, integrates Federal, State, Tribal, local government and non-government disaster response programs, and ensures disaster emergency communications capabilities. Core Federal disaster response capabilities are executed by DOD through three primary program areas: Field Operations, Operations Management and Disaster Emergency Communications. Disaster Operations is responsible for several activities that were formerly part of FEMA's Response Program, such as sustaining situational awareness; managing a command, communication and coordination system comprised of national and regional command and coordination centers; and maintaining national and regional rapid support and disaster response teams. Disaster Operations is responsible for the new Incident Management Assistance Teams (IMATS) mandated by the Post-Katrina Emergency Management Reform Act of 2006 (PKEMRA).

B.1.C Logistics Management Directorate (LMD)

Logistics Management Directorate is the major program office responsible for policy, guidance, standards, execution and governance for logistics support, services and operations. LMD's mission is to plan, manage and sustain the national logistics response and recovery operations, in support of domestic emergencies and special events. LMD's focus is to institutionalize command and coordination of strategic logistics planning, operations and management while pushing operational control and execution down to the most effective level of execution. Logistics plans to move the agency beyond simply providing commodities (i.e. meals, water, and tarps) but toward a holistic management approach.

FEMA's Logistics Management capabilities are similar to the Department of Defense's well-recognized logistics (J4) system and organization, including management of the all-source range of assets, teams, equipment, and supplies that may be needed in response to an all-hazards event. The Logistics Management program involves coordination across all federal departments and agencies, FEMA partners, and those in the private sector who plan for and respond to all-hazard disaster events.

B.1.D Grant Programs Directorate (GPD)

The Post-Katrina Emergency Management Reform Act of 2006 mandated the integration of Grants Management Directorate (GPD) within FEMA. Grant Management is responsible for overseeing more than 80 percent of all Federal Assistance and grant resources awarded by the Department of Homeland Security. The majority of GPD activities are funded from management and administrative set-asides in the State and Local Program and Assistance to Firefighter Grants appropriations, with a small portion of funds coming from OMA, so to provide increase transparency, accountability and to effectively align FEMA's resources GPD's OMA resources were realigned to State & Local Appropriation within the Management & Administration PPA.

B.1.E Mitigation Directorate (MIT)

The mission of the Mitigation Directorate is to protect lives and prevent property loss from natural hazard events. Activities are designed to further sound risk management decisions by individuals, private and public sector entities, state, local, and tribal governments, and federal agencies. The Mitigation Directorate's objectives are accomplished through three categories of core activities: risk identification and assessment, risk reduction, and insurance against flood risk. Among the Mitigation programs supported by OMA are: Environmental and Historic Preservation, National Dam Safety, National Earthquake Hazards Reduction, and the National Hurricane Program. OMA resources also provide base funds to the Mitigation Disaster Operations and Management function.

B.1.F National Programs Directorate (NPD)

National Preparedness Program works to ensure that the nation is prepared for disasters of all kinds, regardless of cause. Currently FEMA is focused on improving our core competencies and, with Preparedness, undertaking significant efforts to fully incorporate the elements of Preparedness across the New FEMA. To facilitate the transition, the existing Budget Activities of NPD's OMA activities will be realigned to State & Local Appropriation within the Management & Administration PPA. This include Emergency Management Institute (EMI), Incident Management Systems (IMS) and expanding National Preparedness Initiatives to the Regions

B.1.G National Continuity Programs (NCP)

National Continuity Programs provides Executive leadership for Federal Government Continuity and National Contingency Programs that support enduring Constitutional government. National Continuity administers several activities to ensure and improve emergency communications with the public, including development and implementation of the Integrated Public Alert and Warning System.

B.1.H Office of the Administrator, which includes:

- Law Enforcement Advisor
- Disability Coordinator
- Office of Federal Coordinating Officer (FCO) Operations
- Center for Faith-Based and Community Initiatives

- Office of the Executive Secretariat

B.1.I Office of Policy and Program Analysis

B.1.J Office of the Associate Deputy Administrator, which includes:

- Regional Offices
- Office of Regional Operations

B.1.K Office of the Chief Financial Officer

B.1.L Office of Equal Rights

B.1.M Office of Chief Counsel

B.1.N Management Directorate, which includes:

- Information Technology Services,
- Human Capital Management
- Acquisition Management
- Facilities Management and Support Services
- Security
- Records and Document Management
- Disaster Reserve Workforce
- Occupational Safety, Health and Environment.

B.1.O Office of External Affairs, which includes:

- Legislative Affairs
- Public Affairs
- International Affairs
- Intergovernmental Affairs and Private Sector Initiatives

B.2 National Capital Region Coordination (NCRC)

The Office of National Capital Region Coordination (NCRC) provides leadership in integrating homeland security activities in the National Capital Region (NCR). NCRC also has a critical role in events (e.g., 2009 Presidential Inauguration), drills, and exercises that occur in the NCR. The work of NCRC and its regional partners often serves as a model for multi-jurisdictional efforts across the country.

B.3 Urban Search and Rescue

The Urban Search and Rescue National Response System and the Task Forces across the country provide coordinated, national, and all-risk capability for locating, extricating, and stabilizing victims of structural collapse resulting from natural and man-made causes, including those involving terrorism and weapons of mass destruction. The Urban Search and Rescue Task Forces are among the many specialized teams managed by the Disaster Operations Directorate.

C. Budget Request Summary:

The FY2010 OMA budget request reflects the amounts required to sustain the improvements in operational response and internal capacity approved in FY2009 and to support the Agency's efforts to achieve the mandate of PKEMRA. These increases strengthen the Agency's ability to fund projected disaster assistance requirements, to provide adequate funding to support state and local emergency management functions, and to enhance internal staffing and systems required to support FEMA's ability to fulfill its emergency management mission.

The FY2009 funding increases in OMA have been a significant factor in the Agency's effort to strengthen its operational response and internal capacity. For example, the Disaster Operations Directorate was able to strengthen its operational response capacity by expanding the number of Incident Management Assistance Teams (IMAT), and adding staff and upgrading facilities and equipment to enhance the Agency's 24/7 operational awareness capability. The Logistics Management Directorate has added staff across the regions to institutionalize command and control of strategic logistics planning, operations, and management while pushing operational control down to the most effective level of execution. And FEMA is now able to begin upgrading or replacing outdated business support systems -- including acquisition, human capital, and financial management applications -- to meet the needs of a 21st century Federal agency. These are just a few examples of the significant investments that FEMA has been able to achieve in the effort to fulfill its program mandate under PKEMRA.

As FEMA improves its program capacity, it also is demonstrating stronger fiscal responsibility and financial stewardship. During FY2009, FEMA identified a structural pay shortfall in the OMA appropriation, recognizing that the Agency did not have adequate funding to support all of its authorized OMA positions. The OMA 09 structural pay problem was the result of inadequate position control within FEMA, where incremental staffing and grade increases were not linked to the dollars required to support these requirements. The most essential element in rectifying this problem was for the Agency to strengthen its management controls and business processes for managing hiring actions. The process included a reconciliation of all positions within OMA, to develop a single, accurate, and reliable database of filled and vacant positions. Based on this information, the Agency recently established OMA staffing plans and budgets for each FEMA office. Each office is required to manage within its position and funding constraints, and FEMA is working to expand these improvements in position control to all appropriations.

Moreover, FEMA has been successful in its effort to look within existing resources to address the pay shortfall and implement the new program enhancements authorized in FY2009. During FY2009, FEMA has identified efficiencies and one-time sources of funding to increase staffing and enhance internal capacity. For FY 2010, the Agency has identified \$54.179 million in funding for one-time expenditures and program increases from FY2009 that can be used to support the structural pay issue within OMA without having a deleterious impact on program operations. For example, there is more than \$2 million in FY2009 start-up costs (equipment, facilities, etc.) associated with the IMAT expansion. And while the Agency will see significant benefits from FY2009 funding increases for Mount Weather capital improvements, IPAWS, and Urban Search and Rescue, the magnitude and impact of these increases positions the Agency to request lower amounts in FY2010 without compromising program performance. Exhibit B provides a complete overview of the one-time expenditures and program increases the Agency has proposed using to address the structural pay shortfall in FY2010.

The amount reflected in the proposed OMA appropriation reflects funding that can support a staffing level of 85 percent; \$337,623,780. However, the Administration also proposes a transfer of \$35 million from the Disaster Relief Fund to be used for structural pay, which would provide sufficient funding to enable the Agency to reach the full staffing levels approved in the FY2009 budget. The \$2 billion request for the Disaster Relief Fund reflects an annual requirement based on a 5-year average using only direct disaster obligations not including catastrophic events. And the \$35 million transfer to be used for the structural pay shortfall will not have a material impact on the ability to meet the needs of communities and families affected by disasters.

Operations, Management and Administration: FEMA requests \$852,200,000 3,114 positions and 2,697 FTE, as compared to FY 2009. The change from FY 2009 is explained by a series of adjustments for inflation and annualizations as described below.

(1) PPA – Operating Activities: FEMA requests \$817,205,000 3,086 positions and 2,669 FTE. This represents a net increase of \$18,410,000 and increase of 400 positions and 401 FTE as compared to FY 2009. This includes the realignment of National Programs Directorate (NPD) and Grant Programs Directorate (GPD) programs to the State & Local Appropriation within the Management & Administration PPA.

(2) PPA – National Capital Region Coordination: FEMA requests \$6,995,000, 20 positions, and 20 FTE. This represents a net increase of \$654,000, 0 positions, and 0 FTE as compared to FY 2009.

(3) PPA – Urban Search and Rescue: FEMA requests \$28,000,000, 8 positions, and 8 FTE. This represents a net decrease of \$4,500,000 0 positions, and 0 FTE as compared to FY 2009.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management and Administration**
Summary of Requirements
(Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	2,322	2,077	\$690,551
2009 Enacted	2,714	2,296	837,437
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	(300)	(249)	(77,921)
Increases	688	643	123,618
Decreases	---	---	(54,179)
Total Adjustments-to-Base	388	395	(8,482)
2010 Current Services	3,102	2,691	828,955
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	12	6	23,245
2010 Total Request	3,114	2,697	852,200
2009 to 2010 Total Change	400	401	14,763

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Operating Activities	2,686	2,268	\$798,595	388	395	(4,635)	12	6	23,245	3,086	2,669	\$817,205	400	401	\$18,610
2 National Capital Region Coordination	20	20	6,342	---	---	\$653	---	---	---	20	20	6,995	---	---	653
3 Urban Search & Rescue	8	8	32,500	---	---	(\$4,500)	---	---	---	8	8	28,000	---	---	(4,500)
Total	2,714	2,296	\$837,437	388	395	(\$8,482)	12	6	\$23,245	3,114	2,697	\$852,200	400	401	\$14,763

FY 2009 FTE doesn't equal the Budget Appendix, due to the FY 2009 FTE represents 85% S&B sustainment.

FY 2010 FTE doesn't equal the Budget Appendix, due to the FY 2010 President's Budget FTE represent 85% S&B sustainment.

III. Current Services Program Description by PPA

Department of Homeland Security
Federal Emergency Management Agency
Operations, Management, and Administration
Program Performance Justification

(Dollars in thousands)

PPA – OPERATING ACTIVITIES

	Perm Pos	FTE	Amount
2008 Actual	2,322	2,300	\$652,917
2009 Enacted	2,686	2,268	\$798,595
2010 Adjustments-to-Base	388	395	-\$4,635
2010 Current Services	3074	2663	\$793,960
2010 Program Change	12	6	\$23,245
2010 Request	3086	2669	\$817,205
Total Change 2009-2010	400	401	\$18,610

FEMA requests \$817.205 million, 3,086 positions, and 2,669 FTE for this activity in FY 2010. This is an increase of \$18.6 million over FY 2009. This includes the realignment of National Programs Directorate (NPD) and Grant Programs Directorate (GPD) programs to the State & Local Appropriation within the Management & Administration PPA.

CURRENT SERVICES DESCRIPTION

The following activities directly support FEMA’s primary mission to reduce the loss of life and property and protect the Nation from all hazards, including natural disasters, acts of terrorism, and other man-made disasters, by leading and supporting the Nation in a risk-based, comprehensive emergency management system of preparedness, protection, response, recovery, and mitigation. Activities reflect the final implementation of FEMA Vision initiatives launched in FY 2007 and FY 2008, including a focus on developing core competencies and the integration of expanded preparedness functions. FEMA Operating activities will continue to build on FY 2008 and FY 2009 successes in the areas of:

- Creating “engaged partnerships” with state and local governments.
- Facilitating and supplying an effective unified command across all levels of government.
- Engaging hurricane-prone states to gain a better understanding of their vulnerabilities.
- Improving logistics and communications capabilities to improve response.
- Enhancing disaster assistance capabilities for recovery efforts.

The Operating activities PPA also incorporates the Office of the Administrator and FEMA-wide Administrative Management who coordinate between Headquarters and Regional Offices all policy, managerial, resource, and administrative activities; maintain programs to address public information issues; and build partnerships with and among State and local governments, non-governmental organizations, businesses, and industries.

OMA provides FEMA with basic mission funding, which is complemented by disaster-specific and readiness resources from the Disaster Relief Fund and other program-specific appropriations.

A) Disaster Assistance Directorate (DAD) - \$61.784 million and 439 positions/373 FTE

The Disaster Assistance Directorate (DAD) ensures that individuals and communities affected by disasters of all sizes, including catastrophic and terrorist events, are able to return to normal with minimal suffering and disruption of services. Program activities focus on improving efficiency and expediting delivery of disaster assistance to eligible individuals, to state, local, and tribal governments, and to eligible private nonprofit organizations. This is accomplished through a commitment to streamline policy and procedures to improve program performance, to minimize error, and to modernize service delivery technology.

The following DAD programs/functions receive core staffing and operating expenses support from the OMA appropriation. Disaster readiness and direct victim assistance requirements are funded from appropriations for the Disaster Readiness and Support Activities account, the Disaster Relief Fund, and the Disaster Assistance Direct Loan Program. Funding is also provided for the Emergency Food and Shelter Program, also under DAD's domain of responsibilities.

• **Disaster Declarations Unit- \$.610 million**

This unit is responsible for processing all gubernatorial requests for Presidential major disaster or emergency declarations and all other related actions to include appeals and cost share adjustments under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. 5121-5206 (Stafford Act)

• **Individual Assistance Programs (IA)- \$8.321 million**

Individual Assistance ensures that individuals and families that have been affected by disasters have access to the full range of FEMA programs in a timely manner and that the best possible level of service is provided to applicants in the administration of these programs. IA programs and functions include:

- The Individual and Households Programs
- Other Needs Assistance
- Disaster Unemployment Assistance
- Crisis Counseling and Training Program
- Disaster Legal Services
- National Family Reunification Locator System
- National Emergency Child Locator System
- Donations Management
- Voluntary Agency Coordination
- Joint Housing Solutions Group
- National Disaster Housing Strategy
- Case Management
- National Shelter System

• **National Processing Service Centers (NPSC)- \$3.922 million**

The NPSCs are FEMA's disaster assistance processing facilities and are responsible for: registering applicants for disaster assistance, verifying losses through on-site inspections; processing applications to determine assistance eligibility; and responding to applicant inquiries. In FY09, approximately 300 temporary positions will become full time positions in the NPSCs. Funding will support these positions as well as other activities, such as technology requirements needed to maintain a call center, equipment, and training.

- **Public Assistance Program (PA))- \$4.000 million**

The PA Grant Program provides assistance to states, local governments, and certain nonprofit organizations to alleviate suffering and hardship resulting from major disasters or emergencies declared by the President. It provides reimbursement for debris removal, emergency protective measures and the repair, replacement, or restoration of disaster-damaged, publicly owned facilities and the facilities of certain private non-profit organizations.

- **Fire Management Assistance Grant Program (FMAGP)- .500 million**

FEMA fire management assistance grants are made available to state and local governments, including tribal nations, to minimize immediate adverse effects, and to manage and control wildland fires that threaten to cause major disasters. FMAGP provides a 75 percent federal cost-share reimbursement to states for actual costs.

- **Catastrophic Planning- \$1.158 million**

FEMA has been actively engaged in Catastrophic Disaster Planning for its Disaster Assistance programs for many years. In the last six years, FEMA has made significant progress in increasing its capability to provide assistance to individuals and public organizations after a large or catastrophic event. FEMA's experience with the very active 2004 and 2005 Hurricane Seasons highlighted a number of critical planning and capability requirements for Disaster Assistance, which are the focus of current and planned catastrophic disaster planning initiatives. Key areas of Individual Assistance program improvements include mass care and emergency assistance procedures and capabilities, donations and volunteer management systems and procedures, registration intake systems and procedures, applicant processing, identity and occupancy verification, controls to limit fraud and abuse, coordination with other agencies, and evaluation and testing of alternative housing solutions.

FEMA continues to further develop and implement priority elements of the National Disaster Housing Strategy. During this time, FEMA has also made strides in interagency planning and coordination to assist communities with long-term recovery, to address contaminated debris, debris volume estimation, and streamlining the Public Assistance Program processing for very large events through planning, training, and technology improvements. FEMA continues to develop, test, and refine the above improvements, as well as continue contingency planning for delivering disaster assistance during and after chemical, biological, radiological, nuclear, pandemic influenza, and cyber events.

- **Program Coordination, Planning, and Support- \$1.950 million**

Program coordination, planning, and support activities include, but are not limited to:

- Exercise Coordination
- Disaster After Actions Reviews (AAR) and Remedial Management Program (RAMP)
- Continuity of Operations (COOP)
- Analysis and Reporting
- Mobile Response Team Development
- Innovation and Technology Development
- Contract Management
- Policy and General Inquiry Correspondence
- Human Resources and Administration
- Professional Development
- Logistics, Resource Management, and Strategic Planning
- Finance and Budgeting
- Equipment

- Regional Funding to Support DAD Activities (1.250 million)

- **Collaboration with Stakeholders - .500 million**

Because the delivery of disaster assistance programs depends on a seamless working relationship with state and local governments, consistent interaction with these stakeholders is essential. To that end, DAD staff participates in a number of annual conferences, meetings, workshops and training venues with internal and external partners on a wide range of initiatives, including activities related to, for example, ESF#6, ESF #14, the National Shelter System, the National Reunification Family Locator System, the PA Pilot, and Donations Management.

- **Management and Other Activities- \$40.823 M**

Resources includes Salaries & benefits and management oversight functions

Disaster Assistance Directorate Recent and Planned Accomplishments

FY 2008 Accomplishments

- Through the Joint Housing Solutions Group, completed two disaster-specific compendia of potential alternative housing solutions with ratings and guidelines for best application of particular units given disaster conditions. Reviewed, assessed, evaluated, and ranked over 43 alternative housing unit models. Initiated contracts with seven alternative housing manufacturers. Each manufacturer has been tasked with delivering one prototype unit.
- Successfully implemented contracts with two manufacturers to provide low formaldehyde two and three bedroom manufactured home models. The selected manufacturers will produce Uniform Federal Accessible Standard and non-UFAS types.
- Continued to work with the states of Alabama, Louisiana, Mississippi, and Texas, affected by the 2005 hurricane season, to establish, populate, and evaluate new forms of alternative housing under the Alternative Housing Pilot Program.
- Led, in conjunction with FEMA's Chief Information Officer, the continued on-target development of Disaster Assistance.gov, the single application system/portal mandated by Presidential Executive Order: *Improving Assistance to Disaster Victims*, and implemented by Dec 31, 2008.
- Developed and published the *2008 Disaster Housing Plan*, which outlined agency capabilities and guided agency housing efforts in response to disasters during the 2008 calendar year.
- Developed the draft National Disaster Housing Strategy, which encompasses the entire continuum of disaster housing, from sheltering through permanent housing.
- Developed a one-day Debris Management Plan Workshop to enhance State and local capacity to manage debris removal operations in a cost-effective and timely manner. The PA Division conducted 83 Debris Management Plan Workshops throughout the United States and Territories.
- Released version 1 of the Emergency Management Mission Integrated Environment (EMMIE). EMMIE PA allows FEMA staff, PA applicants, and States to perform PA grant management activities online.
- Processed and approved more than \$933 million in payments to assist disaster applicants with losses not covered by insurance and property that had been damaged or destroyed.
- Completed software enhancements and testing for a national disaster evacuee tracking system, and made the supporting software available to all states free of charge.
- Completed enhancements to and testing of the National Shelter System and AIDMATRIX to improve system security and user interface, and continue to provide technical assistance and training to users nationwide. Enhanced National Emergency Family Registry and Locator

System (NEFRLS) to be able to receive and process information received from Law Enforcement as well as information on non-US citizens, such as persons on student visas.

FY 2009 Planned Accomplishments

- Continue to improve FEMA's plans and capabilities for managing mass evacuations and the resulting displaced populations, including additional state and local plans and development and expansion of evacuee tracking systems.
- Launch the FEMA National Shelter System. Implementation will begin at the State level. System will have enhanced data sharing capabilities and will provide expanded, accurate data to Federal, State, and local users.
- Train Regional, Federal, State, local, and non-governmental stakeholders on Federal mass care functions and coordination with local mass care efforts. This will include implementation of a mass care sheltering and feeding operational strategies for use at the local level.
- Implement cooperative agreement with the National Center for Missing and Exploited Children.
- Pilot a new in-person recertification protocol for individual assistance. This new protocol will reduce or eliminate the need for often-confusing and less reliable recertification via the postal system, and increase the reliability and surety of the process.
- Enhance existing FEMA database technology to capture and track temporary housing unit installation, maintenance, and deactivation.
- Implement Interagency Agreement with the U.S. Corps of Engineers to provide needed engineering expertise to execute pre-disaster planning and group site selection and design.
- Continue to allocate targeted resources to improve the effectiveness and efficiency of disaster assistance programs as delivered in the numerous disasters occurring annually, and to ensure that individual and public assistance can be provided to victims of the larger and more complex disasters that could occur as the result of terrorism or catastrophic natural events.
- Implement secure, pen-based e-signature software to replace paper-based process of obtaining applicant's signatures on the 90-69 B and D forms. It will ensure speedy response, and avoid delays in payments and further action on behalf of the applicant.
- Implement multi-language letter capability. This will allow non-English speaking disaster victims to receive correspondence in their respective languages. Sending correspondence in a victim's first language will ensure speedy response, and avoid payment delays.

FY 2010 Planned Accomplishments

- Implement EMMIE Version II for Public Assistance including the 2-year development of software for handheld units (notebooks computers, palm pads, etc) that will allow Public Assistance staff to expeditiously capture information on damaged facilities and directly input the data into EMMIE for processing.
- Begin development of the Emergency Assistance Information System (EAIS), which will integrate existing mass care software and information systems and will enable States to manage mass care information requirements (NSS, NECLC, NEFRLS) through one system. System will allow States to deliver comprehensive timely reports on mass care activities and will enable data sharing across Federal, State, local, and non-governmental organizations.
- Implement and deliver special needs training to State partners to ensure life sustaining assistance is provided to disaster victims in congregate care facilities.
- Design and deliver direct housing courses for Regional, Federal, State, and local partners to ensure comprehensive understanding of direct housing mission components, available resources, unit specifications, and limitations.

- Implement Computer Telephony Integration (CTI) technology within the NPSC call center environment. This will provide the ability to pass data from a telephone system to a computer for the purpose of retrieving appropriate applicant information and correctly connecting a telephone call. Improve customer satisfaction and call processing efficiency is expected.
- Implement electronic (E-mail) correspondence with applicants. Adding links to view documents through the Individual Assistance Center (IAC) or sending them through attachments will reduce the amount of paper-production costs FEMA accrues and offer a more secure means of communication with applicants.
- Increase the self-service options that applicants can perform on the IAC. This will allow applicants to request reissue of an inspection, report a lost or stolen check, or other activities that currently have to be performed at helpline.
- Create a link between NSS and Registration Intake (RI) so applicants can access shelter referrals and call center agents can choose the shelter an applicant is living in during the RI process. This will improve FEMA's ability to locate evacuated disaster victims.

B) Disaster Operations Directorate (DOD) - \$117.582 million and 450 positions/381 FTE

FEMA's Disaster Operations Directorate coordinates and supports core federal operational capabilities needed to save lives, minimize suffering, and protect property in a timely and effective manner in communities overwhelmed by acts of terrorism, natural disaster, or other emergencies. Disaster Operations encompasses the following program activities and elements. NOTE: When a disaster threatens or occurs, many costs associated with program functions are supported through the Disaster Relief Fund.

• Operational Direction, Command, and Control- \$24.660

The Operational Direction, Command and Control program area manages and coordinates capabilities in support of emergency and disaster response operations, exercises, and special events to ensure appropriate readiness for response.

Operations Centers- \$3.942 million

- **National Response Coordination Center (NRCC)- \$2.758 million** The NRCC is a multi-agency coordination center that functions as the operational component of the DHS National Operations Center (NOC). The NRCC coordinates Federal disaster response operations and emergency management program implementation for natural and manmade disasters, including catastrophic and significant disaster events. The NRCC maintains situational awareness links with State Emergency Operations Centers (EOC), selected local EOCs, regional DHS components, regional Department and Agency Emergency Support Functions (ESFs), State Fusion Centers, Joint Terrorism Task Forces, regional Department of Defense Operations Centers, and other key Federal, state and local operational nodes. The NRCC supports disaster response and resource planning; monitors potential or developing events that could become significant; supports regional and field component operations; and makes decisions on and coordinates national-level disaster response activities and resource prioritizations and allocations for DHS and FEMA. In addition to maintaining a 24/7 Watch Team, the NRCC is augmented by the ESFs during disaster operations.
- **Regional Response Coordination Centers (RRCC)- \$1.183 million.** The RRCCs are regionally-based multi-agency coordination centers that perform a complementary role to the NRCC at the regional level. Operating in the ten FEMA Regions, each RRCC performs a situational awareness mission, identifies and coordinates response requirements, supports response operations, performs

capabilities analysis, and reports on the status of Federal disaster response operations. The RRCCs deploy liaison officers and the Emergency Response Team-Advanced (ERT-A) to initiate Federal support, facilitate initial delivery of goods and services to save lives and property and stabilize local infrastructures, and facilitate prioritizing “in theater” interagency resource allocation and coordination. The RRCCs can support multiple concurrent disaster operations within their regions.

- **FEMA Operations Network (FON) and FEMA Operations Center (FOC).- \$.770 million.** The FEMA Operations Network supports FEMA and Executive Branch Departments and Agencies with several classified and un-classified programs. The FOC supports the NRCC and implements a myriad of notifications to all Federal Departments and State EOCs as well as activating emergency management staff. The FOC’s multi-faceted communications and operations capabilities enable it to receive, generate, and/or disseminate critical, time-sensitive information to senior decision makers at all government levels. The FOC receives, analyzes, and disseminates all-hazards information within FEMA and DHS and to other Departments and Agencies as well as to disaster response team members. The FON, in coordination with the National Operations Center, facilitates distribution of warnings, alerts, and bulletins to the Federal, State and local emergency management community using a wide variety of communications systems such the National Warning System (NAWAS), the Washington Area Warning System (WAWAS), and the National-level Emergency Alert System (EAS).

Disaster Emergency Communications- \$20.718 million

- DOD is designing, staffing, and maintaining a rapidly deployable, responsive, interoperable and highly reliable emergency communications capability using the latest commercial off-the-shelf voice, video and data technology. Through the Disaster Emergency Communications program activities, Disaster Operations provides an integrated, interoperable emergency communications architecture that can provide immediate restoration of critical command and control platforms within states affected by disaster and real-time “reach-back” connectivity from incident commanders to JFOs, the NRCC, RRCCs, and other operations centers. State-of-the-art capabilities are provided through the following: Tactical land mobile radios and repeater systems; Tactical cellular phones; Space-based satellite systems; High frequency and microwave line-of-sight systems interconnected by fiber optic cables to voice and data switches; Local area networks; and Desktop devices such as PCs and telephones. Among the goals for improving, communications capabilities are simplifying the communications architecture (modularity, portability, security); ensuring seamless user interoperability and user friendly information transfers; using flexible design options taking advantage of satellite/Internet technologies; pushing capabilities forward to state and local responders; increasing bandwidth and connectivity; and tying into public networks as far forward as possible. (**\$4.50 million**)

Mobile Emergency Response System (MERS) – \$16.218 million

- The Disaster Emergency Communications Division’s Tactical Emergency Communications Branch, MERS detachments are mobile, self-sufficient emergency response units designed to support Federal all-hazards response operations by providing operations, logistics, and integrated and interoperable communications and life support to meet the needs for disaster response activities, as well as the

needs for planned special events. The six MERS detachments are managed centrally and are dispersed throughout the U.S. to improve the efficiency and cost-effectiveness of the NRF and to allow staff at the Joint Field Offices (JFOs) to focus on immediate response and recovery activities. Additionally, MERS operates the five MERS Operations Centers as an integral part of the FEMA network of operations centers.

- **Operational Teams- \$16.801 million**

The Operational Teams program area supports field response to disasters and special events, and participates in exercises.

- **Incident Management Assist Teams (IMAT)- \$9.21 million**

- In accordance with PKEMRA, FEMA is developing a next generation of rapidly deployable interagency national and regional emergency response teams, identified as Incident Management Assist Teams (IMAT). These teams are designed to provide a forward Federal presence to better manage and coordinate the national response for catastrophic incidents. The primary mission of an IMAT is to rapidly deploy to an incident or incident-threatened venue, provide leadership in the identification and provision of Federal assistance, and coordinate and integrate inter-jurisdictional response in support of the affected State(s) or U.S. territory(s). The IMATs support efforts to meet the emergent needs of state and local jurisdictions; possess the capability to provide initial situational awareness for Federal decision-makers; and support the initial establishment of a unified command. IMATs will meet the multi-disciplinary needs of emergency management and may include members from the inter-agency community as needed. For events where the Secretary determines, or may determine, that a significant event exists, a national-level team will lead the response, supported by regional-level teams.

The IMATs will have the capability to establish an effective federal presence within 12-hours of notification, to support the State and local officials, coordinate Federal activities, provide initial situational awareness, and to be self sufficient for a minimum of 48-hours to augment potentially scarce local resources. Ultimately, three national-level IMATs and ten regional-level IMATs will be built and will subsume the roles and responsibilities of the Federal Incident Response Support Teams (FIRSTs), the National Emergency Response Teams (ERT-N) and Emergency Response Teams-Advanced (ERT-A). In FY 2008 and FY 2009, two National and five Regional IMATS were established. When not responding to disasters, IMATs will engage in a range of training exercises and other activities strengthening FEMA's critical relationships with state and local partners.

- **Pre-Positioned Equipment and Supplies (\$7.0 million)**

- **Urban Search and Rescue (USAR) Task Forces**

USAR Task Forces provide the coordinated, national, all-risk capability for locating, extricating, and stabilizing victims of structural collapse resulting from natural and man-made causes, including those involving terrorism and Weapons of Mass Destruction (WMD). See the Urban Search and Rescue PPA (\$28.0 million) for more detail.

- **Incident Support Teams (IST)**
- ISTs are pre-existing elements that serve as the management cells for USAR Task Forces.

- **Hurricane Liaison Team**

This team operates at the National Hurricane Center to provide real time analysis and reporting of hurricane and weather-related information and communication between the National Hurricane Center, FEMA and the Federal, State, tribal, and local governments' emergency management and disaster response system components, and provides an additional access point for critical interagency technology transfer to enhance the Agency's hurricane disaster response capability.

- **National Emergency Response Teams (ERT-N) and Emergency Response Teams-Advanced (ERT-A) – (\$0.591 million)**

These teams will ultimately be subsumed by the IMATs, but some will continue to exist in FY 2010 during the transition to IMATs. ERT-N and ERT-A teams are made up of individuals from FEMA Headquarters and Regions who have additional day-to-day responsibilities beyond their team assignments. ERT-N teams are deployed by FEMA Headquarters in response to significant major disasters. Their purpose is to coordinate disaster response activities, coordinate and deploy key national response assets and resources, provide situational awareness, and maintain connectivity with key FEMA and Department of Homeland Security operations centers and components. ERT-N members typically provide the initial staffing cadre for a JFO supporting a major disaster.

ERT-As are located in each of the ten FEMA Regions and can be deployed in the early phases of an incident to work directly with States to assess disaster impact, gain situational awareness, help coordinate the disaster response, and respond to specific State requests for assistance. The ERT-A initially establishes its presence in a State Emergency Operations Center and later staffs the JFO to support the disaster response. The ERT-As deploy with basic communications capabilities including cell phones, wireless laptop computers, and a limited number of satellite cell phones. As needed, they can also be supported by the MERS detachments and their capabilities.

- **Specialized Federal Teams (\$0.722 million)**

- **The Domestic Emergency Support Team (DEST)- \$0.722 million**

- The DEST is a specialized interagency U.S. Government team designed to expeditiously provide expert advice, guidance and support to the FBI On-Scene Commander (OSC) during a Weapons of Mass Effect (WME) incident or credible threat. The DEST is comprised of crisis and consequence management components and augments the FBI's Joint Operations Center with tailored expertise, assessment and analysis capabilities.

- **Improvised Nuclear Device (IND) Response and Recovery- \$6.0 Million**

- **The Nuclear Incident Response Teams (NIRT)**

- NIRT teams are specialized teams managed day-to-day by the Department of Energy (DOE) / National Nuclear Security Administration (NNSA) and the

Environmental Protection Agency (EPA). They are operationally controlled by DHS/FEMA when activated to provide expert technical advice and support in disaster response operations and other needs involving nuclear weapons accidents, radiological accidents, lost or stolen radioactive material incidents, and acts of nuclear terrorism.

Nuclear Preparedness Effort \$6.0 Million

Improvised Nuclear Device (IND) Response and Recovery identified the Federal Emergency Management Agency (FEMA) as departmental lead for response and recovery efforts associated with the terrorist use of an IND. An IND incident resulting in a nuclear detonation would produce several effects that impact the urban environment and people. Effects from a nuclear detonation include blast, thermal, and prompt radiation. Secondary effects include electromagnetic pulse (EMP) and fallout. All of these effects have a major impact on people, infrastructure, and the environment, and they significantly affect the ability to respond to the incident. Funding address response and recovery needs at the Federal, State, and local levels. At each of these levels FEMA plays a critical role as the Nation's coordinator of preparedness, as well as, response and recovery actions.

• Operational Planning- \$16.904 million

In depth operational planning, led by Disaster Operation's current Operational Planning Branch, is a core competency of the agency. Operational planning encompasses the full spectrum of the planning process, ensuring continuity between long-range planning, current operations planning, and field element incident action planning. Planning includes detailed and critical current and future disaster response operational analyses, preparation of contingency and concept of operations plans, and crisis action planning to ensure that the agency can lead and improve national all-hazard disaster responses. More specifically, the Operational Planning Branch will:

- Provide national and regional operational planning guidance and coordination.
- Coordinate at the operational level the execution of all hazard contingency plans.
- Provide forecasting and analysis of potential events.
- Assist FEMA Regions in operational planning at the regional level.
- Lead the development of DHS and FEMA hazard-specific contingency plans.

Operational response planning efforts are closely coordinated with FEMA's National Preparedness Directorate, Disaster Assistance Directorate, Mitigation Directorate, and DHS components, including the DHS Office of Operations Coordination and Planning. FEMA will lead the coordinated planning for the Federal Government consistent with the intent of PKEMRA.

Catastrophic Disaster Response Planning- \$11.608 million

Disaster Operations will continue to develop federal-level catastrophic disaster response plans, in partnership with states and local communities, that take into account the need for a significantly higher level of response assets, the possibility of little or no advance notice or warning, and the need for rapid response times with massive support. A catastrophic incident is defined by a sudden event which results in thousands of casualties and tens of thousands of evacuees, overwhelming the resources of the State and local governments and requiring life saving support from outside the area. Years of successful experience with disaster response operations have clearly demonstrated that positive results are achieved when Federal response efforts are fully integrated with State, tribal and local governments and private sector and critical infrastructure

representatives. These same levels of integration will be continued in the catastrophic disaster response planning initiative in accordance with the principles of the NRF – Catastrophic Incident Annex and Catastrophic Incident Supplement.

Special Events Operations/ Exercise Support - \$5.296 million

Special events activities supports the readiness capabilities and planning for designated National Special Security Events to ensure an effective response to possible emergencies, to ensure public health and safety, and to protect property against threats or acts of terrorism. Support generally consists of activating operations centers and liaisons and is dependent upon the needs identified for each event. Resources will contribute to exercise development and improved disaster response operations and capabilities. Exercises will be coordinated with other agencies and within FEMA to provide interaction and participation in national-level response exercises. This support is dependent upon the needs identified for each exercise, and is closely coordinated with the National Preparedness Directorate's Homeland Security Exercise and Evaluation Program (HSEEP).

- **Management and Other Activities- \$52.495 million**

Resources include Salaries & benefits and management oversight activities.

Disaster Operations Directorate Recent and Planned Accomplishments

FY 2008 Accomplishments

- Operational planning – Initiated hiring of operational planners at FEMA Headquarters to supplement planning in support of 24-hour operations in the National Response Coordination Center; life saving and protection of property decision making by FEMA management during disaster operations; situational awareness; and tactical-level operational contingency planning for present and potential disasters based upon the 15 National Planning Scenarios.
- Catastrophic Disaster Response Planning:
 - New Madrid Seismic Zone Earthquake Planning Initiative:
 - Completed three (out of eight) State Catastrophic Earthquake Annexes and the Draft Federal Interim Contingency Plan for Catastrophic Earthquake.
 - Completed final hazard analysis, modeling and scenario refinement to reflect new data sets and building inventory.
 - South Florida Hurricane Planning Initiative:
 - Draft Herbert Hoover Dike Plans have been crafted for each Florida County adjacent to Lake Okeechobee.
 - Draft Catastrophic Plans, Annexes and Standard Operating Procedures that incorporate key emerging concepts and decision tools are nearing completion for Miami-Dade, Broward, and Palm Beach counties.
- Federal Incident Response Support Teams – The FIRSsTs were subsumed by the Region IV and Region V IMATs in FY 2008, however, before this occurred, team accomplishments were achieved:
 - Improved operational readiness, including establishing funding sources to enable teams to immediately deploy.
 - Successfully deployed to no-notice events and met 12-hour arrival time requirements.
- National Emergency Response Team (ERT-N):
 - Provided training to 75 percent of Red and Blue ERT-N Team members.
 - Successfully deployed and provided essential support to Region I during New England Hurricane exercise.

- FEMA tested new systems and processes for Hurricane Ernesto:
 - Upgraded NRCC at FEMA became functional.
 - Video teleconferences included multiple Federal Departments and Agencies as well as U.S. Northern Command and the National Guard Bureau.
- FEMA Operations Center:
 - Began expansion of the Emergency Notification System (ENS) to support other DHS components.
 - Upgraded capabilities at the NRCC COOP site to include the hiring of a COOP Manager to oversee site operations.
 - Developed a staff cross-training plan with the FEMA Alternate Operations Center (FAOC) which includes a regular exchange of staff to improve efficiency.

FY 2009 Planned Accomplishments

- Realize full staffing of operational planners at FEMA Headquarters and each FEMA Region.
- Catastrophic Disaster Response Planning – Conduct catastrophic scenario-driven workshops for the following site-specific areas:
 - Begin update of the NRF Catastrophic Incident Supplement based on empirical damage and societal impact data collected for the New Madrid Seismic Zone Planning Initiative.
 - New Madrid Seismic Zone – Complete the five remaining State Catastrophic Earthquake Annexes and develop the four Federal Regional Earthquake Annexes.
 - South Florida – Finalize Herbert Hoover Dike Plans and State-level planning documents, and begin development of Federal-level planning documents.
- National Response Coordination Center – Enhance disaster operation capabilities of the NRCC to support 24-hour watch operations, situational awareness, development of the common operating picture during disaster operations, and coordination of interagency response to all type of hazards and Presidentially declared disasters.
- FEMA Operations Center:
 - Expand the Emergency Notification System (ENS) to serve more DHS components.
 - Acquire ENS staff to enable system expansion with no loss of operating efficiency.
 - Initiate Phase 2 planning for upgrades to NRCC COOP site; initiate partial upgrades as budget permits.

FY 2010 Planned Accomplishments

- Incident Management
 - Continue implementation and execution of Incident Management Teams, including professionalizing IMAT members and the National Network of Emergency Managers.
 - Promote the integration and synchronization of preparedness across jurisdictions and all levels of government.
- Catastrophic Disaster Planning
 - Develop Federal plans, both Regionally- and Nationally-focused, that synchronize with Urban Area/regional plans developed from the Homeland Security Grant Program.
 - Prepare for National-level exercise based on the complete suite of New Madrid Seismic Zone Plans.
- Operational Planning
 - Work within FEMA and with state partners to develop local, state, and regional operational plans, including incident-specific catastrophic plans.
 - Support continued tactical-level operational planning for the 15 National Planning Scenarios.
- Emergency Communications

- Work with States to develop state and regional emergency communications plans.
- Establish a template of essential emergency communications capabilities and plan for temporary communications to fill the gaps.
- Assist state offices of emergency communications and ensure the integrity of first responder networks.
- Work with the National Communications System to ensure a smooth transition to long-term restoration.
- Implementation Development of the Public Awareness Strategy
 - Utilizing the developed content, criteria, and resources to help inform and develop state and local plans, training and exercises.
 - Conduct Training and Outreach Programs
 - Conduct of IND Planning Workshops- The initial focus will be jurisdictions participating in National Level Exercise 2010, and expanding to conduct workshops in each of the 10 FEMA Regions.

C) Logistics Management Directorate (LMD) - \$31.017 million and 156 positions/133 FTE

FEMA's Logistics Management Directorate's capabilities include the management of resources such as the logistics cadre, supplies, services, and equipment needed to respond to an all-hazards event. Much of the commodities purchased for a disaster as well as the contracts which help FEMA stand ready to support disaster are funded in the Disaster Relief Fund appropriation. OMA provides resources for the following Logistics Management activities and elements:

- **Logistics Distribution Management (\$0.627 million)** manages a comprehensive supply chain, warehouse, and transportation operation using a strategic alliance of FEMA partner agencies to distribute supplies, equipment, and services rapidly, effectively, and efficiently to support emergencies.
- **Logistics Operations (\$2.562 million)** manages and executes command and coordination, and tracking and reporting for all hazards operations. Logistics Operations serve as the central reporting element for the National Response Coordination Center on all logistics actions and operational activities for HQ and regions.
- **Property Management (\$1.904 million)** provides management oversight, internal control and technical reviews in the areas of property accountability, reutilization and disposal of disaster supplies and equipment. Implements an enterprise-wide property accounting and asset viability system designed and implemented to ensure best value.
- **Logistics Office of Transformation and Initiative (\$6.585 million)** coordinates and manages emerging transformation initiatives and concepts such as the National Logistics Coordinator (NLC) Concept, Key Readiness Contracts and the Demonstration Program: Logistics Capability Calculator (LCC), as well as Logistics Management Transformation Initiatives (LMTI). LMD is the Single Integrator for Strategic Logistics Support and coordinates all domestic emergency logistics planning, management, and sustainment capabilities through the NLC Concept.
- **Logistics Plans and Exercises (\$1.008 million)** develops and determines strategic baseline planning criteria to provide cohesive and synchronized logistics plans and exercises to achieve both short and long term readiness requirements. This LMD element ensures deliberate and coordinated planning efforts, resulting in repeatable processes that optimize national logistics response and recovery operations in support of domestic emergencies and special events.

- **Management and Other Activities- \$18.331 M**

Resources includes Salaries & benefits and management oversight activities

OMA funds for Disaster Logistics are complemented by disaster readiness support through the disaster-specific resources from the Disaster Relief Fund.

Logistics Management Directorate Recent and Planned Accomplishments

FY 2008 Accomplishments

- Continued Logistics Management transformation efforts by recruiting and hiring a permanent workforce to better support current and expanded functions.
- Developed and implemented new internal management controls.
- Created collaborative planning and operational National Response Framework (NRF) partnerships with other Federal agencies.
- Established a Quality Assurance Team for Property Management.
- Developed Professional Credentialing Program jointly with the Emergency Management Institute (EMI).
- Developed the National Logistics Coordinator (NLC) concept, and held the first National Logistics Coordinator forum on March 27, 2008.
- Negotiated and implemented long-term evacuation contracts for rail, bus, and ambulance which were successfully executed during Hurricanes Hannah, Gustav, and Ike.
- Successfully supported major Hurricanes Gustav and Ike by practicing the new LMD business processes, jointly managing the National Logistics Staging Area/Texas Resources Staging Areas and directly managing sixteen of Texas's Points of Distribution (PODs).

FY 2009 Planned Accomplishments

- Develop staffing strategies to augment current FTP staffing in the Regions.
- Validate and document Region Logistics Mission and Functions.
- Continue to train, coach and assist regional logistics personnel.
- Integrate LMD Exercise Program with FEMA National Exercise Program (NEP).
- Refine Regional Logistics Readiness Plans in coordination with State and local logistics partners.
- Align Exercise Planning with the LMD After Action Review (AAR) Improvement Plan and schedule.
- Validate plans through joint regional, HQ and partner participation in tabletop exercises.
- Will transform logistics management of supplies and services by engaging the private sector and incorporating industry best practices. This includes incorporating a Third Party Logistics (3PL) structure into the Logistics Management Directorate as deemed prudent.
- Continue efforts to hire and retain a talented and diverse workforce that supports the national logistics strategy.
- Continue efforts to complete credentialing plans for all job series within LMD.

FY 2010 Planned Accomplishments

- Continue efforts to review and refine the logistics management business processes.
- Continue to retain, recruit, and hire a permanent, professional workforce.
- Continue to promote the National Logistics Coordination doctrine and partnerships with private sector.
- Continue development and expansion of the Total Asset Visibility (TAV) and In-transit Visibility Systems (ITV).

D) Mitigation Directorate (MIT) - \$30.460 million and 67 positions/53 FTE

The Mitigation Directorate creates safer communities by reducing loss of life and property and preventing potential disaster losses. This is accomplished through three core competencies and one support activity:

1. Analyzing Risk through identification and assessment;
2. Reducing Risk through land use, building codes, and the Hazard Mitigation Grant Program;
3. Environmental Planning and Historic Preservation; and
4. Regional and Disaster Support activity

These core competencies and support activity work jointly to create safer communities by reducing the likelihood of future losses, enabling individuals to recover more rapidly from floods and other disasters, and minimizing the financial impact on the U.S. Treasury, states, and local and tribal communities in the event of a disaster. OMA resources for Mitigation activities are complemented by specific appropriations for the National Flood Insurance Fund, Pre-Disaster Mitigation, and Flood Map Modernization. The following Mitigation core competencies and support activity strategies are supported by OMA:

Analyzing Risk

National Hurricane Program (NHP)- \$2.156 million

Established in 1985, the National Hurricane Program (NHP) works to improve the nation's overall hurricane emergency management capability and provides technical information, tools, and products that assist state and local governments in developing effective hurricane emergency management plans. The program is a multi-agency partnership, involving FEMA, the National Oceanic & Atmospheric Association (NOAA), the National Weather Service (NWS), the U.S. Department of Transportation (DOT), the U.S. Army Corps of Engineers (USACE), and other federal agencies. The NHP conducts hurricane evacuation studies that guide the decision-making process for protecting the public when a hurricane threatens an area. These studies help state and local communities establish population protection plans by determining the probable effects of a hurricane, analyzing transportation systems, predicting public response to the threat and advisories, identifying appropriate shelters, and providing clearance times for safely sheltering or evacuating the threatened public.

National Dam Safety Program (NDSP)- \$10.281 million

As the lead federal agency for the National Dam Safety Program, FEMA is responsible for coordinating efforts to reduce risks to life and property from dam failure throughout the United States. The NDSP is a collaborative effort among States, Federal agencies, private sector, and other stakeholders that encourages dam safety and promotes public awareness. The NDSP provides grant assistance to the States, funds training for dam safety staff and inspectors, and funds research to support the improvement of State Dam Safety Programs and increase public awareness on the risks associated with dam failure.

Reducing Risk

National Earthquake Hazards Reduction Program (NEHRP)- \$8.977 million

Established by Congress in 1977, the National Earthquake Hazards Reduction Program (NEHRP) works to reduce risks to life and property resulting from earthquakes. NEHRP is a collaborative effort among FEMA, the National Institute of Standards and Technology (NIST), the National Science Foundation (NSF), and the United States Geological Survey (USGS). The NEHRP agencies work together to reduce the Nation's vulnerability to earthquakes. The agencies research the causes and effects of earthquakes and produce technical guidance to develop earthquake resistant design and construction standards and techniques to educate the public about earthquake hazards and mitigation.

FEMA manages initiatives that reduce the risk of loss of life and damage to buildings and other structures as a result of earthquakes, including the following activities: (1) translating research into technical guidance publications and best practices on seismic safety, building design and construction, building codes and standards, and reducing economic losses; (2) assisting state and local governments in building capabilities for determining potential damage and reducing the effects of earthquakes before they occur; and (3) working with national codes and standards organizations to develop and improve seismic building standards. FEMA also educates the public, design professionals, contractors, building regulators and decision makers at all levels about the risks of earthquakes and how to reduce those risks.

Environmental Planning and Historic Preservation- \$.600 million

The mission of the environmental planning and historic preservation function is to help communities reduce the impact that disasters and emergency management decisions and operations have on the nation's natural and cultural resources. The Office of Environmental Planning and Historic Preservation (OEHP) manages FEMA's compliance with all environmental planning and historic preservation laws, executive orders and regulations, across all FEMA programs. Specifically, OEHP is the functional authority on FEMA's EHP compliance, and must manage all EHP policy, legal sufficiency, systems, human capital (including the EHP Disaster Workforce), outreach and performance management aspects of these requirements.

Regional and Disaster Support- \$.280 million

The Regional and Disaster Support Section of Mitigation incorporates mitigation and insurance opportunities into catastrophic disaster planning, strengthens regions, standardizes tasks carried out in the JFO, develops performance indicators, develops qualifying plans for disaster positions, and creates job aides, curriculum plans and training to ensure a prepared disaster workforce. Systems integration, information sharing across JFOs, and disaster planning for mitigation operations will increase standardization and maximize the potential of rebuilding stronger and safer communities.

The main goals of the Regional & Disaster Support Section are to:

- Maintain an operational disaster response capability to effectively respond to mitigation needs.
- Act as the coordination point for Mitigation disaster operations/activities.
- Develop and integrate disaster operations policies, procedures, training, and cadre development consistent with the National Response Framework.
- Manage the Mitigation Disaster Workforce.

• Management and Other Activities- \$.166 M

Resources includes Salaries & benefits and management oversight activities

Mitigation Directorate Recent and Planned Accomplishments

FY 2008 Accomplishments

- Improved metrics for the National Earthquake Hazards Reduction Program (NEHRP).
- Developed tools and data to document losses avoided through successful mitigation activities.
- Initiated an outreach and awareness project in emergency action planning for dams.
- Completed the digitization and publication of the 21 Training Aids for Dam Safety (TADS) workbooks and videos into DVD format.
- Conducted regional technical seminars on dam safety and sponsored Advanced Technical Seminars and an annual conference that provided extensive training for attendees.

FY 2009 Planned Accomplishments

- Complete the 2009 edition of the NEHRP Recommended Provisions which are the basis of the earthquake design requirements in the Nation's model building codes.
- Conduct business forums in selected communities in areas of high-seismic risk to raise awareness of earthquake risks and encourage mitigation and preparedness in the business community.
- Conduct "listening sessions" with state and local hurricane emergency managers on how best to expand the National Hurricane Program and its suite of technical support products and services. Engage the NEMA's Hurricane Subcommittee to review the listening session findings, and develop a "renewed" National Hurricane Program proposal for the FEMA Administrator.
- Establish a multi-year Interagency Agreement (IAA) with the U.S. Army Corps of Engineers to support post-storm assessment and planning as called for under the amended Stafford Act at Section 402(3)(F). This will reduce the time delay between the event and the post-storm assessment and improve the quality of the assessment.
- Award \$5.0 M to the Office of Geospatial and Technology (GTM), administratively located in the North Carolina Division of Emergency Management (NCDEM) to perform the risk assessment of sea level rise and increased flooding associated with long-term climate change in North Carolina required by P.L. 110-329. Aspects of flooding to be evaluated are: sea level rise and increasing frequency and/or intensity of coastal flooding (surge, wave heights) and erosion. The study will develop reasonable scenarios of potential sea level rise and demographic conditions in North Carolina for four "time slices" through 2100: near term (2025), medium term (2050), long-term (2075), and end of the century (2100). Scenarios are plausible alternative futures – each an example of what might happen under particular assumptions. Scenarios are not specific predictions or forecasts. Rather, scenarios provide a starting point for examining questions about an uncertain future and can help us visualize alternative futures in concrete and human terms. The military and industry frequently use these powerful tools for future planning in high-stakes situations. Using scenarios helps to identify vulnerabilities and plan for contingencies.
- Develop and pilot test training for mitigation and insurance staff serving disaster applicants; develop training and job aides to standardize use of automated systems in providing mitigation information to disaster applicants; and develop qualifying plans for mitigation and insurance disaster workforce positions.
- Develop policies, programmatic agreements, and protocols to facilitate environmental and historic preservation compliance, including specific programmatic guidance for the Preparedness Grant Programs.
- Complete EHP Credentialing Plan for EHP Disaster Workforce and key guidance materials for EHP Disaster Workforce
- Award \$2.425 M to Upper Cumberland and Big Sandy Watershed, KY to demonstrate a wide range of project solutions within the across the multiple disaster preparedness and mitigation programs within FEMA, to include:
 - retrofitting and hardening of existing flood walls and levees;
 - pump refurbishment;
 - transportation infrastructure modifications; and other flood damage reduction projects; and associated land acquisition

FY 2010 Planned Accomplishments

- Complete post-storm assessments for Hurricanes Ike and Gustav.
- Launch a minimum of two (2) pilot studies of hurricane emergency management risk and planning which are not Hurricane Evacuation Studies. Projected studies are for feasibility of real-time

traffic information provided through Intelligent Transportation System technology, and a study in partnership with the Alabama EMA of critical transportation needs population.

- Conduct a series of business forums in selected communities in areas of high-seismic risk to raise awareness of earthquake risks and encourage mitigation and preparedness in the business community.
- Complete hurricane evacuation studies that affect coastal counties in four states (to be determined) by providing technical information in order to safely evacuate those coastal populations that may be impacted by potential storm surge inundation from Category 1-5 hurricanes.
- Develop and implement technologies and tools to identify and prioritize the risk associated with state-regulated high- and significant-hazard potential dams.
- Strengthening regions by adding new Deputy Regional Environmental Officers;
- Develop an EHP human capital plan for all FEMA staff with EHP competencies and an EHP training strategy.
- Develop a system to track disaster field operations training; quantify best practices of mitigation and insurance disaster operations; provide mechanisms to standardize practices across JFOs; and measure the impact of public mitigation information in increasing mitigation measures taken.

E) National Continuity Programs (NCP) - \$131.104 million, 95 positions/82 FTE

FEMA's National Continuity Programs Directorate (NCP) is the lead agent for preparing for and implementing Executive Branch continuity programs, including continuity of government, continuity of operations, and national contingency plans. Today's changing threat environments and recent emergencies, including localized acts of nature, accidents, technological emergencies, and military and/or terrorist attack-related incidents, including the potential for terrorist use of weapons of mass destruction (WMD), have emphasized the need for continuity capabilities and plans that ensure continuity of mission essential functions across the Federal Executive Branch in any crisis or emergency.

- **Continuity Planning and Operations- \$23.414 million**

FEMA leads the effort to coordinate Federal Executive Branch continuity programs to ensure performance of National Essential Functions during a catastrophic emergency. Inherent in FEMA's role as the lead agent for Executive Branch continuity is the responsibility to formulate guidance for agencies to use in developing viable, executable continuity plans; facilitate interagency coordination; and oversee and assess the status of individual and collective department and agency continuity capabilities across the Executive Branch.

The NCP provides plans, procedures, guidance, training, and evaluation resources to ensure the continuation of the essential functions of the Department of Homeland Security (DHS), Federal Emergency Management Agency (FEMA), and Federal Executive Branch departments and agencies in the event key facilities are threatened or become unusable, requiring the relocation of selected personnel and functions. By ensuring these essential government functions continue under all hazard conditions, the program preserves the American way of life.

- **Continuity Readiness Reporting System- \$12.894 million**

NCP operates and maintains the Readiness Reporting System (RRS), which is used to provide the status of the Federal Executive Branch departments and agencies' ability to perform their Priority Mission Essential Functions (PMEFs) in support of the National Essential Functions (NEFs). The RRS is used to conduct assessments and track capabilities at all times under all conditions, including natural disasters, man-made incidents, terrorism, and war. The RRS will ensure senior leadership within the Federal Executive Branch (FEB) have appropriate situational awareness on the status of all FEB departments and agencies and their ability to perform essential functions.

- **Emergency Alert and Communication Functions- \$16.800 million**

Providing the American people with accurate, timely, and actionable information is in increasing demand today. To this end, FEMA's Integrated Public Alert Warning System (IPAWS) leverages modern technologies and methodologies to disseminate a broad spectrum of alerts and warnings across many types of communications platforms, reaching a greater percentage of the population within a shorter period of time.

The IPAWS mission is to support Executive Order 13407, issued on June 2006, which calls for "an effective, reliable, integrated, flexible, and comprehensive system to alert and warn the American people in situations of war, terrorist attack, natural disaster or other hazards to public safety and well being." DHS designated FEMA to lead the executive order implementation. The IPAWS program fulfills the goal of the executive order by testing, developing, and piloting new technologies, standards, and partnerships with Federal, State, and local stakeholders by integrating and improving all aspects of public alerts. The program's scope is summarized by the phrase "one message over more channels to more people at all times and places."

Key Elements:

- Inventory and evaluation of existing capabilities
- Maintenance, protection, and restoration of communications facilities and capabilities necessary for the public alert and warning system
- Conduct training, testing, and exercises of the public alert and warning system
- Digital Emergency Alerting System (DEAS) providing text/voice/video data to radios, TV, and cell phones during emergencies
- Maintain the legacy Emergency Alerting System (EAS).
- Maintain Geo-Targeting Alert System (GTAS) with NOAA's advanced weather input

- **Mount Weather Emergency Operations Center- \$49.913 million**

The MWEOC facility, located in Mount Weather, VA, provides the infrastructure to support COOP, Incident Management, and all hazards activities for multiple Executive Branch Departments and agencies, to include the DHS/FEMA HQ COOP site. In addition, it provides operational space for FEMA Emergency Relocation Group (ERG) members to perform their essential functions. ERG members serve as the FEMA HQ emergency personnel that are responsible for performing the Agency's mission essential function.

- **Management and Other Activities- \$28.083 million**

Resources includes Salaries & benefits, corporate accounts and management oversight activities

National Continuity Programs Recent and Planned Accomplishments

FY 2008 Accomplishments

- Completed facility improvements and infrastructure projects at Mount Weather Emergency Operations Center (MWEOC).
- Established Inter Agency Agreement (IAA) with U.S. Army Corps of Engineers (USACE) to lead the Primary Entry Point upgrades at radio broadcast stations.
- Supported Outreach to educate the public on the Integrated Public Alert Warning System.
- Provided support to the DHS Secretary and Alabama for IPAWS pilot demo in the Gulf Coast.
- Chartered the FEMA IPAWS Federal Working Group (FWG) among FEMA IPAWS, DHS Office of Science & Technology (S&T), FEMA National Incident Management System (NIMS), FEMA

Disaster Management, National Oceanic and Atmospheric Administration, Federal Communications Commission, DHS Office of Emergency Communications, Health and Human Services/Centers for Disease Control, and other federal alert and warning stakeholders.

- Published the Digital Alert and Warning System (DAWS) RFI to assist in research and development (R&D) for implementing standards and protocols, and refined IPAWS requirements.
- Completed IAA with NOAA to perform pilot testing of the Geo-Targeted Alerting System (GTAS).
- Developed, coordinated, and conducted Eagle Horizon 08, the nations' largest and most successful Continuity exercise. The exercise included 12,048 (non-military) participants from fifty-four federal executive branch departments and agencies.

FY 2009 Planned Accomplishments

- Initiate collection of all applicable IPAWS public alert and warning systems data used by Federal, State, Territorial, Tribal, and local agencies.
- Deploy State Digital Emergency Alert System (DEAS) in 8 states and Puerto Rico, to provide Emergency Operation Centers with an alternate means of distributing alerts and warnings
- Execute Memorandum of Understanding (MOU) with 26 new radio broadcast PEP stations and initiate construction.
- Establish a Memorandum of Agreement (MOA) with the DHS Science & Technology and commence efforts to build the Commercial Mobile Alerting System (CMAS) Federal Aggregator.
- Develop and perform initial GTAS application capabilities for pilot testing at State and local Emergency Operations Centers (EOCs).
- Complete deployment, operation, and maintenance of the initial DEAS audio alert capabilities.
- Develop, coordinate and conduct Eagle Horizon 09 interagency continuity exercise.
- Develop the National Continuity Multi-Year Strategy and Program Management Plan (MYSPMP) for Continuity of Operations.
- Conduct Continuity of Operations outreach to all Federal, State, territorial, tribal, and local government jurisdictions and the private.
- Integrate and validate NCP communication systems during National Level Exercises (NLE) and the Department of Defense Interoperability Communications Exercise (DICE).

FY 2010 Planned Accomplishments

- Publish Inventory Assessment Report of the public alert and warning system capabilities and resources.
- Coordinate enhancement of the State DEAS to support states using risk factors such as tornados, wild fires, earthquakes, and blizzards.
- Continue PEP Station Expansion.
- Complete design and development and initiate testing activities for CMAS.
- Complete the deployment of DEAS alert capabilities.
- Develop, coordinate, and conduct Eagle Horizon 2010 national continuity exercise.
- Replace legacy HF radio communications systems in the Regions and the state EOCs.
- Support and conduct continuity preparedness for pandemic to include conduct of the Determined Accord exercise nationwide.
- Build the nation's devolution capabilities for Federal, State, territorial, tribal, and local government jurisdictions through the Vigilant Strategy exercises and template.

F) Office of the Administrator (OA) - \$8.084 million and 39 positions/33 FTE

FEMA's mission is to undertake a broad range of activities involving prevention, protection, response, recovery and mitigation both before and after terrorist events, natural and man-made disasters. The Administrator has the ultimate responsibility for providing the leadership and direction that enables FEMA to accomplish this mission. The Deputy Administrator/Chief Operating Officer is tasked with the overall operational responsibilities at FEMA. To this end, the Office of the Administrator encompasses those resources required to provide a cohesive administrative structure whereby the decisions and mandates of the executive leadership are carried out.

- **Law Enforcement Advisor- \$.150 million**

The Law Enforcement Advisor function was created to nationally enhance communication and coordination between the FEMA and State, local and tribal law enforcement. The Law Enforcement Advisor is a part of FEMA's senior leadership team – participating in our planning meetings and on-hand during times of crisis.

- **Office of Federal Coordinating Officer (FCO) Operations (Funded through the Disaster Relief Fund except five-person support staff- HQ)- \$.100 million**

The Stafford Act directs a Federal Coordinating Officer (FCO) to do the following; 1) make an initial appraisal of the types of relief most urgently needed; 2) establish field offices as the FCO deems necessary; 3) coordinate the administration of relief from other organizations, and; 4) take other such action as directed by the President.

Upon declaration of a major disaster or emergency, the FEMA Administrator appoints an FCO who is charged with initiating all actions necessary to assure that Federal assistance is provided in accordance with the declaration, applicable laws, regulations and the FEMA-State agreement. This may include designation as *Disaster Recovery Manager*, exercising all authority to direct DRF funding in response to a disaster.

The mission of the Office of FCO Operations is to lead, train, equip, and manage FEMA's Federal Coordinating Officers to ensure their availability for rapid deployment in response to any disaster; to deliver training to develop and sustain FCO professional competencies; and to coordinate FCO assignments to meet the on-scene needs of FEMA and its emergency management partners.

The FCO program (funded through the Disaster Relief Fund) consists of forty-five officers (funded through the Disaster Relief Fund) and is administered by a five-person support staff in Washington, D.C. The primary program costs are the travel requirements to attend the training necessary to maintain credentialing and qualifications, and the communication equipment to effectively administer disaster relief from the field.

- **Center for Faith-Based and Community Initiatives- \$.868 million**

The Center of Faith-Based and Community Initiatives (CFBCI) was established by Executive Order 13397, signed by President George W. Bush in March 2006. The Center's role is to coordinate the Department's efforts in eliminating regulatory, contracting and other programmatic obstacles to the participation of faith-based and community organizations in the Department's social and community services programs.

- **Office of the Executive Secretariat - \$.100 million**

The Office of the Executive Secretariat (OES) serves as the primary point of contact for FEMA's Office of the Administrator for coordinating and providing information on departmental tasking, briefing materials and official correspondence. The OES is the central coordination point within

FEMA responsible for ensuring proper and expeditious action on all taskers and correspondence addressed to and from FEMA.

- **Management and Other Activities- \$6.866 M**

Resources includes Salaries & benefits, FEMA Sr. Management oversight activities; National Advisory Council, National Disaster Housing Task Force and the transfer of \$2.021M to the Office of the Secretary; \$2.0M for Intergovernmental Programs and \$21,000 for Secretary's travel.

Office of the Administrator Recent and Planned Accomplishments

FY 2008 Accomplishments

- Implemented the first phase of the "Vision for a New FEMA" that instituted emergency management core competencies, implemented new business approaches for managing risk and significantly increased the permanent workforce.
- Implemented the second phase of FEMA's CORE Conversion project; the transition of FEMA's four-year Cadre On-Call Response Employee (CORE) funded through the Disaster Relief Fund to permanent positions funded through FEMA's Operations, Management and Administration (OMA) appropriation.

FY 2009 Planned Accomplishments

- Implement the second phase of the "Vision for a New FEMA" that will continue the institutionalization of emergency management core competencies, the implementation of new business approaches for managing risk and the continued increase of FEMA's permanent workforce.
- Complete the final phase of FEMA's CORE Conversion project.
- Implement the National Disaster Housing Task Force.

FY 2010 Planned Accomplishments

- FEMA's new administrator will be appointed in FY 2009. The new administrator will determine the FY 2010 plans and priorities for FEMA's continued transformation.

G) Office of Policy & Program Analysis (OPPA) - \$8.732 million and 26 positions/22 FTE

The Office of Policy and Program Analysis is responsible for providing leadership, analysis coordination and decision-making support on agency policies, plans, programs and key initiatives. The Office of Policy and Program Analysis encompasses the following activities and elements:

- **Policy** provides guidance and coordination for the agency's policy system and represents the agency on department-level policy matters as well as coordinating FEMA's GAO/OIG activities.
- **Program Analysis & Evaluation (PA&E)** provides the agency's leadership with objective, comprehensive analyses of current and proposed FEMA programs and provides recommendations concerning program operations and alignment of objectives and resources with strategic priorities.
- **Strategic Planning** provides guidance to help the agency make innovative and informed decisions about FEMA's long term direction, and to facilitate integrated strategic thinking, planning and decision-making.
- **Transformation Management** provides centralized organizational change management across the agency by providing the expertise and structure to execute agency-level projects and the continuity to ensure that change efforts lead to cumulative agency improvements that make FEMA better, stronger, and faster.

- **Defense Production Act (DPA) Program** provides guidance and support for the Department of Homeland Security (DHS) and other Federal agencies to develop plans and programs to expedite and expand the supply of critical resources from the private sector for homeland security, emergency preparedness, response, recovery, and mitigation activities and critical infrastructure protection and restoration.

Office of Policy and Program Analysis Recent and Planned Accomplishments

FY 2008 Accomplishments

- Completed the full integration of Preparedness into FEMA missions and functions, including the three major functions: Grants, Training and Regional activities, as well as the developed plans for the Administration transition in 2009.
- Aligned FEMA's Future Years Homeland Security Program (FYHSP) activities and Office of Management and Budget (OMB) Performance Assessment Rating Tool (PART) measures to increase the agency's focus on quantitative performance measures as a requirement for justifying programs throughout the planning, programming, budget and execution (PPBE) process and the Department's FYHSP process.
- Completed FEMA's Strategic Plan to ensure consistency with the Secretary's goals, Administrator's Vision and the "Post-Katrina Emergency Management Reform Act of 2006," to provide clear strategic direction that guides agency programs, priorities, and resource allocation decisions
- Provided guidance and support for implementation of the Defense Priorities and Allocations System (DPAS) to support timely procurement of resources for emergency preparedness, response, recovery, and mitigation activities and critical infrastructure protection and restoration.
- Developed and coordinated DHS and interagency reports and recommendations to the Homeland Security Council and Congress on the use of DPA authorities for emergency preparedness, response, recovery, and mitigation activities and critical infrastructure protection and restoration.

FY 2009 Planned Accomplishments

- Coordinate full implementation of the transition to a New FEMA including allocating staff resources in FEMA headquarters and the regions.
- Ensure implementation of the FEMA Strategic Plan and assist with the development of FEMA component strategic plans, to include identification of strategic priorities and performance metrics.
- Conduct an analysis of the Grant Programs Directorate to determine the funding level the Directorate requires to operate.
- Support effective implementation of disaster assistance programs through economic analysis of proposed new and revised public and individual assistance rules and regulations and development of a force-sizing model.
- Establish, in coordination with the Office of Management, a comprehensive investment review process for FEMA that reinforces a business discipline and institutionalizes a results oriented, return-on-investment management culture.
- Support DHS efforts to partner with GAO to develop effective protocols, policies and procedures to ensure timely and effective interactions with GAO.
- Institute a Business Intelligence working Group to explore ways to streamline FEMA's data usability and reporting.
- Support the enactment of amendments to the DPA and issuance of Executive Order 12919 to enable more-effective use of DPA authorities in support of emergency preparedness, response, recovery, and mitigation activities and critical infrastructure protection and restoration, and provide coordination support for DPA-related hearings.

- Support DPAS implementation for timely procurement of resources for emergency preparedness, response, recovery, and mitigation activities and critical infrastructure protection and restoration.

FY 2010 Planned Accomplishments

- Monitor implementation of FEMA Strategic Plan and component strategic plans and priorities, and update as necessary to ensure a clear strategic direction for resource allocation and decision making.
- Maintain a program to produce economic analysis of proposed new and revised public and individual assistance rules and regulations that will allow FEMA to support more effectively disaster and emergency victims.
- Review and refine FEMA's investment review process for FEMA to ensure support to the agency's mission and strategic plan, and reinforces accountability to a results oriented, return-on-investment discipline.
- Implement the new protocols, policies and procedures for DHS interactions with GAO.
- Support DPAS implementation for timely procurement of resources for emergency preparedness, response, recovery, and mitigation activities and critical infrastructure protection and restoration.
- Support development of voluntary agreements by FEMA and other DHS components to facilitate private sector involvement in emergency preparedness planning and response activities and critical infrastructure protection and restoration.
- Conduct training on use of DPAS and participate in national-level exercises and support Federal agencies in preparing DPA guidance.

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H) Office of the Chief Financial Officer (OCFO) - \$46.549 million and 185 positions/157 FTE

The Office of the Chief Financial Officer supports the FEMA mission by providing financial management information, fiscal services and financial policy support to FEMA's management and oversight organizations. The OCFO is comprised of two line operating divisions: Budget Division and Financial Management Division. The operating divisions are supported by four staff functions: Financial Policy Staff; Risk Management and Compliance Staff; Financial Systems and Reporting Staff; and Business Operations Staff. OCFO also have oversight of DHS Working Capital Fund and PCS moves.

- **Budget Division (\$.982 million)** performs an ongoing role in the planning, formulation, justification, analysis, and execution of FEMA's operating, mitigation and disaster budgets. Budget has the primary responsibility for making recommendations to the Administrator and presenting FEMA's budget proposal to the Department, OMB, and Congress. After budgets are approved by the Congress and signed into law by the President, Budget monitors the agency's execution activities for conformance with executive and legislative intent.
- **Financial Management Division (\$.982 million)** performs all accounting services for 116 FEMA Appropriations. The Division reconciles accounts and ensures accuracy of trial balance for the preparation of financial statements and accompanying footnotes. It manages debt collection activities. Division personnel perform the invoice approval and payment processes for all mission assignments, reimbursables, and other intergovernmental payments. They ensure timely and accurate recording of grant obligations and process final closeouts in the financial system. As well as coordinating with internal and external entities to ensure compliance with DHS/FEMA policies, legislation and directives related to financial controls.
- **Financial Policy Staff** develops agency-wide policies, procedures and standards for all financial areas and promulgates these and related government-wide financial management requirements throughout the Agency.

- **Risk Management and Compliance Staff** is responsible for developing and implementing the Agency's Internal Controls program as defined by OMB Circular A-123.
- **Financial Systems and Reporting Staff** Provides technical support to implement and maintain the OCFO financial management systems/interfaces. Furnish accurate, relevant and timely financial information to our clients.
- **Business Operations Staff** (\$6.586 million) supports day-to-day operations of the OCFO through coordinating strategic planning, knowledge management, human capital management, Continuity of Operations (COOP) activities, leadership and staff development coordination, and management of the OCFO operational budget.
- **Management and Other Activities- \$37.999 M**
Resources includes Salaries & benefits, corporate accounts and management oversight activities

FY 2008 Accomplishments

- Completed a reorganization of the OCFO based on the organizational assessment conducted in FY 2007.
- Consolidated transactional accounting for all appropriations at the FEMA Finance Center.
- Conducted, in conjunction with the Office of Policy and Program Analysis, quarterly and special requirements Investment Working Group (IWG) meetings to provide FEMA-wide transparent review and recommendations of resources to support the senior leadership decision making process.
- In conjunction with DHS, defined requirements for a new financial management (accounting) system to replace FEMA's current financial (accounting) system – IFMIS.

FY 2009 Planned Accomplishments

- Resolve the structural pay shortfall within OMA and strengthen management controls for staffing and hiring within the Agency.
- Lead the FEMA effort to remediate known material weaknesses identified in the FY2008 financial statements audit
- Lead an Agency-wide effort to strengthen risk management and internal controls, including a review of management controls for select Agency functions, as outlined by OMB Circular A-123.
- Institutionalize FEMA's internal control process, to include the regions.
- Document and disseminate key financial management policies and procedures to improve service and support for Agency program offices
- Implement an automated Budget Tool within the OCFO and conducted training with other Agency program offices
- Develop pilot Knowledge Management tool for use in OCFO.

FY 2010 Planned Accomplishments

- Strengthen financial management systems, including the implementation of an automated budget system to support budget formulation and execution within FEMA
- Develop and implement a management dashboard to measure and track key financial management performance indicators.
- Improve the quality of financial reporting within the Agency, including the development of a detailed monthly status of funds report for all appropriations.

- Broaden implementation of automated budget tool across program offices and regions to assist in the interpretation and application of program/organizational requirements in the formulation and execution of the budget process.
- Expand Knowledge Management Tool for use across the Agencies distributed financial management community.

I) Office of Chief Counsel (OCC) - \$7.357 million and 42 positions/36 FTE

The Office of Chief Counsel (OCC) provides professional legal services to the Administrator, FEMA senior leadership, and the DHS General Counsel on all legal and policy matters before the agency and its organizational elements to support and facilitate the mission and reducing obstacles to the achievement of DHS and FEMA goals. The OCC provides legal assistance to the agency's diverse mission elements, including services related to acquisition, grants, and property management; alternative dispute resolution; budgetary and fiscal law; ethics and contractor integrity; human capital management, labor relations, and equal opportunity; information, intellectual property and privacy matters; legislation and regulations; litigation and claims; and policy coordination. OCC also provides legal assistance through Field Attorneys, who are located across the United States.

J) Office of Equal Rights (OER) - \$2.595 million and 17 positions/14 FTE

The Office of Equal Rights (OER) serves the agency and the Nation by promoting affirmative employment, and a discrimination-free workplace, and equal access to FEMA programs and benefits. OER encompasses the following activities and elements:

- **Civil Rights Program (\$348 million)** entitles any person eligible to receive disaster aid or other services from FEMA to those benefits without discrimination. The Civil Rights Program provides the following services: Technical Assistance, and Complaints Resolution. Technical assistance is provided through policy guidance to the agency in meeting Civil Rights mandates. In disaster operations, staff works closely with community organizations to resolve tensions and eliminate potential complaints. The office also provides assistance to FEMA and the national emergency management community in the effort to make publications, programs, and facilities accessible to people with disabilities. Complaints resolution is provided for anyone who believes they have been discriminated against in receiving services or benefits from FEMA.
- **Disability Coordinator (\$.260 million)**
The Disability Coordinator integrates consideration for persons with disabilities into all FEMA disaster program applications. The position coordinates with government agencies, and nonprofit disability advocacy groups to insure equal access to FEMA services and benefits for survivors with disabilities. The Disability Coordinator provides guidance and coordination on matters related to individuals with disabilities in emergency planning requirements and relief efforts.
- **Equal Employment Opportunity (EEO) Program (\$.241 million)** enforces Federal discrimination laws that cover all FEMA personnel, including DAEs and applicants for employment. Through the EEO program, OER provides a variety of services, including equal rights training for managers, supervisors, and employees; developing and maintaining an informal and formal EEO discrimination complaint process; increasing resolution of complaints through Alternative Dispute Resolution (ADR); and, proactively recruiting employees and Special Emphasis programs.
- **Management and Other Activities- \$1.746 M**
Resources includes Salaries & benefits, corporate accounts and management oversight activities

Office of Equal Rights Recent and Planned Accomplishments

FY 2008 Accomplishments

- Developed web-based EEO training programs.
- Continued agency guidelines to address Limited English Proficiency problems in emergency assistance and civil rights.
- Continued with plan of action to conduct compliance review focusing on the Katrina disaster.

FY 2009 and FY 2010 Planning Accomplishments

- Conduct management training at all FEMA facilities to help in understanding civil rights laws, the application of the laws in the Federal sector and their responsibilities as managers.
- Develop disability awareness training to ensure managers and supervisors are aware of methods/process of procuring goods and services related to reasonable accommodations.
- Develop a plan of action to conduct a FY 2009 compliance review focusing on a disaster from the previous year.

K) Office of the Associate Deputy Administrator (Regions) - \$101.260 million and 858 positions/780 FTE

The Office of the Associate Deputy Administrator serves as the agency's office through which all policy, managerial, resource and administrative actions that affect or impact the regions receive effective coordination between headquarters and regional offices. The Associate Deputy Administrator also ensures that FEMA policies, programs, administrative and management guidance are implemented in the regions in a manner consistent with the agency's overall goals. The Associate Deputy Administrator encompasses the following activities and elements:

- **Regional Offices \$8.864 million** establish a regional, all-hazards, emergency management system of preparedness, mitigation, response, and recovery through close working relationships with Federal agencies, State, tribal and local governments, business and industry, and volunteer organizations in implementing FEMA's policies and programs. The 10 Regional Offices are the primary vehicle by which the agency's policies and programs are delivered and accomplished at the State and local levels of government. The Regional Offices serve as the implementation arm for the full range of the agency's programs. The Regional Offices, which are augmented by Area Offices in the Caribbean, Hawaii and Alaska, serve all 50 states and U.S. territories. Regional staffs work directly with the States to help develop disaster preparedness plans, develop mitigation programs and respond to disasters when events exceed the capability of the State to effectively meet residents' needs.
- **Office of Regional Operations \$.740 million** serve as the agency's office through which all policy, managerial, resource and administrative actions that affect or impact the regions receive effective coordination between headquarters and the regional office. Regional Operations also ensures that FEMA policies, programs, administrative and management guidance are implemented in the regions in a manner consistent with the agency's overall goals.
- **Management and Other Activities- \$91.656 M**
Resources includes Salaries & benefits, corporate accounts and management oversight activities

Office of the Associate Deputy Administrator Recent and Planned Accomplishments

FY 2008 Accomplishments

- Established Regional Advisory Councils on emergency management issues specific to regions.
- Established Regional Emergency Communication Coordination Working Groups to advise on all aspects of emergency communication.
- Expanded FEMA's capability to work with State partners on operational planning capabilities.
- Continued policy and regulatory review and implementation.
- Continued professional staff development.
- Continued to provide support, coordination and communication between headquarters program offices and the regions.

FY 2009 and FY 2010 Planned Accomplishments

- Develop efficient and effective regional and State partnerships to facilitate a seamless end-to-end logistical system.
- Establish a proactive internal and external outreach program.
- Increase operational awareness with 24/7 Regional Response Coordination Centers.
- Continue to expand FEMA's capability to work with State partners on operational planning capabilities.
- Continue to strengthen core capabilities, competencies and capacities.
- Continue to provide support, coordination and communication between headquarters program offices and the regions.

L) Office of External Affairs (OEA) - \$16.669 million and 78 positions/66 FTE

The Office of External Affairs provides leadership, message coordination, communication, analyses, relationship building and decision-making support on Agency policies, plans, programs, key initiatives and actions that affect stakeholders. The OEA provides operational services to FEMA's mission for Legislative Affairs, Public Affairs, Intergovernmental Affairs, International Affairs, and Private Sector Initiatives.

- **Intergovernmental Affairs \$0.045 million** serves as FEMA's primary national level liaison for tribal, state, and local officials and the associations that represent their interests. The division supports senior FEMA leadership by coordinating meetings with intergovernmental partners and facilitates partner participation in the FEMA policy development process.
- **International Affairs \$0.480 million** works toward developing cross border agreements with international partners to support U.S. domestic all-hazards preparedness, response, recovery, and mitigation. The division's work is currently focused on Canada, Mexico, Israel, Russia, and NATO countries. International Affairs is also responsible for managing the International Assistance System, which is a set of plans, policies, and procedures for managing international assistance following a disaster.
- **Legislative Affairs \$0.370 million** serves as FEMA's primary liaison to congressional committees, members of Congress and their staff. The division responds to congressional committee oversight and other inquiries from individual Members and their congressional staff; notifies Congress about agency initiatives, policies, and programs; and develops and implements strategies to advance the FEMA's legislative initiatives and other interests relating to Congress.
- **Private Sector Initiatives \$0.220 million** is responsible for the initiation, planning and implementation of the activities necessary to build a private sector network and develop functional relationships with major companies and universities across the United States. The division

identifies private sector best practices to improve FEMA processes and to deliver better service to customers, and it establishes partnerships to more effectively engage the private sector, as well as the state, local, and tribal levels, in all phases of disaster management.

- **Public Affairs \$2.500 million** coordinates FEMA's public message and serves as the primary point of contact with the media and the American public to communicate FEMA's actions, activities, responsibilities, and initiatives. Public Affairs coordinates with all FEMA offices to maintain a central pool of information; tracks and manages all contacts with the media; maintains FEMA's public communications, such as press releases and the FEMA web page; and educates FEMA employees through internal communications and meetings.
- **Ready.gov \$2.500 million** is a national public service advertising campaign designed to educate and empower Americans to prepare for and respond to emergencies including natural disasters and potential terrorist attacks. Launched in 2003, the goal of the campaign is to get the public involved and ultimately to increase the level of basic preparedness across the nation.
- **Management and Other Activities- \$10.554 M**
Resources includes Salaries & benefits, corporate accounts and management oversight activities

Office of External Affairs FY 2008 (Recent) and FY 2009 & FY 2010 (Planned Accomplishments)

FY 2008 Accomplishments

- Invested in stronger regional external affairs operations through implementing first phase of establishing regional external affairs directors
- Funded development of National External Affairs training strategy to better support strategic communications efforts
- Fostered outreach to tribal, state and local officials across FEMA program and initiatives, including the Readiness Gap Analysis, IPAWS, and disaster response operations across the country.
- Developed course curriculum for IGA certification training through EMI (Emergency Management Institute, Emmitsburg, MD) and formulated national IGA cadre management for Joint Field Office disaster response and recovery support.
- Developed a pilot Integrated Emergency Management Course (IEMC) between Nogales Mexico and Nogales, Arizona. The effort is geared toward strengthening cross-border communication and information sharing during an emergency.
- Partnered with the U.S. Agency for International Development (USAID) to provide disaster management training and technical assistance to the Government of India via a Disaster Management Support Cooperative Agreement.
- Coordinated with Congressional Authorizing Committees to bring about short-term reauthorization of National Flood Insurance Program
- Established first-of-its-kind Loaned Executive program to bring private sector expertise to FEMA operations
- Coordinated the most successful National Preparedness Month effort to date with more than 3,200 Coalition Members joining the Campaign to educate individuals, families and communities on the importance of emergency preparedness. This was developed, in partnership with Sesame Workshop, a multimedia toolkit targeted to pre-school aged children and their families that aims to encourage this audience to learn about and prepare for emergencies as a family.
- Assisted two states (Pennsylvania and Georgia) and one city (Houston) in localizing the Ready Campaign. This included localizing PSAs and securing local donated media commitments.

- In partnership with Citizen Corps, American Red Cross, and The Humane Society of the United States, developed a pet preparedness toolkit that can assist animal advocates in their planning and outreach efforts as they work toward keeping their community and specifically, the pets and people who care for them, safe from disasters.

FY 2009 and 2010 Planned Accomplishments

External Affairs

- Develop and implement National External Affairs technology strategy to identify, acquire and deploy technology to support External Affairs' mission to communicate with stakeholders and the general public during disasters.
- Standardize credentialing and task books to improve capabilities and consistency in field operations.
- Increase tribal relations efforts and implement tribal liaison credentialing.
- Implement and execute a 5-year US-Mexico Work Strategy and a US-Canada Work Strategy.
- Reenergize US-Israel Working Group.
- Continue to work with NEMA and the Canadian Emergency Managers Association on cross-border mutual aid.
- Complete the exercise with Russia EMERCOM that will allow them to gain UN certification.
- Engage EMI/CDP to create an international training cadre.
- Enhance communications channels to engage private sector partners before, during and after a disaster.
- Enhance Private Sector field operations to provide proactive support to and engagement of private sector stakeholders during response and recovery operations.
- Facilitate annual private sector conference and/or meetings focused on promoting public-private partnerships as well as offering private sector partners a forum to discuss emergency management issues.
- Develop and implement communications strategies and tactics to address the challenge of public complacency in order to foster a national ethic of preparedness.

M) Management Directorate (MD) - \$229.896 million and 634 positions/539 FTE

The Management Directorate provides operational services and leadership oversight to FEMA's mission for Human Capital Management, Acquisition Management, Records and Document Management, Facilities Management and Support Services, Security Services, Information Technology Services, Disaster Reserve Workforce Management, and Occupational Safety, Health and Environment. Management Directorate also has oversight of all corporate account functions; rent, workman's comp, Federal Protection Services (FPS), mail consolidation, printing, postage and IT certification.

- **Human Capital Management \$8.320 million** plays a critical role in managing the agency's most important asset, its people. Human Capital Management is responsible for a broad range of activities, including identifying and recruiting the best available talent, and partnering with managers to retain, develop and motivate FEMA's people to reach their fullest potential. Human Capital Management encompasses workforce planning, employment and recruitment, pay and performance, training, organizational development, employee and labor relations, awards, leave, workplace programs, employee grievances and appeals.
- **Acquisition Management \$8.710 million** is designed to provide a full range of acquisition services and business solutions to FEMA's programs, partners and stakeholders. Acquisition Management is responsible for all contracting and related activities to fulfill the agency's mission.

Acquisition Management supports the procurement and contract management programs' policies, procedures, operations, contract planning, awards, administration and closeouts. Acquisition Management also manages FEMA's Competitive Sourcing Program.

- **Support Services and Facilities Management \$23.912 million** acquires and maintains adequate facilities and space, and provides support services that enable staff to effectively complete their work to achieve FEMA's mission for the National Capital Region (NCR) and Regional Operations. Support Services and Facilities Management encompasses the following activities: Customer Service; Facilities Operations and Maintenance; Repairs and Alterations; Regional Support; Space Management; Real Property Asset Management; Personal Property; Fleet Management; Publishing, Reproduction and Graphics; and Mail Operations.
- **Occupational Safety, Health and Environment (\$3.051 million)** supports and enhances the Agency operations by providing leadership, oversight, guidance and support in the protection of human health and the environment to FEMA programs, facilities and operations throughout the country. This is accomplished through the management and deployment of the National Safety Cadre, Collateral Duty Safety Officer Training, Management Evaluation Technical Assistance Reviews, Life Safety and Fire Engineering Plan Reviews, and Environmental Regulatory Compliance Review.
- **Security Services (\$17.321 million)** provides professional and comprehensive security services, programs and activities designed to protect FEMA personnel, facilities, information and equipment, including national security requirements. Security Services encompasses the following elements: Physical Security, Personnel Security, Disaster Security Operations, Technical Security Countermeasures Program, Administration Security Services, Information Security, Operations Security, Special Security Programs and Security Training.
- **Records and Document Management (\$1.792 million)** administers the Agency's statutory programs that include Records Management, Privacy Act, Freedom of Information Act, Information Quality Act, Paperwork Reduction Act, Federal Advisory Committee Act, and administrative support programs that include Correspondence Management, Forms Management, Directives Management, Research Service, and National Archives and Records Administration (NARA) Reimbursable Program. Records Management also administers and manages the enterprise systems for the collection, preservation, management and safeguarding of records, correspondence and historical research material.
- **Information Technology Services (\$65.201 million)** provides Information Technology Services in support of FEMA's missions and to enhance and maintain Information Technology (IT) infrastructure; develop and enhance key systems to support operating programs; and increase efficiencies and operation across FEMA's divisional and regional lines.
- **Disaster Reserve Workforce, (\$.550 million)** established in March 2008, this new Division grew out of the Disaster Workforce Management section within the Disaster Operations Directorate and is now led by a career Senior Executive. It is FEMA's single accountable program manager for transforming the legacy Disaster Assistance Employee program into an all-hazard Disaster Reserve Workforce. Since 70 percent or more of all FEMA employees who deploy are Disaster Reservists, this Division also coordinates policy affecting Disaster Reservists and the deployment, tracking, and FEMA-specific credentialing and training of all FEMA employees for disaster response and recovery.
- **Executive Office/Business Management Office (1.405 million)** provides Program Management and lifecycle support; assist Organizational Units with: Business process reengineering, knowledge and information management and Program and Project Management; ensure compliance of assigned programs with Agency investment review procedures and lead cross functional teams composed of individuals representing various organizations within an agency for the purpose of performing responsibilities involving program review, oversight and reporting.

- **Management and Other Activities- \$99.634 M**
Resources includes Salaries & benefits and corporate accounts activities

Management Directorate Recent and Planned Accomplishments

FY 2008 Accomplishments

- **Acquisition Management**
 - Established a strategic roadmap for the Office of Acquisition Management that outlines goals, objectives and strategies to build a world-class acquisition organization.
 - Implemented reverse auctioning capability by establishing a partnership with FedBid for the streamlined, competitive acquisition of commercial commodities.
 - Developed interfaces to the financial management system to enable migration to a new contract management and tracking system and designed associated business process improvements.
 - Developed and coordinated the addition of an Acquisition Advisor to the Federal Coordinating Officer under the ICS structure to include improving the quality of business advice and expertise during major disasters and emergencies.
- **Human Capital**
 - Continued the successful operations for staffing and increasing the authorized end strength of FEMA by 78 percent from the FY 2007 level.
 - Provided services for the hiring of approximately 13,600 disaster workforce employees.
 - Successfully completed the transfer of 576 Preparedness employees from the Department of Homeland Security Human Capital Office to FEMA's Human Capital Division.
 - Established the "BEST Workforce" initiative (a 5 year program) that will improve and engage employee professional growth and development to attract and retain a talented workforce for FEMA.
- **Information Technology**
 - Completed a disaster recovery capability for the FEMA financial system of record.
 - Transitioned National Preparedness Directorate (NPD) and Grants Program Directorate (GPD) from the DHS network to the FEMA network resulting in a cost avoidance for NPD/GPD with no negative impact on services.
 - Awarded the Enterprise Application Development, Integration, and Support (EADIS) contract to: 1) improve controls over software development while consolidating development efforts across the agency; 2) standardize architecture, eliminate duplication of efforts, provide readiness stance; and 3) provide an implementation vehicle for MD 0007.1.
 - Placed 75 percent of new FY 08 positions received by ITD into the IT Security Branch, this increased IT security staff by 200 percent resulting in the attainment of "green" on the Agency FISMA score card with a score of 98 percent .
 - Improved Protection of Data by: 1) procuring encrypted thumb drives and distributing them to employees; 2) deployed pilot PC based "Lo-Jack" system for mobile computing assets; and 3) implemented improved data protection through acquisition of encrypted storage devices and mobile encryption solutions.
 - Coordinated with 16 Federal partner agencies to developed and improve an application resulting from Executive Order #13411, which directed agencies to consolidate all Federal disaster assistance available to the victim into one portal. The Disaster Assistance Improvement Program (DAIP) was the end result of this effort.
 - Completed Phase I of IT Depot which centralized the procurement and fielding of IT commodities and provides a dramatically improved level of service.
 - Initiated transition to DHS OneNet, in which planning and circuit orders have been completed, and anticipate operational capability by the 3rd quarter of FY 2009.

- **Facilities Management and Support Services**
 - Established and staffed a new Space Management program office to improve delivery of customer space projects within the NCR.
 - Established and staffed a new Regional Operations program office to better address Enterprise Space Management needs and Regional office requirements.
 - Completed two “built to suit” facilities totaling 207,879 square feet (sf) of space to house 1,025 employees, one of which is a LEED-Silver certified building.
 - Reconfigured and re-occupied 17,000 sf of space in the NCR that houses the Federal Coordination Center, National Exercise Simulation Center, and the National Incident Management Assistance Team.
- **Security**
 - Continued rollout of HSPD-12 (SmartCard) at FEMA Headquarters.
 - Provided security support and services for new NPSC facilities in MD and VA.
 - Hired the first regional Security Officer at FEMA’s Region VIII.
 - Continued fielding of the Electronic Fingerprint System (EFS) to FEMA field locations.
- **Records Management**
 - Implemented a records management support services contract that provides support services to program offices with the development of their unique file plans and organizing their file rooms.
 - Acquired contractual support to augment the FEMA FOIA Program to assist the program with efficient FOIA processing and effective customer service.
- **Disaster Reserve Workforce**
 - Co-sponsored with the Emergency Management Institute (EMI) an 18-month initiative that will produce a standardized, NIMS-compliant credentialing process applicable to FEMA disaster workers and the 230 disaster job titles found in Joint Field Offices (JFOs).
 - Developed and deployed a web portal to provide Disaster Reservists, particularly those located outside of the Agency firewall, to access reserve-specific information while in a non-deployed status.
 - Initiated development of WebADD, a web based deployment system designed to replace the Agency’s legacy ADD system and serve as a bridge to a future Human Capital enterprise information system.
 - Prepared and forwarded through FEMA and DHS leadership, a legislative agenda to improve benefits and recruiting/retention of Disaster Reservists.

FY 2009 Planned Accomplishments

- **Business Management Office**
 - Currently and for the remainder of this FY FEMA is focused on 41 FEMA operational tanks, 200 Underground Storage Tanks and another 30 above ground tanks.
- **Acquisition Management**
 - Sustain and improve business processes by leveraging e-business technologies such as ProTrac, ProDoc, FedBid and other systems.
 - Build upon the COTR program by establishing a tiered COTR development program that provides greater levels of training based on the level of contract management required for a particular program or contract.
 - Facilitate the conduct of two Standard competitions under Circular A-76, one for a function in FEMA IT and one for a function in OCFO.

- **Human Capital**
 - Implement new technology for staffing, recruitment, workflow process and to improve FEMA's performance in comparison to OPM's 45 day hiring model.
 - Establish workforce planning methodologies for FEMA.
 - Convene career development panels to identify the optimum learning and experience paths in critical occupational specialties to ensure continued availability of leaders and technical experts to support succession driven need.
- **Information Technology**
 - Consolidate the Grants Integrated Financial Management Information System (IFMIS) into FEMA's IFMIS and clean-up data.
 - Deploy Resource Management On-line.
 - Acquire solution, build, and deploy the Human Resource System
 - Prepare integration plan to integrate Non-Disaster Grants (ND Grants) and Emergency Management Mission Integrated Environment (EMMIE) Grants System
 - Build and deploy Phase II of the Disaster Assistance Improvement Program (DAIP)
 - Deploy Risk Map
 - Establish initial operating capability for the National Emergency Simulation Center (NESC) in the Federal Coordinating Center (FCC)
 - Build all new Disaster Recovery capabilities into the DHS data centers
 - Design and implement initial operating capability of FEMA De-Militarized Zone to ensure inter-agency data and infrastructure sharing
 - Transition to DHS OneNet and to the DHS Security Operations Center.
 - Design and deploy the modernized VTC initial operating capability for the National Hurricane Center
 - Deploy encrypted thumb drives
- **Occupational Safety, Health and Environment**
 - Update credentialing plan for the National Safety Cadre to support the disaster workforce criteria.
 - Continue to develop mandated safety and health agency wide programs and required training courses.
- **Support Services and Facilities Management**
 - Implement Occupant Emergency Planning (OEP) for all NCR facilities.
 - Comply with Executive Order 13327 by documenting FEMA's Real Property Portfolio using RPMS 270Net inventory database.
 - Begin planning for Regional office relocations for Regions 2, 4, 6, 8, 9, and 10 over the next five years. These relocations are needed due to increased staffing and expiring leases.
 - Support Regional offices by implementing a five-year capital planning process and work with Regions to capture essential data and improve the process.
- **Disaster Reserve Workforce**
 - Work with planners and cadre managers for FEMA's 23 cadres to determine the number and composition of Disaster Reservists required for response and recovery operations.
 - Develop and promulgate policies (e.g. holiday compensation, sick leave, and telework) and any legislative initiatives that address benefits or training for Disaster Reservists.
 - Develop a national strategy and marketing plan to standardize and streamline recruitment of Disaster Reservists in targeted areas.
- **Security**
 - Rollout and issue DHS HSPD-12/SmartCard.
 - Implement security guard reductions at FEMA facilities.

- **Records Management**
 - Assist Directorates and Offices with file plans to prepare for the implementation of FEMA's Enterprise Records Management System (FERMS).
 - Implement the FOIA Backlog Reduction System (FBRS) to aid in the reduction of FEMA's backlogged FOIA request.
 - Provide Records Management Training to Records Liaison Officers (RLOs) to strengthen records management practices agency-wide

FY 2010 Planned Accomplishments

- **Business Management Office**

Repair, replacement, restoration and remediation of underground storage tanks and ensure they are properly maintained and are regulatory compliant FEMA has about 1,200 in its inventory which are scheduled for assessment through the life of the project (3 years approximate).

- **Acquisition Management**

- Continue to implement and refine the OAM strategic roadmap and improve the office's ability to meet customer needs.
- Facilitate the conduct of one Streamline competition (OCFO) and one Standard competition (FEMA IT) under Circular A-76.

- **Human Capital**

- Convene career development panels to identify the optimum learning and experience paths in critical occupational specialties to ensure continued availability of leaders and technical experts to support succession driven need.

- **Information Technology**

- Deploy the new DHS HR system.
- Define reservist workforce requirements for the HR system and build them into the enterprise-wide solution.
- Complete deployment of eCAPS for non-disaster acquisitions.
- Build and deploy phase 1 of EMMIE, the consolidated (disaster and non-disaster) Grants system.
- Transition to the DHS property management system.
- Expand partnerships for the operating capability of FEMA De-Militarized Zone to ensure inter-agency data and infrastructure sharing.
- Design and deploy the initial operating capability for the Hydrologic Prediction Center VTC capability.
- Synchronize Freedom of Information Act management with the new e-Mail storage capability.

- **Occupational Safety, Health and Environment**

- Develop all required safety and health programs as identified during the FY 2007-2008 management evaluation technical assistance reviews.
- Develop and implement a life safety audit and fire protection program.
- Increase the National Safety and Health Disaster Cadre workforce by 50% to maintain a fully staffed Cadre.
- Institute FEMA-wide Environment Management System processes at each applicable location/operation to ensure efficient management of compliance issues.

- **Support Services and Facilities Management**

- Evaluate options for consolidation of NCR facilities.

- Initiate development of office automation tools to enhance accountability, improve reporting and strengthen internal controls.
- Continue to provide facility and support services in support of FEMA's mission.
- Support Regional offices by managing the five-year capital planning process and work with Regions to capture essential data and improve the process.
- **Disaster Reserve Workforce**
 - Complete the standardized credentialing plan project initiated with EMI in FY 2008 and continued in FY 2009.
 - Combine skill-specific workforce requirements determined in FY 2009 with the attainment of credentials earned by Disaster Reservists to target recruitment and compensation activities using a national approach to Disaster Reservist recruiting.
 - Fund, plan, manage and execute a greatly expanded program of regularly scheduled, pre-declaration Disaster Reserve Workforce training in accordance with the newly established Agency wide credentialing plan.
- **Security**
 - Rollout and issue DHS HSPD-12/SmartCard.
 - Develop and expand duties of the Regional Security Officers.
- **Records and Document Management**
 - Improve the Personal Identifying Information (PII) breach assessment and response process by developing FEMA's Privacy Directive and SOPs to include a PII breach mitigation matrix and implementing annual PII training.
 - Develop and implement the FEMA's Enterprise Records Management System (FERMS) which will enable the Agency to quickly identify, store, and preserve records.

PPA – NATIONAL CAPITAL REGION COORDINATION (NCRC)

	Perm Pos	FTE	Amount
2008 Actual	14	12	\$5,861
2009 Enacted	20	20	\$6,342
2010 Adjustments-to-Base	0	0	\$653
2010 Current Services	20	20	\$6,995
2010 Program Change	0	0	\$0
2010 Request	20	20	\$6,995
Total Change 2009-2010	0	0	\$653

FEMA requests \$6.995 million for this activity. This is an increase of \$0.653 million over FY 2009.

CURRENT SERVICES DESCRIPTION

Established by Congress in the Homeland Security Act of 2002, the Office of National Capital Region Coordination (NCRC) advances homeland security, including all hazards preparedness, in the National Capital Region (NCR). NCRC works closely with Federal, State and local partners to sustain a common regional approach to homeland security and address selected priorities, including: (1) Federal integration and participation with National Capital Region partners; (2) catastrophic planning; (3) regional risk-based capability development, and (4) regional governance and coordination. These priorities are based on actual events and regional strategic planning efforts that have underscored the need for greater multi-jurisdictional coordination.

- **Federal Integration**

The high concentration of Federal Government facilities, assets, and personnel in the NCR places a premium on situational awareness and the coordination of Federal preparedness and response activities. NCRC will continue its crosscutting work within FEMA/DHS and with other Federal partners to enable unity of effort, provide decision support, facilitate the sharing of regional situational awareness and enhance integrated planning.

- **Catastrophic Planning**

NCRC will leverage ongoing preparedness activities to maintain and evolve multi-jurisdictional catastrophic planning processes. This includes support to State and local evacuation, sheltering and mass care planning efforts within the NCR and surrounding FEMA Region III areas.

- **Regional Level Risk-Based Capability Development**

NCRC will continue its groundbreaking regional risk analysis efforts to enable NCR leaders to make informed resource allocation and capability development decisions. Additionally, NCRC will continue its efforts to improve functional and technical interoperability, including communications, credentialing, operations center coordination and CBRNE protocols.

- **Regional Governance Participation and Coordination**

NCRC will continue to collaborate with NCR senior leaders in numerous forums, including the NCR Senior Policy Group (homeland security advisors and chief emergency managers), and provide support in sustaining a regional governance structure for homeland security. NCRC will also continue to

participate in the numerous exercises and events (e.g., NSSEs, July 4th, demonstrations, state funerals) that occur in the NCR to enhance planning and “lessons learned” efforts.

National Capital Region Coordination Recent and Planned Accomplishments

FY 2008 Accomplishments

- Improved Federal integration through development of the NCR Federal Coordination Center (NCR FCC) to provide more robust situational awareness, planning, exercise and response coordination. Initiated Presidential Inauguration planning.
- Enhanced catastrophic planning by creating an information sharing forum for Federal emergency managers; conducting Federal evacuation and emergency preparedness tabletops; and, participating in State and local planning efforts, e.g., Regional Catastrophic Preparedness Grant Program.
- Developed the NCR Strategic Hazards Identification and Evaluation of Leadership Decisions (SHIELD) risk assessment and strategic risk management approach.
- Enabled FEMA to meet P.L. 110-53 requirements to begin credentialing Federal Emergency Response Officials (F/EROs), in a manner that supports interoperability and mutual aid needs, via development of an NCR pilot.
- Produced draft NCR bio-detection notification plan, with interagency partners.
- Strengthened interoperability by coordinating agreements between DHS and NCR partners to integrate Critical Information Management Systems, and by conducting selected operations center baseline assistance visits and technology demonstrations.
- Organized award-winning Preparedness Month activities involving Federal, State, local and nonprofit partners to improve regional emergency preparedness.

FY 2009 Planned Accomplishments

- Gained unprecedented levels of information sharing among Federal, State and local agencies for the 2009 Presidential Inauguration. Activities included CONOPs development, tabletop exercises, agency representatives at NCR operations centers and utilization of the NCR FCC.
- Conduct catastrophic planning activities to more firmly establish a Federal Workforce Preparedness program, including an annual evacuation tabletop and analysis of Occupant Emergency Plans at selected Federal buildings.
- Refine NCR SHIELD risk assessment, which was referenced in FY2009 Urban Area Security Initiative (UASI) grant applications by NCR State and local partners.
- Identify and meet technical requirements to more broadly credential F/EROs and hold quarterly demonstrations as FEMA proceeds in fulfilling P.L. 110-53.
- Drill draft bio-detection notification plan, with interagency partners.
- Develop plan to support integration of key regional capabilities (e.g., Federal Regional Intranet, HSIN NCR Community of Interest, Regional GIS and Regional Wireless broadband).
- Facilitate senior leader discussion between the new DHS Secretary, the Governors of Maryland and Virginia, and the Mayor of the District of Columbia.

FY 2010 Planned Accomplishments

- Refine NCR FCC capabilities and support FEMA in formalizing an NCR-specific capability as part of FEMA NRCC operations to enhance situational awareness for Federal, State and local partners.
- Fully integrate the Federal Workforce Preparedness Program with the DHS Interagency Steering Committee and provide support and guidance for federal workforce preparedness.
- Refresh NCR SHIELD risk analysis to assist NCR leaders in making decisions and allocating scarce resources. NCR SHIELD will once again support regional leaders in developing risk-based grant requests.

- Assist FEMA in completing NCR pilot to credential F/EROS in the region, a precursor to FEMA's national roll out of F/ERO credentialing (see P.L. 110-53).
- Finalize bio-detection notification plan, identifying existing information sharing protocols and best practices with regard to CBRNE sensors located in the NCR, in concert with interagency partners.
- Publish an NCR Operations Center Guidelines Manual based on operations center assistance visits conducted in prior years.
- Continue to lead technology integration and interoperability initiatives to enable Federal, State, and local sharing of information, and to enhance regional situational awareness by incorporating best-of-breed applications and leveraging legacy or evolving state-of-the-art technologies.

PPA – URBAN SEARCH AND RESCUE (USAR)

	Perm Pos	FTE	Amount
2008 Actual	8	8	\$32,447
2009 Enacted	8	8	\$32,500
2010 Adjustments-to-Base	0	0	(\$4,500)
2010 Current Services	8	8	\$28,000
2010 Program Change	0	0	\$0
2010 Request	8	8	\$28,000
Total Change 2009-2010	0	0	(\$4,500)

FEMA requests \$28.0 million for this activity. This is a decrease of \$4.5 million from FY 2009.

CURRENT SERVICES DESCRIPTION

The National Urban Search and Rescue (USAR) system is comprised of 28 task forces that provide a coordination, national, all-risk capability to assist State and local governments in responding to structural collapse incidents when the President declares a major disaster emergency under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act). These task forces are highly trained and possess the necessary expertise to extricate and medically treat victims in heavy rescue situations.

Each task force consists of two 31-person teams, four canines, and comprehensive equipment cache. USAR task force members work in four areas of specializations: Search, to find victims trapped after a disaster; Rescue, which includes safely digging victims out of tons of collapsed concrete and metal; Technical, made up of structural specialists who make rescues safe for the rescuers; and Medical, which cares for the victims before and after a rescue.

In addition to search-and-rescue support, FEMA provides hands-on training in search-and-rescue techniques and equipment, technical assistance to local communities, and in some cases Federal grants to help communities better prepare for urban search-and-rescue operations.

Urban Search and Rescue Recent and Planned Accomplishments

FY 2008 Accomplishments

- The USAR National Response System achieved the following:
 - Conducted four Operational Readiness Evaluations to ensure the readiness of the 28 USAR Task Forces and three Corrective Action Reviews.
 - Distributed approximately \$28,982,012 in readiness grants to the USAR Task Forces to provide the USAR system crucial funding for equipment and training.
 - Developed and delivered 12 functional USAR courses.
 - Engaged the White IST and Six USAR Task Forces in support of the DOD Satellite Recovery mission in the spring of 2008.

FY 2009 Planned Accomplishments

- The USAR National Response System plans to achieve the following:
 - Conduct six Operational Readiness Evaluations to ensure the readiness of the 28 USAR Task Forces.
 - Distribute approximately \$30 million in readiness grants to the USAR Task Forces to provide the USAR system crucial funding for equipping and training.
 - Develop and deliver 12 functional USAR courses.

FY 2010 Planned Accomplishments

- The USAR National Response Systems plan to achieve the following:
 - Conduct six Operational Readiness Evaluations to ensure the readiness of the 28 USAR Task Forces.
 - Distribute approximately \$26 million in readiness grants to the USAR Task Forces to provide the USAR system crucial funding for equipment and training.
 - Develop and deliver 12 functional USAR courses.

IV. Program Justification of Changes

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management, and Administration
Justification of Program Changes**
(Dollars in Thousands)

Above Guidance Change #1 – Tank Remediation

Program Change 1: Tank Remediation

Strategic Goal(s) & Objective(s): DHS Goal 4 – Build a nimble, effective emergency response system and a culture of preparedness, Objectives 4.1 and 4.2

PPA: Operating Activities

Program Increase: Positions: 0 FTE: 0 Dollars: \$10,000

Description

FEMA requests \$10,000,000 for FEMA storage tank management activities for repair, replacement, restoration and remediation efforts. So far FEMA has reviewed its operational Storage Tank inventory. The remaining 1,200 tanks in FEMA’s inventory are currently undergoing assessment to determine status and condition.

Justification

FEMA has an inventory of over 1,000 Underground Storage Tanks, aboveground storage tanks, and rolling stock primarily for the storage of petroleum and petroleum based products to ensure operations during a disaster. Many of these tanks have not been properly maintained and are out of regulatory compliance. Some of these tanks may be leaking and contaminating the soil and groundwater and require remediation and restoration.

FEMA is liable under 40 CFR Part 280, Resource Conservation and Recovery Act and The Energy Policy act of 2005 as well as numerous state and local laws for maintaining and operating existing storage tanks in accordance with regulation, remediation of contamination, restoration of the sites and obtaining regulatory closure where applicable. Under the above listed laws FEMA is susceptible to fines, penalties and operation restrictions which could negatively impact operations and the ability to fulfill the mission. In FY 09, FEMA stood up a Program Management office to effectively manage the storage tank program.

Impact on Performance (Relationship of Increase to Strategic Goals)

This project supports the US Governments goal of each federal agency being a good steward of the environment as well as the Department of Homeland Security’s (DHS) Strategic Goal Number 5 to “Strengthen and unify DHS operations and management.” DHS Occupational Safety and Environmental Programs Strategic Goal Number 1 “Develop integrated policies, procedures, and guidance to provide sustainable program management” and Goal Number 5 “Provide advocacy and oversight to ensure the effective and efficient use of resources.” FEMA’s Strategic Goal Number 5 to “Build public trust and confidence through performance and stewardship.” Additionally the project, contributes to FEMA Management Directorate Strategic Goals 2.3. “Reduce environmental safety regulatory violations annually by 10%; and 2.4, “Ensure that all FEMA facilities, assets, and operations have appropriate safety and environmental management systems.”

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management, and Administration
Justification of Program Changes**
(Dollars in Thousands)

Above Guidance Change #2 – Data Center Development

**Program Change 2: Data Center Development
 Consolidate to Secure Data Center Environment**

PPA: Operating Activities

Program Increase: Positions: 0 FTE: 0 Dollars: \$7,900

	FY 2008 Actuals			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	
Program Increase							0	0	7,900
Total Request	0	0	\$0	0	0	\$0	0	0	\$7,900

Description

FY 2010 data center development funding will be used for the continuation of system and application migration to the two DHS Enterprise Data Centers for central DHS management in FY 2010. This funding will be managed through the WCF and includes:

- Discovery, migration planning, and scheduling activities specifically related to systems/applications that will transition to the DHS Data Centers in FY 2010
- Purchase of new equipment for placement in the DHS Data Centers as part of migration/transition efforts
- Installation of equipment racks at the DHS Data Centers
- Migration-related build-out of DHS Data Center infrastructure
- Transition of disaster recovery/backup/COOP (Continuity of Operations) capability to DHS Data Centers
- Installation of infrastructure support as part of system migrations at the DHS Data Centers
- Migration of FEMA hardware, systems/applications to occupy rack space at the DHS Data Centers.

Justification

The Data Center consolidation efforts will standardize IT resource acquisitions across Components, and streamline maintenance and support contracts, allowing for less complex vendor support and expediting response times in the event of an emergency. Benefits derived from consolidation are enhanced DHS IT security posture, improved information sharing with stakeholders, and increased operational efficiencies over time

Department of Homeland Security

**Federal Emergency Management Agency
Operations, Management, and Administration
Justification of Program Changes
(Dollars in Thousands)**

Above Guidance Change #3 – Environmental Planning and Historic Preservation

Program Change 3: Environmental Planning and Historic Preservation

PPA: Operations Activities

Program Increase: Positions: 12 FTE: 6 Dollars: \$2,345

	FY 2008 Actuals			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							14	14	\$600
Program Increase							12	6	2,345
Total Request	0	0	\$0	14	14	\$600	26	26	\$2,945

Description

The Office of Environmental Planning and Historic Preservation (EHP) are critical to FEMA mission delivery because it supports all of FEMA’s programs and facility activities in achieving their established goals and metrics. EHP integrates the protection and enhancement of environmental, historic, and cultures resources into FEMA’s mission, programs and activities. EHP ensures that FEMA’s activities and programs related to disaster response and recovery, hazard mitigation, and emergency preparedness comply with federal environmental and historic preservations laws and executive orders. EHP provides environmental and historic preservation technical assistance to FEMA staff, local, State and Federal partners, and grantees and sub-grantees. To continue to meet the program goals for Disaster Assistance, Mitigation, and Preparedness grants, the EHP Office must increase their capability, particularly at the Regional level.

Justification

The EHP Office currently has 14 FTEs; four at Headquarters and one at each of the ten regions. The EHP Office anticipates this baseline to continue in FY 2009. The Office supported EHP reviews for close to 35,000 projects in FY 2007; approximately 9,000 of those required regional staff to conduct a more intensive review and consultation process. Over time, as the workload increases beyond the EHP office’s capacity, the office is becoming less and less effective in assisting with FEMA program delivery through proactive outreach and planning, disaster readiness, and project review.

Regional EHP Staff

The Regional Environmental Officer (REO) position was created in 1997 to provide a single source of EHP support to regions in their implementation of grant programs. There has been no increase in permanent staff in the regions since this time. Although programs have added contract dollars to assist

with the technical reviews, when necessary, there are many requirements that require oversight from a permanent staff. In particular, the following three issues are the primary reasons for the increased regional workload:

1. The increase in the number of disaster declarations, requiring a larger EHP disaster workload back in the regional office as well as requiring longer field deployments to manage the EHP function in disasters.
2. An increase in new grant programs, such as non-disaster Mitigation programs and the large number of Preparedness grant programs. The Preparedness programs lacked an integrated EHP review process and did not transition to FEMA with any EHP staff resources;
3. The need to improve the disaster readiness of the EHP Cadre and meet the new FEMA vision as it relates to the Disaster Workforce.

A staffing analysis completed in the summer of 2007 [the “Environmental and Historic Preservation Staff Resource Needs Analysis”] indicated that in order for the EHP Office to (a) maintain consistency in operations when disasters occur, (b) successfully integrate EHP policies and processes into Preparedness grant projects, and (c) improve the timeliness and quality of existing EHP reviews, each Region would need additional full-time staff members to support the work currently provided by the REO.

HQ EHP Staff

The same three issues driving the increase in workload at the regional level is also impacting the HQ EHP office. The added grant programs (non-disaster Mitigation grants and Preparedness grants) have increased the policy and technical assistance needs within Headquarters. In FY 2008, the EHP Office rolled out a strategic approach to proactively address emerging issues and provide quality customer service to FEMA’s programs. This approach includes establishing program liaisons for program/policy support and disaster operations support (also the EHP Cadre manager). This strategy was implemented to improve management and oversight and help the EHP Office make significant improvements in customer service to the programs, the regions and our stakeholders.

Given all of these changes, the funding request for FY 2010 is for 10 new regional FTE and 2 new FTE for headquarters.

Impact on Performance (Relationship of Increase to Strategic Goals)

The requested funding increase will enhance FEMA’s ability to successfully achieve DHS Strategic Goal 4: Build a nimble, effective emergency response system and a culture of preparedness. This funding increase will strengthen FEMA’s core competencies and move the agency towards its vision of being the Nation’s Preeminent Emergency Management agency.

DHS Preparedness Mission – The following initiative supports achievement of DHS Objective 4.2 – Preparedness: Hazard Mitigation – EHP.

Department of Homeland Security

**Federal Emergency Management Agency
Operations, Management, and Administration
Justification of Program Changes
(Dollars in Thousands)**

Above Guidance Change #5 – Gap Analysis

Program Change 5: Gap Analysis

Strategic Goal(s) & Objective(s): DHS Goal 4 – Strengthen our Nation’s Preparedness and Emergency Response Capabilities, Objectives 4.1 and 4.2

DHS Goal 5 – Strengthen and Unify DHS Operations and Management, Objectives 5.2 and 5.3

PPA: Operating Activities

Program Increase: Positions: 0 FTE: 0 Dollars: \$3,000

	FY 2008 Actuals			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$0
Program Increase							0	0	3,000
Total Request	0	0	\$0	0	0	\$0	0	0	\$3,000

Description

FEMA requests \$3,000,000 for the Gap Analysis Program (GAP). The mission of the Gap Analysis Program is to enhance response and short-term recovery at the federal, state, and local levels. The goal of the Gap Analysis Program is to identify and eliminate shortfalls that exist between estimated requirements, standards, and performance measures and the actual response and short-term recovery capabilities maintained at all levels of government and with nongovernmental organizations and the private sector. Engage local, tribal, and state governments in an on-going process of self-awareness to determine potential disaster requirements and existing capabilities to meet those requirements in pre-defined critical areas. Increase pre-disaster awareness of response and short-term recovery gaps. Facilitate the elimination of response and short-term recovery gaps. Strengthen local, tribal, and state capabilities, thereby reducing reliance on the Federal Government for immediate disaster response and short-term recovery needs. The requested over guidance funding will support FEMA’s efforts to achieve these goals by the end of FY 2010. This is in addition to base funding of \$3,400,000 funded by the Disaster Relief Fund’s Readiness and Support Plan, which will be continued in FY10.

Justification

FEMA Senior Leadership has referred to the Gap Analysis Program (GAP) as the “cornerstone” of the new FEMA. To continue the growth and success of the program, GAP requires a dedicated funding source. GAP’s mission “to enhance disaster response capabilities at the local, state and federal levels by identifying potential shortfalls and building strategic capability to address those shortfalls” is

crucial for FEMA to accomplish its primary mission. By gathering data and analyzing shortfalls state-by-state with an all-hazards lens, GAP is providing critical information so the Agency can be better prepared to reduce the loss of life and property caused by disasters. The Gap Analysis Program is consistent with the Post Katrina Emergency Management Reform Act (PKEMRA) and important to FEMA's FY 2008-2012 Strategic Plan.

Funds from OMA support permanent full-time staff members within FEMA Headquarters and FEMA Regions. Funds would also allow staff members to implement the program by funding travel to states, support state data collection efforts, and support the inclusion on various response partners in the GAP process. Regional staff will work with states to collect and analyze data, and ultimately improve state response capabilities in a time states are faced with budget shortfalls.

Impact on Performance (Relationship to Strategic Goals)

GAP's planning and assessment processes are aligned with the tenets of FEMA's Strategic Goals and the Department of Homeland Security's Strategic Goals and Objectives that call for ensuring preparedness; strengthening and unifying response; and integrating response operations along all functional layers. GAP works to improve the ability of state and local jurisdictions to respond to disasters and to enhance the ability of federal resources to support them in those efforts. GAP supports the implementation of a more flexible, scalable response structure. Through GAP local jurisdictions, states and FEMA Regions are encouraged to share critical information, as well as coordinate operational response planning.

The data collected as a result of GAP enables FEMA and partners at every level to identify potential shortfalls prior to a disaster and develop strategies for mitigating disaster impacts. GAP succeeds through the commitment of multiple and diverse stakeholders, at all levels of government and from the private sector and nongovernmental organizations. At the federal level, DHS/FEMA, the ten FEMA regions, and interagency partners throughout the federal government support and benefit from GAP. The Department of Defense, Department of Health and Human Services, and the United States Army Corps of Engineers all play an active role in gathering, analyzing, and solving issues within their mission areas.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Federal Emergency Management Agency
Justification of Proposed Changes in Operations, Management, and Administration
Appropriation Language**

For necessary expenses for management and administration of the Federal Emergency Management Agency, \$852,200,000, including activities authorized by the National Flood Insurance Act of 1968 (42 U.S.C. 4001 et seq.), the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et seq.), up to \$7,200,000 for claims and administrative expenses authorized by the Cerro Grande Fire Assistance Act of 2000 (Div. C Title I, 114 Stat.583), the Earthquake Hazards Reduction Act of 1977 (42 U.S.C. 7701 et seq.), the Defense Production Act of 1950 (50 U.S.C. App. 2061 et seq.), sections 107 and 303 of the National Security Act of 1947 (50 U.S.C. 404, 405), Reorganization Plan No. 3 of 1978 (5 U.S.C. App.), the Homeland Security Act of 2002 (6 U.S.C. 101 et seq.), and the Post-Katrina Emergency Management Reform Act of 2006 (Public Law 109-295; 120 Stat. 1394): Provided further, That of the total amount made available under this heading \$28,000,000 shall be for the Urban Search and Rescue Response System, of which not to exceed \$1,600,000 may be made available for administrative costs; and \$6,995,000 shall be for the Office of National Capital Region Coordination. (Department of Homeland Security Appropriations Act, 2010.)

Explanation of Changes:

No significant changes are proposed.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management, and Administration
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual	2,322	2,077	\$690,551
FY 2009 Enacted	2,714	2,296	837,437
Adjustments-to-Base			
Transfers to and from other accounts:			
Transfer to OSEM (SECY Travel)	---	---	(21)
Transfer to NPD & GPD Programs to SLP	(300)	(249)	(75,900)
Transfer to OSEM Intergovernmental Program (IGP)	---	---	(2,000)
Total Transfers.....	<u>(300)</u>	<u>(249)</u>	<u>(77,921)</u>
Increases			
Sustain FEMA's core operations, mission activities & administrative support (85%)		---	109,071
Annualization of prior year part year funding.....		59	7,152
Annualization of 4-year CORE positions.....	688	585	---
Annualization of 2009 pay raise.....	---	---	---
2010 pay increase.....	---	---	7,058
Working Capital Fund Increase			337
GSA Rent.....	---	---	---
Total Increases.....	<u>688</u>	<u>643</u>	<u>123,618</u>
Decreases			
Pay for FEMA's core operations, mission activities & administrative support (85%)	---	---	---
Termination of one-time costs.....	---	---	(54,179)
Total Decreases.....	<u>---</u>	<u>---</u>	<u>(54,179)</u>
Total Adjustments-to-Base	<u>388</u>	<u>395</u>	<u>(8,482)</u>
2010 Current Services	3,102	2,691	828,955
Program Changes			
Program Increases/(Decreases)			
Data Center Migration	---	---	7,900
Gap Analysis Program	---	---	3,000
Environmental Planning and Historic Preservation (EHP)	12	6	2,345
Tank Remediation			10,000
Total Program Changes	12	6	23,245
2010 Request	3,114	2,697	852,200
2009 to 2010 Total Change	400	401	14,763

C. Summary of Requirements

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management and Administration**
Summary of Requirements
(Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	2,322	2,077	\$690,551
2009 Enacted	2,714	2,296	837,437
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	(300)	(249)	(77,921)
Increases	688	643	123,618
Decreases	---	---	(54,179)
Total Adjustments-to-Base	388	395	(8,482)
2010 Current Services	3,102	2,691	828,955
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	12	6	23,245
2010 Total Request	3,114	2,697	852,200
2009 to 2010 Total Change	400	401	14,763

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Operating Activities	2,686	2,268	\$798,595	388	395	(4,635)	12	6	23,245	3,086	2,669	\$817,205	400	401	\$18,610
2 National Capital Region Coordination	20	20	6,342	---	---	\$653	---	---	---	20	20	6,995	---	---	653
3 Urban Search & Rescue	8	8	32,500	---	---	(\$4,500)	---	---	---	8	8	28,000	---	---	(4,500)
Total	2,714	2,296	\$837,437	388	395	(\$8,482)	12	6	\$23,245	3,114	2,697	\$852,200	400	401	\$14,763

FY 2009 FTE doesn't equal the Budget Appendix, due to the FY 2009 FTE represents 85% S&B sustainment.

FY 2010 FTE doesn't equal the Budget Appendix, due to the FY 2010 President's Budget FTE represent 85% S&B sustainment.

D. Summary of Reimbursable Resources

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management and Administration
Summary of Reimbursable Resources
(Dollars in Thousands)**

Collections by Source	FY 2008 Actual			2009 Revised Estimate			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Executive Office of the President	---	---	\$9	---	---	\$0	---	---	\$0	---	---	---
Department of State	---	---	\$208	---	---	\$212	---	---	\$216	---	---	4
Nuclear Regulatory Commission	---	---	\$50	---	---	\$0	---	---	\$0	---	---	---
Department of Veterans Affairs	---	---	\$5	---	---	\$0	---	---	\$0	---	---	---
Department of Health & Human Services, ASRP	---	---	\$4,975	---	---	\$2,063	---	---	\$2,063	---	---	---
Department of Transportation, RSPA	---	---	\$346	---	---	\$353	---	---	\$360	---	---	7
Department of Justice	---	---	\$240	---	---	\$245	---	---	\$250	---	---	5
Department of Defense	---	---	\$235	---	---	\$239	---	---	\$243	---	---	4
US Army - CSEPP	36	36	\$129,214	36	36	\$134,124	36	36	\$136,579	---	---	2,455
Department of Interior	---	---	\$50	---	---	\$51	---	---	\$52	---	---	1
Environmental Protection Agency	---	---	\$50	---	---	\$0	---	---	\$0	---	---	---
Department of State, USAID	---	---	\$355	---	---	\$0	---	---	\$0	---	---	---
Department of Homeland Security	---	---	\$23,806	---	---	\$27,264	---	---	\$28,359	---	---	1,095
Department of Commerce, DAIP	---	---	\$75	---	---	\$61	---	---	\$30	---	---	(31)
Department of Defense, DAIP	---	---	\$476	---	---	\$61	---	---	\$134	---	---	73
Department of Education, DAIP	---	---	\$476	---	---	\$307	---	---	\$195	---	---	(112)
Department of Housing & Urban Development, DAIP	---	---	\$697	---	---	\$697	---	---	\$772	---	---	75
Department of Labor, DAIP	---	---	\$1,169	---	---	\$449	---	---	\$434	---	---	(15)
Department of State, DAIP	---	---	\$204	---	---	\$61	---	---	\$0	---	---	(61)
Department of Agriculture, DAIP	---	---	\$697	---	---	\$711	---	---	\$709	---	---	(2)
Department of Interior, DAIP	---	---	\$204	---	---	\$61	---	---	\$49	---	---	(12)
Department of Justice, DAIP	---	---	\$75	---	---	\$75	---	---	\$134	---	---	59
Department of Transportation, DAIP	---	---	\$75	---	---	\$61	---	---	\$0	---	---	(61)
Department of Treasury, DAIP	---	---	\$476	---	---	\$294	---	---	\$148	---	---	(146)
Department of Veterans Affairs, DAIP	---	---	\$476	---	---	\$279	---	---	\$110	---	---	(169)
Office of Personnel Management, DAIP	---	---	\$476	---	---	\$61	---	---	\$49	---	---	(12)
Small Business Administration, DAIP	---	---	204	---	---	204	---	---	628	---	---	424
Social Security Administration, DAIP	---	---	476	---	---	279	---	---	176	---	---	(103)
Department of Energy, DAIP	---	---	476	---	---	102	---	---	49	---	---	(53)
Total Budgetary Resources	36	36	166,275	36	36	168,314	36	36	171,739	---	---	3,425

Obligations by Program/Project Activity	FY 2008 Actual			2009 Revised Estimate			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Operations Activities	36	36	\$146,612	36	36	\$148,277	36	36	\$151,591	---	---	3,314
Management & Administration Activities	---	---	19,663	---	---	20,037	---	---	20,148	---	---	111
Total Obligations	36	36	166,275	36	36	168,314	36	36	171,739	---	---	3,425

E. Summary of Requirements By Object Class

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management and Administration
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes		FY 2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1	Total FTE & personnel compensation	\$183,958	\$184,002	\$230,951	\$46,949
11.3	Other than full-time permanent	\$1,152	\$1,180	\$1,204	24
11.5	Other Personnel Compensation	\$9,288	\$9,549	\$9,740	191
11.8	Special Service Pay	\$0	\$0	\$0	---
12.1	Benefits	\$52,551	\$65,425	\$103,583	38,158
13.0	Benefits - former	\$0	\$0	\$0	---
	Total, Personnel Comp. & Benefits	\$246,949	\$260,156	\$345,477	\$85,321
Other Object Classes:					
21.0	Travel	10,075	24,386	\$24,907	521
22.0	Transportation of things	252	4,132	\$4,267	135
23.1	GSA rent	28,400	36,471	\$28,605	(7,866)
23.2	Other rent	48	54	\$55	1
23.3	Communications, utilities, & other misc. charges	5,721	6,457	\$6,566	109
24.0	Printing and reproduction	857	1,371	\$1,398	27
25.1	Advisory and assistance services	22,897	27,537	\$27,534	(4)
25.2	Other services	155,126	218,725	\$170,092	(48,634)
25.3	Purchases of goods & svcs. from Gov't accounts	60,677	80,853	\$66,972	(13,881)
25.4	Operation & maintenance of facilities	4,732	6,366	\$6,493	127
25.5	Research and development contracts	153	206	\$210	4
25.6	Medical care	1,406	1,891	\$1,929	38
25.7	Operation and maintenance of equipment	2,090	2,812	\$2,868	56
25.8	Subsistence and support of persons	266	358	\$365	7
26.0	Supplies and materials	7,307	10,282	\$10,380	98
31.0	Equipment	31,311	50,074	\$50,584	510
32.0	Land & structures	63,860	58,598	\$59,184	586
41.0	Grants/Subsidies/Contributions	49,097	46,708	\$44,315	(2,393)
42.0	Indemnity	---		\$0	---
43.0	Interest & dividends	---		\$0	---
44.0	Refunds	---		\$0	---
91.0	Unvouchered	---		\$0	---
99.0	Other	---			---
	Total, Other Object Classes	\$444,275	\$577,281	\$506,723	(\$70,558)
	Total, Direct Obligations	\$691,224	\$837,437	\$852,200	\$14,763
	Unobligated balance, start of year	---	---	---	
	Unobligated balance, end of year	---	---	---	
	Recoveries of prior year obligations	---	---	---	
	Total requirements	\$691,224	\$837,437	\$852,200	

F. Permanent Positions by Grade

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management and Administration
Permanent Positions by Grade**

Grades and Salary Ranges	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
	Pos.	Pos.	Pos.	Total
Total, SES	57	57	57	---
Total, EX		---	---	---
GS-15	283	307	307	---
GS-14	534	654	659	5
GS-13	615	873	870	(3)
GS-12	525	482	880	398
GS-11	101	116	116	---
GS-10	1	1	1	---
GS-9	57	68	68	---
GS-8	35	37	37	---
GS-7	80	86	86	---
GS-6	14	13	13	---
GS-5	12	12	12	---
GS-4	7	7	7	---
GS-3	1	1	1	---
GS-2	---			---
Other Graded Positions		---		---
Ungraded Positions		---		---
Total Permanent Positions	2,322	2,714	3,114	400
Unfilled Positions EOY	341	510	467	(43)
Total Perm. Employment EOY	1,981	2,892	2,647	(245)
FTE	2,077	2,296	2,697	401
Headquarters	1,602	2,063	2,361	298
U.S. Field	720	651	753	102
Foreign Field		---	---	---
Total Permanent Positions	2,322	2,714	3,114	400
Average ES Salary	\$ 153,301	\$ 158,207	\$ 161,371	\$ 3,165
Average GS Salary	\$ 80,409	\$ 82,845	\$ 84,502	\$ 1,657
Average GS Grade	12.4	12.5	12.4	(0.07)

FY 2009 FTE doesn't equal the Budget Appendix, due to the FY 2009 FTE represents 85% S&B sustainment.

FY 2010 FTE doesn't equal the Budget Appendix, due to the FY 2010 President's Budget FTE represent 85% S&B sustainment.

G. Capital Investment and Construction Initiative Listing

Not applicable.

H. PPA Budget Justifications

Department of Homeland Security
Federal Emergency Management Agency
Operations, Management and Administration
Operating Activities
Funding Schedule
(Dollars in Thousands)

PPA: Operations Activities		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	\$182,196	\$181,527	\$238,899	\$57,372
11.3	Other than perm	1,146	1,180	---	(1,180)
11.5	Other per comp	9,271	9,549	---	(9,549)
11.8	Spec Srvc Pay	---	---	---	---
12.1	Benefits	51,975	64,450	\$102,385	37,935
13.0	Benefits-former	---	---	---	---
21.0	Travel	9,884	24,181	24,665	484
22.0	Transportation of things	222	4,082	4,164	82
23.1	GSA rent	28,117	36,181	28,305	(7,876)
23.2	Other rent	48	54	55	1
23.3	Communication, Utilities, and misc charges	5,667	6,402	6,530	128
24.0	Printing	857	1,371	1,398	27
25.1	Advisory & Assistance Services	20,470	27,537	27,534	(4)
25.2	Other Services	152,310	213,136	165,815	(47,321)
25.3	Purchase from Govt. Accts.	59,953	80,113	66,732	(13,381)
25.4	Operation & maintenance of facilities	4,732	6,366	6,493	127
25.5	Research & Development	153	206	210	4
25.6	Medical care	1,406	1,891	1,929	38
25.7	Operation & maintenance of equipment	2,090	2,812	2,868	56
25.8	Subsistence & Support of persons	266	358	365	7
26.0	Supplies & materials	6,865	10,064	10,265	201
31.0	Equipment	31,243	50,004	50,504	500
32.0	Land & Structures	63,860	58,598	59,184	586
41.0	Grants/Subsidies/Contributions	20,185	18,533	18,904	371
42.0	Indemnity	---	---	---	---
91.0	Unvouchered	---	---	---	---
Total, Operating Activities		\$652,916	\$798,595	\$817,205	\$18,610
Full Time Equivalents		2,077	2,268	2,697	429

PPA Mission Statement

Operating Activities include the basic functions of all FEMA's major mission organizations. The programs funded through this PPA include: the National Preparedness Directorate, the Grant Programs Directorate, the Mitigation Directorate, the Disaster Assistance Directorate, the Disaster Operations Directorate, the Logistics Management Directorate, and National Continuity Programs. These programs directly support FEMA's primary mission to reduce the loss of life and property and protect the Nation from all hazards, including natural disasters, acts of terrorism, and other man-made disasters, by leading and supporting the Nation in a risk-based, comprehensive emergency management system of preparedness, protection, response, recovery, and mitigation.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$244,588	\$256,706	\$341,285	\$84,579

Salaries and Benefits includes costs for 2,618 FTEs. The FY 2010 request includes an increase of \$84,579,000 for the proposed FY 2010 pay increase and inflationary costs. This increase addresses the FY 2009 structural pay issue discussed further in the OMA Congressional Justification.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$9,884	\$24,181	\$24,665	\$484

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes an increase of \$484,000 for inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$222	\$4,082	\$4,164	\$82

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request includes an increase of \$82,000 for inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Rent	\$48	\$54	\$55	\$1

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request includes an increase of \$1,000 for inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous char	\$5,667	\$6,402	\$6,530	\$128

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility service. The FY 2010 request includes an increase of \$128,000 for inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$857	\$1,371	\$1,398	\$27

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 request includes an increase of \$27,000 for inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$20,470	\$27,537	\$27,534	(\$4)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request reflects a decrease of \$4,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$152,310	\$213,136	\$165,815	(\$47,321)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The 2010 request reflects an decrease of \$47,321,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$59,953	\$80,113	\$66,732	(\$13,381)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request reflects a decrease of \$13,381,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$2,090	\$2,812	\$2,868	\$56

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request includes an increase of \$56,000 for inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$6,865	\$10,064	\$10,265	\$201

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, © used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes an increase of \$201,000 for inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$31,243	\$50,004	\$50,504	\$500

Equipment includes all costs for the purchases of persona property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes an increase of \$500,000 for inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Land & Structures	\$63,860	\$58,598	\$59,184	\$586

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to building, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2010 request includes an increase of \$586,000 for inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$20,185	\$18,533	\$18,904	\$371

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2010 request includes an increase of \$371,000 for inflation.

Department of Homeland Security
Federal Emergency Management Agency
Operations, Management and Administration
National Capital Region Coordination
Funding Schedule
(Dollars in Thousands)

PPA: national Capital Region Coordination		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	\$1,011	\$1,575	\$2,094	\$519
11.3	Other than perm	6	---	---	---
11.5	Other per comp	17	---	---	---
12.1	Benefits	254	675	898	223
21.0	Travel	28	35	28	(7)
25.1	Advisory & Assistance Services	2,421	---	---	---
25.2	Other Services	1,515	3,964	3,873	(91)
25.3	Purchase from Govt. Accts.	508	---	---	---
26.0	Supplies & materials	33	23	22	(1)
31.0	Equipment	68	70	80	10
Total, National Capital Region Coordination		\$5,861	\$6,342	\$6,995	\$653
Full Time Equivalents		12	20	20	---

PPA Mission Statement

National Capital Region Coordination (NCRC) program advances homeland security, including all hazards preparedness, in the National Capital Region (NCR). The program services as a model for other regions of the country. NCRC focuses on developing and refining a common regional approach to homeland security that results in the integrated strategies and interoperability among Federal, State, local, regional and private/non-profit stakeholders. NCRC's primary responsibilities include coordinating and participating in programs and initiatives aimed at enhancing the homeland security posture of the region. NCRC also plays valuable roles in events, drills, and exercises than occur annually in the NCR. NCRC also serves as a principal in the NCR's regional governance structure and coordinates with the NCR's Regional Emergency Support Function (RESFs) to improve preparedness in the NCR.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$1,288	\$2,250	\$2,992	\$742

Salaries and Benefits includes costs for 20 FTEs. The FY 2010 request includes an increase of \$742,000 for the FY 2010 pay increase and annualizations costs.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$28	\$35	\$28	(\$7)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request reflects a decrease of \$7,000.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$1,515	\$3,964	\$3,873	(\$91)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request reflects a decrease of \$91,000.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Supplies & materials	\$33	\$23	\$22	(\$1)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after the year put into use, (b) converted in the process of construction or manufacture, © used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request reflects a decrease of \$1,000.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Equipment	\$68	\$70	\$80	\$10

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes an increase of \$10,000.

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management and Administration
Urban Search and Rescue**

Funding Schedule

(Dollars in Thousands)

PPA: Urban Search and Rescue		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$751	\$900	\$900	\$0
12.1	Benefits	322	300	300	---
21.0	Travel	163	170	214	44
22.0	Transportation of things	30	50	103	53
23.1	GSA rent	283	290	300	10
23.3	Communication, Utilities, and misc charges	54	55	36	(20)
25.1	Advisory & Assistance Services	6	---	---	---
25.2	Other Services	1,301	1,625	404	(1,222)
25.3	Purchase from Govt. Accts.	216	740	240	(500)
26.0	Supplies & materials	409	195	93	(102)
41.0	Grants/Subsidies/Contributions	28,912	28,175	25,411	(2,764)
Total, Urban Search and Rescue		\$32,447	\$32,500	\$28,000	(\$4,500)
Full Time Equivalents		8	8	8	---

PPA Mission Statement

The National Urban Search and Rescue System is comprised of 28 task forces that provide a coordinated, national, all-risk capability to assist State and local governments in responding to structural collapse incidents when the President declares a major disaster or emergency under the Rboert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act). These task forces are highly trained and possess the necessary expertise to extricate and medically treat victims in heavy rescue situations. Funding is used to operate and train the existing task forces, maintain the equipment caches, and replace/repair equipment that has been used in training and actual disasters.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$1,073	\$1,200	\$1,200	\$0

Salaries and Benefits includes costs for 8 FTEs. The FY 2010 request is the same as FY 2009.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$163	\$170	\$214	\$44

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes an increase of \$44,000 for inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$30	\$50	\$103	\$53

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request includes an increase of \$53,000 for inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous char	\$54	\$55	\$36	(\$20)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility service. The FY 2010 request reflects a decrease of \$20,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$6	\$0	\$0	\$0

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request reflects no change from FY 2009.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$1,301	\$1,625	\$404	(\$1,222)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The 2010 request reflects a decrease of \$1,222,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$216	\$740	\$240	(\$500)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The 2010 request includes a decrease of \$500,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$409	\$195	\$93	(\$102)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, © used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request reflects a decrease of \$102,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$28,912	\$28,175	\$25,411	(\$2,764)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2010 request reflects a decrease of \$2,764,000.

I. Changes in FTE

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management, and Administration
Changes in Full-Time Equivalents**

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	1,989	2,077	2,296
INCREASES			
Increase #1: Conversion of 4-Year CORE positions to PFT	88		636
Increase #2: New Initiatives- FEMA Vision Positions		59	
Increase #3: Annualizations of Prior year position increases		160	59
Increase #4: Environmental and Historic Preservation increases			6
Sub-Total Increases	88	219	701
DECREASES			
Decrease #1: Transfer NPD and GPD programs to SALP appropriation	0		300
Sub-Total Decreases	0	0	300
Year-end Actual/Estimated FTEs	2,077	2,296	2,697
Net Change from prior year base to Budget Year Estimate:	88	219	401

FY 2009 FTE doesn't equal the Budget Appendix, due to the FY 2009 FTE represents 85% S&B sustainment.

FY 2010 FTE doesn't equal the Budget Appendix, due to the FY 2010 President's Budget FTE represent 85% S&B sustainment.

J. FY 2009 Schedule of Working Capital Fund by Program/Project Activity.

**Department of Homeland Security
Federal Emergency Management Agency
Operations, Management, and Administration**

FY 2010 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual	FY 2009 Anticipated	FY 2010 Anticipated	Increase / Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Operating Activities	\$9,785,816	\$10,153,820	\$12,506,976	\$2,353,155
National Capital Region Coordination	---	---	---	---
Urban Search and Rescue	---	---	---	---
Total Working Capital Fund	\$9,785,816	\$10,153,820	\$12,506,976	\$2,353,155

Department of Homeland Security

Federal Emergency Management Agency

State and Local Programs



**Fiscal Year 2010
Congressional Budget Submission**

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BUDGET REQUEST AND SUPPORTING INFORMATION

FEDERAL EMERGENCY MANAGEMENT AGENCY (FEMA) STATE AND LOCAL PROGRAMS

I. Appropriation Overview

A. Mission Statement for State and Local Programs:

Through the appropriation for State and Local Programs, FEMA fulfills its role as the principal component of the Department of Homeland Security (DHS) responsible for preparing State and local governments to prevent, protect against, respond to, and recover from incidents of terrorism and other catastrophic events. The appropriation provides for grants, training, exercises, and other support to assist Federal agencies, States, territories, and tribal and local jurisdictions to prepare for terrorism and major disasters. State and Local Programs funds are administered by two different organizations within FEMA: the Grants Programs Directorate (GPD) and the National Preparedness Directorate (NPD).

B. Budget Activities:

In support of the National Preparedness Guidelines and the National Strategy for Homeland Security of 2007, FEMA's FY 2010 budget for State and Local Programs is divided into three major categories: the State and Regional Preparedness Program; the Metropolitan Statistical Area (MSA) Preparedness Program; and the Training, Measurement, and Exercise Program. A separate line item appropriation is also requested for Management and Administration (M&A) of the State and Local, EMPG, and AFG programs.

Grant Programs Directorate (GPD)

GPD is responsible for administering the State and Regional Preparedness Program, and the Metropolitan Statistical Area (MSA) Preparedness Program.

State and Regional Preparedness Program:

The State and Regional Preparedness Program includes seven grant programs that provide resources to support preparedness projects that build State and local capabilities as outlined in the National Preparedness Guidelines, the Target Capabilities List, and the National Strategy for Homeland Security of 2007:

- *State Homeland Security Grant Program (SHSGP)* - This program awards grants to all 50 States, the District of Columbia, Puerto Rico, and four U.S. territories on the basis of risk and need.
- *Firefighter Assistance Grants Program* – This program is comprised of Assistance to Firefighter Grants (AFG), Staffing for Adequate Fire and Emergency Response (SAFER) Grants, and Fire Prevention and Safety Grants (FP&S). The combination provides support

to fire departments and non-affiliated emergency medical services (EMS) to improve the readiness and capability of local first-responders during all-hazards emergencies including firefighting and EMS operations. Firefighter Assistance Grants are an integral part of the Department of Homeland Security's grant programs that assist Federal agencies, States, territories, tribal, and local jurisdictions protect against, prevent, plan for, and respond to acts of terrorism and other catastrophic events.

- *Driver's License Security Grants Program (DLSGP)* – Formerly known as REAL ID, DLSGP represents the Department's initiative to prevent terrorism and reduce fraud by improving the reliability and accuracy of personal identification documents issued by States and territories.
- *The Citizen Corps Grant Program (CCGP)* - CCGP is the Department's grassroots initiative to actively involve all citizens in hometown preparedness through personal readiness, training, and volunteer service.
- *Interoperable Emergency Communications Grant Program (IECGP)* - The IECGP provides governance, planning, training and exercise, and equipment funding to States, territories, and local and tribal governments to carry out initiatives to improve interoperable emergency communications, including communications in collective response to natural disasters, acts of terrorism, and other man-made disasters.
- *Regional Catastrophic Preparedness Grant Program (RCPGP)* - The FY 2010 RCPGP is intended to support coordination of regional all-hazard planning for catastrophic events, including the development of integrated planning communities, plans, protocols, and procedures to manage a catastrophic event.
- *Medical Surge Grant Program (MSGP)* – This program provides grants that address gaps in regional medical surge capability. MSGP aims to fully utilize the Target Capabilities List (TCL) version 3.0 in award determination; serving as a pilot for use of this type of methodology.
- *Emergency Management Performance Grants (EMPG)* - This program provides grants that address emergency response and recovery activities. The EMPG program provides resources to assist State and local governments to sustain and enhance all-hazards emergency management capabilities.

Metropolitan Statistical Area (MSA) Preparedness Program:

The Metropolitan Statistical Area Preparedness Program includes:

- *Urban Area Security Initiative (UASI)* - This program provides funding to support regional collaboration on enhanced security and terrorism readiness in the Nation's highest-risk urban areas.
- *Transportation Infrastructure Protection* - In support of infrastructure protection efforts, there are three targeted grant programs (Port Security Grants, Rail/Transit Grants, and the Buffer Zone Protection Program). These programs are designed to enhance prevention and protection capabilities at the Nation's critical economic and transportation infrastructure centers. Funding is allocated on the basis of DHS' improved assessment of the risk of terrorist attacks at key mass transit systems, port assets, and other key transportation infrastructure sites.

National Preparedness Directorate (NPD)

NPD is responsible for administering the Training, Measurement, and Exercise Programs, which include exercises, training, technical assistance, and evaluations. In FY 2010, this will include the National Exercise Programs (NEP), State and Local Training Programs, Technical Assistance (TA) Programs, and Evaluations and National Assessments.

Training, Measurement, and Exercise Programs:

Training, Measurement, and Exercise Programs provide resources to support homeland security preparedness activities for State and local capabilities as outlined in the National Preparedness Guidelines and Homeland Security Act of 2002. For FY 2010, there are six programs included in Training, Measurement, and Exercise Programs:

- *National Exercise Program (NEP)* - NEP provides an organized approach to setting priorities for exercises, reflecting those priorities in a multi-year schedule of preparedness-related security exercises that serve the strategic and policy goals of the U.S. Government, and addressing findings from those exercises in a disciplined, interagency process.
- *Continuing Training Grants Program* - This program provides first responders with a comprehensive Weapons of Mass Destruction (WMD) training program that improves their capacity to prevent, protect against, respond to, and recover from acts of terrorism.
- *Technical Assistance (TA) Program* - The TA program is a capabilities-based program structured to build and sustain State and local capacity in priority preparedness activities. The TA services developed and delivered to State and local homeland security personnel address the full spectrum of the goals, priorities, and capabilities outlined in the National Preparedness Guidelines.
- *Center for Domestic Preparedness* - This program provides specialized terrorism preparedness training for emergency responders.
- *National Domestic Preparedness Consortium* - This program identifies training needs for all response disciplines responsible for terrorism and other catastrophic event prevention, deterrence, and incident response.
- *Evaluation and National Assessment Program* - This program provides for the successful performance of preparedness policy, planning, and assessments to synchronize and integrate the preparedness activities conducted across the Federal government and among the State and local stakeholders.

Management and Administration

Management and Administration (M&A) requirements for State and Local Programs (including Firefighter Assistance Grants and EMPG) are funded from a line item within the State and Local Programs appropriation.

This method of providing funds for all GPD and NPD M&A activities replaces the prior combination of respective line items in Operations, Management, and Administration (OMA) and a percentage of the top-line appropriated amounts in State and Local Programs, Firefighter Assistance Grants and EMPG. The move in 2010 to provide M&A funding via line item within the State and Local appropriation will provide additional budgetary discipline by increasing accountability and transparency. Moreover, it makes strategic planning and overall day-to-day operations easier to

accomplish for both GPD and NPD, as funding level consistency and predictability is improved. In addition, M&A provided in this way will facilitate more justifiable increases in the coming years.

Resources included in M&A are distributed to GPD and NPD to support the full range of State and Local Programs (SLP) program administration activities and FEMA's support organizations for infrastructure and administrative activities, including contributions to the Departmental working capital contributions.

C. Budget Request Summary:

In Fiscal Year (FY) 2010, FEMA requests 638 positions, 587 FTE, and \$3,867,000,000 for State and Local Programs, excluding AARA emergency funding provided in P.L. 111-5. The change from FY 2009 is as described below:

PPA 1 – State and Regional Preparedness Program (\$2,045,000,000): In FY 2010, FEMA requests \$2.045 billion for Homeland Security Prevention and Protection Programs, which includes the State Homeland Security Grant Program (SHSGP), Emergency Management Performance Grants (EMPG), Interoperable Emergency Communications Grants Program (IECGP), the Regional Catastrophic Preparedness Grants Program (RCPGP), the Medical Surge Grants Program (MSGP), the Driver's License Security Grants Program (DLSGP), the Citizen Corps Grants Program (CCGP), and Firefighter Assistance Grants (including AFG, SAFER, and FP&S).

PPA 2 – MSA Preparedness Program (\$1,437,000,000): In FY 2010, FEMA requests \$1.437 billion for grants under the Urban Area Security Initiative (UASI), the Port Security Grants Program (PSGP), the Transit Security Grants Program (TSGP), and the Buffer Zone Protection Program (BZPP).

PPA 3 – Training, Measurement, and Exercise Programs (\$210,000,000): In FY 2010, FEMA requests \$210 million for Training, Measurement, and Exercise Programs, which include the National Exercise Program (NEP), Continuing Training Grants Program (CTGP), Center for Domestic Preparedness (CDP), National Domestic Preparedness Consortium (NDPC), Technical Assistance Program, and Evaluations and National Assessment Program.

PPA 4 – Management and Administration (\$175,000,000): In FY 2010, FEMA requests \$175 million for Management and Administration to GPD and NPD to support the full range of grant administration, related preparedness activities, program administration activities, and FEMA's support organizations for infrastructure and administrative activities, including contributions to the Departmental working capital contributions. This also includes programs that were previously funded in Operations, Management and Administration (OMA); Incident Management Systems (IMS); Emergency Management Institute (EMI); Program Development and Administration; and Grants Accountability and Oversight.

**FEMA - Budget Totals for State and Local Programs (SLP),
Firefighter Assistance Grants, and EMPG**

Dollars in Thousands

BUDGET ACTIVITY	2008 Enacted*	2009 Enacted**	2010 Request***
Homeland Security Prevention and Protection Programs	2,697,500	3,007,500	2,437,000
Urban Area Security Initiative (UASI)	820,000	837,500	887,000
State Homeland Security Grant Program (SHGP)	890,000	890,000	890,000
Law Enforcement Terrorism Prevention Program (LETPP)			
National Security and Terrorism Prevention (REAL ID/BZP)			
Real ID Grants*	50,000	50,000	50,000
Buffer Zone Protection Grants (BZP)	50,000	50,000	50,000
Port Security Grants	400,000	400,000	250,000
<i>ARRA Port Security Grants</i>		<i>150,000</i>	
Rail/Transportation Security Grants	400,000	400,000	250,000
<i>ARRA Rail/Transportation Grants</i>		<i>150,000</i>	
Over-the-Road Bus Security Grants	11,500	12,000	
Trucking Industry Grants	16,000	8,000	
Stone Garden*	60,000	60,000	60,000
Homeland Security response and Recovery Programs	1,206,000	1,496,000	1,045,000
Assistance to Firefighter Grants (AFG)***			
Fire Grants	560,000	565,000	170,000
Safer Grants	190,000	210,000	420,000
<i>ARRA AFG</i>		<i>210,000</i>	
Emergency Management Performance Grants	300,000	315,000	315,000
Metropolitan Medical Response Systems (MMRS)/Medical Surge Grants	41,000	41,000	40,000
Citizen Corps Program (CCP)	15,000	15,000	15,000
Regional Catastrophic Preparedness	35,000	35,000	35,000
Interoperable Emergency Comm. Grants	50,000	50,000	50,000
Mississippi Interoperable Communications		20,000	
Emergency Operations Centers	15,000	35,000	
Other National and S&L Grant Programs/Training, Measurement and Exercise Program	324,300	272,200	210,000
Commercial Equip Direct Assist. Program	25,000	8,000	
Continuing Training Grants	31,000	31,000	23,000
Demonstration Training Grants	28,000	0	
National Domestic Preparedness Consortium	88,000	102,000	51,500
Cybercrime Counter-terrorism Training		1,700	
Center for Domestic Preparedness/Noble	62,500	62,500	62,500
National Exercise Programs	50,000	40,000	42,000
Rural Domestic Preparedness Consortium	8,800	0	
Technical Assistance Program*	12,000	11,000	13,000
Evaluations and Assessments (PPPA)	19,000	16,000	18,000
Management and Administration			175,000
Total	4,227,800	4,775,700	3,867,000

* FY08 Enacted includes \$110 million emergency funding (PL 110-161).

** Includes \$510 million of American Recovery and Reinvestment Act (ARRA) Funding; FY 2009 enacted is \$4.266 billion without ARRA funding.

*** FY 2010 Budget Request combines all grant programs into one appropriation. This display shows traditional appropriation breakdown for ease of comparison. Management and Administration is its own PPA for the first time in FY 2010.

IIa. Summary of FY 2010 Budget Estimates by Appropriation

Department of Homeland Security
Federal Emergency Management Agency
 Summary of FY 2010 Budget Estimates by Appropriation
 Total Appropriations
 (Dollars in Thousands)

Budget Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Firefighter Assistance Grants	48	\$575,645	54	\$775,000	---	\$0	(54)	(\$775,000)	---	\$0	(54)	(\$775,000)
Emergency Management Performance Grants	---	300,000	15	315,000	---	---	(15)	(315,000)	---	---	(15)	(315,000)
State and Local Programs	173	3,270,240	269	3,155,700	587	3,867,000	318	711,300	---	---	318	711,300
Net, Enacted Appropriations and Budget Estimates	221	\$4,145,885	338	\$4,245,700	587	\$3,867,000	249	(\$378,700)	0	\$0	249	(\$378,700)

Note: In FY 2010 the Firefighter Assistance Grants Program and the Emergency Management Performance Grants Program realign to the State and Local Programs appropriation.

American Recovery and Reinvestment Act (ARRA)	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
State and Local Programs (Appropriation)												
Targeted Infrastructure Capability Grants Program PPA				300,000								
Firefighter Assistance Grants (Appropriation)												
SAFER Grants PPA				210,000								
Total				\$510,000								

Iib. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security Federal Emergency Management Agency State and Local Programs

Summary of FY 2010 Budget Estimates by Program/Project Activity (Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
State and Regional Preparedness Program	---	\$0	---	\$0	---	\$2,045,000	---	\$2,045,000	---	---	---	\$2,045,000
MSA Preparedness Program	---	---	---	---	---	1,437,000	---	1,437,000	---	---	---	1,437,000
Training, Measurement, and Exercise Program	---	---	---	---	---	210,000	---	210,000	---	---	---	210,000
Management and Administration	---	---	---	---	587	175,000	587	175,000	---	---	587	175,000
State Preparedness Grants Program	65	1,111,232	101	1,141,000	---	---	(101)	(1,141,000)	---	---	(101)	(1,141,000)
Targeted Infrastructure Capability Grants Program	23	1,835,559	36	1,707,500	---	---	(36)	(1,707,500)	---	---	(36)	(1,707,500)
National Exercise Program	19	49,978	30	40,000	---	---	(30)	(40,000)	---	---	(30)	(40,000)
State and Local Training Program	42	217,532	66	232,200	---	---	(66)	(232,200)	---	---	(66)	(232,200)
Technical Assistance Program	8	11,993	12	11,000	---	---	(12)	(11,000)	---	---	(12)	(11,000)
Evaluations Program	16	18,958	24	16,000	---	---	(24)	(16,000)	---	---	(24)	(16,000)
Commercial Equipment Direct Assistance Program	---	24,988	---	8,000	---	---	---	(8,000)	---	---	---	(8,000)
Firefighter Assistance Grants	48	\$575,645	54	\$775,000	---	---	(54)	(775,000)	---	---	(54)	(775,000)
Emergency Management Performance Grants	---	300,000	15	315,000	---	---	(15)	(315,000)	---	---	(15)	(315,000)
Net, Enacted Appropriations and Budget Estimates	221	\$4,145,885	338	\$4,245,700	587	\$3,867,000	249	(\$378,700)	---	\$0	249	(\$378,700)

Note: FY 2009 total does not match Budget Appendix due to exclusion of \$510M of supplemental funding from American Recovery and Reinvestment Act of 2009 (P.L. 111-5).

III. Current Services Program Description by PPA

Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
Program Performance Justification
(Dollars in thousands)

PPA 1: STATE AND REGIONAL PREPAREDNESS PROGRAMS

	Perm Pos	FTE	Amount
2008 Actual	0	0	\$0
2009 Enacted	0	0	\$0
2010 Adjustments-to-Base	0	0	\$2,045,000
2010 Current Services	0	0	\$2,045,000
2010 Program Change	0	0	\$0
2010 Request	0	0	\$2,045,000
Total Change 2009-2010	0	0	\$2,045,000

FEMA requests \$2,045,000,000 for this activity. This is an increase of \$2,045,000,000 over FY 2009. In FY 2010 the Firefighter Assistance Grants Program and the Emergency Management Performance Grants Program are realigned into the State and Local Programs appropriation.

CURRENT SERVICES PROGRAM DESCRIPTION:

The State and Regional Preparedness Program include eight grant programs: the State Homeland Security Grant Program (SHSGP), Emergency Management Performance Grants (EMPG), Interoperable Emergency Communications Grants Program (IECGP), Regional Catastrophic Preparedness Grants Program (RCPGP), Medical Surge Grants Program (MSGP), Firefighter Assistance Grants Program (including AFG, SAFER, and FP&S), Driver's License Security Grants Program (DLSGP), and Citizen Corps Grants Program (CCGP).

State Homeland Security Grant Program (SHSGP) - \$950 million

The SHSGP is a primary funding source for building homeland security capabilities that align with the National Preparedness Guidelines (NPG) at the State and local levels. States and localities use SHSGP funds to build a wide range of homeland security capabilities. Most capabilities specific to terrorism are also applicable to large-scale natural disasters and public health emergencies. Grant allocations are based on an analysis of risk and effectiveness, but each State is assured a minimum allocation. Projects funded under SHSGP support building and sustaining capabilities at the State and local levels through planning, equipment acquisition, training, and exercise activities and helps States to implement the strategic goals and objectives included in State homeland security strategies. The SHSGP supports activities within all four homeland security mission areas, as well as the National Priorities identified in the National Preparedness Guidelines. In FY 2010, \$60 million of this funding will be used for the Operation Stonegarden Grant Program.

The accelerated funding cycle, under which guidance and applications must be developed and released in a matter of weeks, has impeded the program's ability to require grantees to develop a coordinated grant allocation strategy that can be used to track program resources. This methodology establishes a more deliberate and up-front planning process. As such, greater time is allotted for State application development and review. DHS anticipates making grant awards by the 3rd quarter of FY 2010, similar to FY 2009.

Operation Stonegarden Grant Program (OPSG)

The OPSG provides funding to designated localities to enhance cooperation and coordination between Federal, State, local, and tribal law enforcement agencies in a joint mission to secure the United States borders along routes of ingress from International borders. Funding for OPSG in 2010 prioritizes State, local, and tribal governments that continue to bear the brunt of the Southwest Border security threat. Local units of government at the county level or equivalent and federally recognized tribes may apply for funding from DHS through the State Administrative Agency (SAA).

Emergency Management Performance Grants (EMPG) - \$315 million

The EMPG program provides resources to assist State and Local governments to sustain and enhance all hazards emergency management capabilities. States have the opportunity to use EMPG funds to further strengthen their ability to support emergency management activities while simultaneously addressing issues of national concern as identified in the National Priorities of the National Preparedness Guidelines. The award allocation method will incorporate risk methodology.

Interoperable Emergency Communications Grant Program (IECGP) - \$50 million

The IECGP provides governance, planning, training and exercise, and equipment funding to States, territories, and local and tribal governments to carry out initiatives to improve interoperable emergency communications, including communications in collective response to natural disasters, acts of terrorism, and other man-made disasters. According to the legislation that created IECGP, all proposed activities must be integral to interoperable emergency communications and must be aligned with the goals, objectives, and initiatives identified in the grantee's approved Statewide Communication Interoperability Plans (SCIP). IECGP will also advance DHS near-term priorities that are deemed critical to improving interoperable emergency communications and are consistent with goals and objectives of the National Emergency Communications Plan.

Regional Catastrophic Preparedness Grant Program (RCPGP) - \$35 million

The FY 2010 RCPGP is intended to support coordination of regional all-hazard planning for catastrophic events, including the development of integrated planning communities, plans, protocols, and procedures to manage a catastrophic event.

Medical Surge Grant Program (MSGP) - \$40 million

The MSGP supports the integration of emergency management, health, and medical systems into a coordinated response to mass casualty incidents caused by any hazard. Successful MSGP grantees reduce the consequences of a mass casualty incident during the initial period of a response by having augmented existing local operational response systems before the incident occurs. This program builds on the gains made by the Metropolitan Medical Response System (MMRS) program and works in conjunction with those MMRS cities. In addition, MSGP will serve as a pilot for the application of version 3.0 of the Target Capabilities List (TCL).

Firefighter Assistance Grants - \$590 million

The Firefighter Assistance Grants program actually consists of three individual programs. The Assistance to Firefighter Grants (AFG) program, the Staffing for Adequate Fire and Emergency Response (SAFER) program, and the Fire Prevention and Safety (FP&S) program are all part of the Firefighter Assistance Grants program.

AFG awards grants directly to fire departments and non-affiliated EMS organizations throughout the United States to support one-year projects improving the effectiveness and safety of the Nation's first-responders in homeland security, firefighting, and EMS operations. Under its authorizing legislation, AFG must also expend a minimum of five percent of appropriated funds for fire prevention activities under FP&S.

FEMA's Grant Programs Directorate (GPD) administers the program, in cooperation with the United States Fire Administration (USFA). The entire AFG process is fully automated in an e-grant system. Applicants apply online, grants are awarded electronically, grantees manage their grants online (payment requests, amendments, etc.), and grants are monitored and closed out electronically.

This year's request includes an increase for the Staffing for Adequate Fire and Emergency Response (SAFER). These grants support the additional costs for salaries and benefits to hire additional firefighters on the ground across the Nation.

For FY 2010, eligible applicants will again be invited to submit an application for assistance in the following program areas most critical to enhancing the capabilities of the fire and EMS services:

- Operations and Safety program, which includes training, equipment, and personal protective equipment.
- Firefighting Vehicles Acquisition program, which includes pumpers, brush trucks, tankers/tenders, rescue vehicles, ambulances, quints, aerials, foam units, and fireboats.
- Fire Prevention and Safety activities, which includes awareness and education, arson prevention, code enforcement, burn prevention, and firefighter safety research and development.

Drivers License Security Grant Program (DLSGP) - \$50 million

Formerly known as the REAL ID program, the purpose of the FY 2009 DLSGP is to prevent terrorism, reduce fraud, and improve the reliability and accuracy of personal identification documents that States and territories issue.

Citizen Corps Program (CCP) - \$15 million

CCP funding supports Citizen Corps Councils with efforts to strengthen collaboration between government and civic leaders. These Councils serve as a collaborative planning body to develop goals and strategies for community resilience tailored to specific community vulnerabilities and populations. Elements of local strategies include: outreach and education on personal preparedness; integration of nongovernmental assets and personnel in preparedness and response protocols; improved plans for emergency notifications, evacuation, and sheltering; and increased citizen participation in community safety. Citizen Corps Councils engage citizens in personal preparedness exercises, ongoing volunteer programs, and surge capacity response in order to better prepare citizens to be fully aware, trained, and practiced on how to prevent, protect/mitigate, prepare for, and respond to all threats and hazards. This program provides funding by formula basis to all 50 States and six territories.

The CCP was established post-9/11 to empower American citizens to take responsibility for their own safety and security against all types of threats and disasters. The CCP works to ensure everyone in the country has a baseline understanding of hazards, has the information they need to prepare for and act in the event of an emergency, has access to preparedness and response training and exercise programs, and has opportunities to volunteer their time towards community preparedness. Currently, there are over 2,300 Citizen Corps Councils in jurisdictions that cover 78% of the U.S. population and is operating in all 50 States and six U.S. territories.

Recent and Planned Accomplishments

FY 2008 Accomplishments

- Interoperable Communications
 - Required States to develop and adopt a Statewide Interoperable Communications Plan (SICP). The Public Safety Interoperable Communication (PSIC) Grant Program utilized the SICP in developing grant program plans and focus areas.
 - PSIC completed its peer review of Investment Justifications in February 2008 and began releasing funding for approved investments in March 2008. Out of \$968 million awarded, over \$902 million has already been released. For investments that were not approved, robust technical assistance was provided to the States to assist with investment justification revisions with a goal of releasing all remaining funds by the end of calendar year 2008.
- In FY 2008, the following grants were made within the State and Regional Preparedness Program PPA:
 - 41 Metropolitan Medical Response System grants awards totaling \$39,831,404.
 - 56 Citizen Corps Program grants awards totaling \$14,572,500.
 - 12 Stonegarden grant awards totaling \$60,000,000.
 - 56 State Formula grant awards totaling \$861,280,000.
- FEMA received an adequate score for the SHSP and UASI Grant Programs in the OMB Program Assessment Rating Tool (PART).
- The agency fully aligned transportation infrastructure components with the SHSGP and UASI to ensure a holistic approach to preparedness in States and high risk urban areas.
- Received approximately 23,000 applications and issued approximately 5,500 grant awards. Of these, 20,739 were applications for AFG including 1,276 (6.2%) from urban jurisdictions, 3,436 (16.6%) from suburban jurisdictions, and 16,027 (77.2%) from rural jurisdictions. Grants awards began in early July 2008 and continued throughout the 2008 calendar year.
- Established a Strategic Planning process based on the results of the National Academy of Public Administration (NAPA) project, which assists in evaluating the future direction of the AFG program.
- Developed and initiated outreach efforts to improve application quality and responsiveness to applicant needs.
- Awarded (to date) 252 SAFER grants totaling \$148 million.
 - This includes 151 hiring grants (\$124 million), 89 recruitment and retention grants (\$17 million), and 12 grants which involve both activities (\$7 million).
 - The grants would result in the hiring of approximately 1,250 FFs (less the returned grants plus approx 300 FFs from the \$30 million yet to be recommended).
- Provided 58 Emergency Management Performance Grants totaling \$291,450,000.

- Established a system of communication that placed strong emphasis on increased interaction and dialogue between State and local entities applying for funds both before and during the

application process. This accomplishment ensured the projects submitted had the potential for reducing risk.

- Developed a Stakeholder Outreach Program, which served as the starting point for the 2008 grant process. This program achieved enhanced dialogue between partners and began soliciting feedback from stakeholders on grant program guidance in the summer of 2007.

FY 2009 Planned Accomplishments

- Institutionalize the program alignment, metrics and reporting system, and capabilities-based planning accomplishments from FY 2008.
- Continue to collect relevant threat and critical infrastructure data from Urban Areas for use in the risk analysis process.
- Monitor and enhance internal evaluation capabilities to further guide program planning and targeting of technical assistance efforts.
- Increase stakeholder involvement throughout the FY 2009 application process.
- Emphasize regional collaboration across multi-model systems.
- Firefighter Assistance Grants
 - Establish performance measures and performance measure reporting as recommended by NAPA in its 2007 report to AFG.
 - Plan on issuing between 120 and 150 recruitment and retention grants totaling about \$25 million.
 - Plan on issuing \$175 million in hiring grants which will equate to approximately 1,750 firefighters.
 - Complete the first stage of the strategic planning and redirection of the AFG program.
- Provide over \$300 million in Emergency Management Performance Grants.
- Develop a de-centralized process that will transition programs and functions to the FEMA regions.
- Establish an internal evaluation system with the capabilities to monitor and enhance program planning guides and technical assistance efforts more effectively.
- Continue emphasis on regional collaboration across multi-model systems.

FY 2010 Planned Accomplishments

- Monitor and enhance internal evaluation capabilities to further guide program planning and targeting of technical assistance efforts.
- Institutionalize the program alignment, metrics and reporting system, and capabilities based planning accomplishments from FY 2009.
- Using version 3.0 of the TCL, develop the Medical Surge Grant Program as a true pilot; incorporating the institutionalization of capabilities-based planning.
- Increase stakeholder involvement throughout the FY 2010 application process.
- Continue emphasis on regional collaboration across multi-model systems.
- Firefighter Assistance Grants
 - Develop and initiate an implementation plan for the use and application of the performance data gathered during FY 2009.
 - Initiate the first phase of the redirection of the AFG program as recommended by NAPA.
 - Work with associations within the fire service to better allocate grant awards strategically.

PPA 2: METROPOLITAN STATISTICAL AREA (MSA) PREPAREDNESS PROGRAM

	Perm Pos	FTE	Amount
2008 Actual	0	0	\$0
2009 Enacted	0	0	\$0
2010 Adjustments-to-Base	0	0	\$1,437,000
2010 Current Services	0	0	\$1,437,000
2010 Program Change	0	0	\$0
2010 Request	0	0	\$1,437,000
Total Change 2009-2010	0	0	\$1,437,000

*The table above excludes ARRA funding of \$300 million provided in P.L. 111-5. FEMA requests \$1,437,000,000 for this activity. There is a change of \$1,437,000,000 from FY 2009.

CURRENT SERVICES PROGRAM DESCRIPTION:

This PPA is made up of grant programs under the Urban Area Security Initiative (UASI), the Port Security Grants Program (PSGP), the Transit Security Grants Program (TSGP), and the Buffer Zone Protection Program (BZPP).

Urban Area Security Initiative Grants (UASI) - \$887 million

The UASI addresses the unique multi-disciplinary planning, operations, equipment, training, and exercise needs of high-threat, high-density urban areas, and assists them in building and sustaining capabilities to prevent, protect against, respond to, and recover from threats of acts of terrorism. This program provides funding to high-risk urban areas based on risk and effectiveness.

In FY 2010, program participants may use UASI funding to achieve or enhance all of the 37 capabilities outlined in the National Preparedness Guidelines and Target Capabilities List, as long as they enhance the capability to prevent, protect against, respond to, or recover from acts of terrorism. Proposed investments under the UASI program should focus on the National Priorities and the most urgent State and local priorities.

Port Security Grant Program (PSGP) - \$250 million

The PSGP provides grant funding to port areas for the protection of critical port infrastructure from terrorism. PSGP funds are primarily intended to assist ports in enhancing port-wide risk management capabilities, enhanced domain awareness, capabilities to prevent, detect, respond to, and recover from attacks involving improvised explosive devices (IEDs) and other non-conventional weapons, as well as training and exercises.

PSGP funds are allocated to the Nation’s highest risk port areas to address priorities identified in National Preparedness Guidelines (NPG), the National Infrastructure Protection Plan (NIPP), and the National Strategy for Maritime Security. The pool of eligible port applicants has been expanded to reflect the changes required by the SAFE Port Act, which states that all entities covered by an Area Maritime Security Plan (AMSP) may submit an application for consideration. PSGP funds support the development of an integrated risk-based decision-making process for each port area patterned after the risk management framework articulated in the NIPP. At the recommendation of the U.S. Coast Guard, in several cases, multiple port areas have been grouped together to reflect geographic proximity, shared risk, and a common waterway.

Rail/Transit Security Grant Program (TSGP) - \$250 million

The TSGP provides grant funding to support mass transit agencies within the Nation's key high-threat urban areas in their efforts to enhance security measures for critical transit infrastructure, including bus, rail, and ferry systems. This program also provides funding to Amtrak for continued security enhancements for intercity rail operations between key, high-risk urban areas throughout the United States. A risk-based approach is used to allocate TSGP funding to eligible mass transit and intra-city bus systems on a regional basis to address priorities identified in the National Preparedness Guidelines, the NIPP, and the National Strategy for Transportation Security (NSTS), with particular focus on high-risk and high consequence transit systems.

Buffer Zone Protection Program (BZPP) - \$50 million

The BZPP provides funds to build security and risk-management capabilities at the State and local levels that will help protect critical infrastructure from acts of terror. Specifically, the program helps to implement Buffer Zone Plans (BZPs) by providing funds to support planning and equipment acquisition. BZPs help identify preventive and protective measures that make it more difficult for terrorists to conduct surveillance or launch attacks within the immediate vicinity of high-risk critical infrastructure assets. BZPs are developed in cooperation between DHS and State and local officials, and help increase the preparedness capabilities of the jurisdictions responsible for the security of surrounding communities.

Recent and Planned Accomplishments

FY 2008 Accomplishments

- Created a new FEMA Directorate from multiple legacy grant management organizations: FEMA Grants Management Branch and DHS Office of Grants and Training (Office of Grant Operations and Capabilities Division).
- Transitioned key grant programs and functions to FEMA's regional offices to establish the FEMA regions as primary liaisons to State and local partners.
- Transparency – FEMA instituted a more transparent process that involves more interaction and engagement with external partners and stakeholders.
- Aggressive outreach – FEMA offered Technical Assistance in both Program Management and Investment Planning to all States and territories prior to applying for the Homeland Security Grant Program.
- Refined critical infrastructure asset list – DHS distilled nationwide data on critical infrastructure to identify approximately 2,100 highly consequential assets to focus on those assets most critical from either a national or regional standpoint. These assets were then validated by States, sector specific agencies (as outlined in the National Infrastructure Protection Plan), and the private sector.
- FEMA began the Cost-to-Capability Grant Assessment process with the goal of providing detailed analysis of selected Target Capabilities (TCL) across all grant programs to determine their effectiveness.
- Program Implementation - the following number of grants were made within this PPA:
 - 60 UASI grant awards totaling \$781,630,000.
 - 20 UASI Non-Profit grant awards totaling \$15,000,000.
 - 150 Port Security grant awards totaling \$388,600,000.
 - 38 Public Transportation Security grants awards, including six Freight Rail Security Grants and the Intercity Passenger Rail Security grant to Amtrak, totaling \$388,600,000.
 - 49 Over-the-Road Bus Security grant awards totaling \$11,172,000.
 - 45 Buffer Zone Protection grant awards totaling \$48,575,000.
 - One Trucking Industry Security grant award totaling \$15,544,000.

FY 2009 Planned Accomplishments

- Institutionalize the program alignment, metrics and reporting system, and capabilities-based planning accomplishments from FY 2008.
- Develop and establish the Cost-to-Capability Grant Assessment and provide detailed analysis of selected Target Capabilities List (TCL) activities across all grant programs to determine effectiveness, as well as develop a requirements definition document that will outline the program plan for an end-to-end system.
- Monitor and enhance internal evaluation capabilities to further guide program planning and targeting of technical assistance efforts.
- Provide additional feedback to State and local partners on the outcome of the above analysis through customized risk and effectiveness profiles.
- Manage the financial and programmatic grant management functions for over 50 grant programs constituting over \$20 billion in total grant funds.
- Support States and territories in creating more informative State Preparedness Reports with a focus on increased specificity in reporting enhanced levels of preparedness.
- Work with State and local jurisdictions to update data and information for the risk methodology, including the collection of critical infrastructure data.
- Continue to transition selected programs and functions to the FEMA Regions.
- Institutionalize the program alignment, metrics and reporting system, and capabilities-based planning accomplishments from FY 2008.
- Continue to collect relevant threat and critical infrastructure data from Urban Areas for use in the risk analysis process.
- Monitor and enhance internal evaluation capabilities to further guide program planning and targeting of technical assistance efforts.
- Increase stakeholder involvement throughout the FY 2009 application process.
- Continue emphasis on regional collaboration across multi-modal systems.

FY 2010 Planned Accomplishments

- Implement the Cost-to-Capability Initiative (C2C) that will assess the effectiveness of FEMA grant programs across the TCL.
- Continue to decrease the burden on grantees by consolidating application and reporting requirements.
- Monitor and enhance internal evaluation capabilities to further guide program planning and targeting of technical assistance efforts.
- Provide additional feedback to State and local partners on the outcome of the above analysis through customized risk and effectiveness profiles.
- Issue final awards in a timely manner.
- Institutionalize the program alignment, metrics and reporting system, and capabilities-based planning accomplishments from FY 2009.
- Increase stakeholder involvement throughout the FY 2010 application process.
- Continue emphasis on regional collaboration across multi-modal systems.

PPA 3: TRAINING, MEASUREMENT, AND EXERCISE PROGRAMS

	Perm Pos	FTE	Amount
2008 Actual	0	0	\$0
2009 Enacted	0	0	\$0
2010 Adjustments-to-Base	0	0	\$210,000
2010 Current Services	0	0	\$210,000
2010 Program Change	0	0	\$0
2010 Request	0	0	\$210,000
Total Change 2009-2010	0	0	\$210,000

FEMA requests \$210,000,000 for this activity. There is an increase of \$210,000,000 from FY 2009.

CURRENT SERVICES PROGRAM DESCRIPTION:

This PPA consists of grants, exercises, technical assistance, and training programs and includes: the National Exercise Programs, State and Local Training Programs, Technical Assistance Program, Center for Domestic Preparedness, and the Evaluation and National Assessment Program.

National Exercise Program (NEP) - \$42 million

The NEP meets the Homeland Security Presidential Directive (HSPD-8) and Homeland Security Act of 2002 requirement to establish a national, interagency-wide program to coordinate homeland security preparedness-related exercise activities. The NEP provides an organized approach to set priorities for exercises, reflect those priorities in a multi-year schedule of exercises that serves the strategic and policy goals of the U.S. Government, and address findings from those exercises in a disciplined interagency process. The White House Homeland Security Council maintains the purview of the NEP, while subcomponent programs within the NEP are managed by the National Exercise Division (NED).

The 9/11 attacks and Hurricane Katrina reinforced the importance of timely and integrated planning, decision-making, strategic coordination, and operational awareness of Federal, State, local, and private sector officials for domestic incidents. HSPD-8 required the Secretary of DHS to establish a national program to conduct homeland security preparedness-related exercises. However, requirements for interagency crisis coordination under other multiple Presidential directives and strategies extend beyond homeland security concerns. On January 26, 2007, the Homeland Security Council’s Deputies Committee, along with the Assistant to the President for Homeland Security and Counterterrorism and the Assistant to the President for National Security Affairs, reached unanimous concurrence to establish the National Exercise Program to enhance the capabilities of the Nation’s leaders to fulfill their responsibilities under any combination of emergencies and crises that may occur. Furthermore, on April 11, 2007, the President signed into action the NEP Implementation Plan, planting an official imprimatur to realize the NEP.

The NEP is based on the following:

- *National Level Exercises:* Cabinet officers and other key officials will be required to participate in five exercise events annually. One of these will be an operations-based exercise (i.e., full scale or functional/command post), the National Level Exercise (NLE). NLEs will test existing policies, plans, and capabilities in concert with intergovernmental, private sector, and international partners where appropriate.
 - *Proposed National Level Exercises:*
 - *FY 09 – International Terrorism – Prevention Focus*
 - *FY 10 – Domestic Non-Terrorism – Major Earthquake*
 - *FY 11 – Domestic Terrorism – Improvised Nuclear Device*
 - *FY 12 – International / Defense Crisis – Cyber Attack*
 - *FY 13 – Domestic Non-Terrorism – Major Hurricane*

In addition, four discussion-based exercises (i.e., tabletops or seminars), known as Principle Level Exercises (PLE), will be conducted each year to address emerging issues.

- *Interagency Ownership:* The Domestic Readiness Group (DRG) Exercise and Evaluation Sub-Policy Coordination Committee (E&E Sub-PCC) will recommend priorities, schedules, and corrective action issues to the Deputies Committee. A multi-agency NEP Executive Steering Committee, chaired by DHS, will provide day-to-day coordination of the program and frame issues for the full E&E Sub-PCC (and the DRG as appropriate).
- *Five-Year Exercise Schedule:* A multi-year schedule of exercises and exercise topics will be presented to the Deputies no later than June 30 of each year, in advance of the budget call. Existing DHS and Department of Defense (DOD) exercise scheduling conferences will be used. The schedule will be driven by U.S. Government-wide strategic priorities.
- *Corrective Action Program (CAP):* To ensure meaningful exercise outcomes, a NEP CAP process will identify, analyze, prioritize, assign, and track progress on issues identified in NEP exercises.
- *Alignment of Other Exercises:* The NEP does not replace other exercise programs, although some individual Department and Agency exercises may be incorporated into NEP exercises where they align closely with the goals and objectives. With only one NLE (rather than two), more schedule time is available for Department and Agency internal preparatory activities, which may be used to prepare for future NEP events, given the Five-Year Schedule, or to address other organizational priorities.

Recent and Planned Accomplishments

FY 2008 Accomplishments

- Conducted the TOPOFF 4 full-scale exercise and Long-Term Recovery Tabletop Exercise, produced after action documentation, and conducted After Action Conference to include a National After Action Conference.
- Conducted over 175 exercises including Federal, State, local, private sector and international partners.
- Refined and improved the Homeland Security Exercise Evaluation Program (HSEEP) Toolkit: developed software life-cycle support documentation; maintained and supported the HSEEP System; provided HSEEP System Outreach, planning, and support; maintained HSEEP Standards and Compliance Guidelines; and supported the HSEEP Website.
- Released prevention-specific HSEEP guidance.

- Identified the location for the National Exercise Simulation Center, initiated construction, and developed a concept of operations for initial operating capability.

FY 2009 Planned Accomplishments

- Conduct the first National Level Exercise focused on Prevention and information sharing (NLE 2009).
- Conduct Tier II (four), III and IV (75-100) exercises in coordination with the National Exercise Program Implementation Plan. This includes Regional Exercise Support Program, Principal Level Exercises and National Special Security Event Exercises.
- Systematize the definition, analysis, and subsequent identification and prioritization of strategic multi-agency recommendations and improvement plans (IPs) from exercises, operations, and real-world events via the Correction Action Program (CAP).
- Refine *LLIS.gov* by generating, validating, and disseminating Lessons Learned, Best Practices, Good Stories, and Practice Notes.
- Continue to refine and improve the HSEEP Toolkit: update software life-cycle support documentation; maintain and support the HSEEP System; provide HSEEP System outreach, planning, and support; maintain HSEEP Standards and Compliance Guidelines; and support the HSEEP Website.
- Continue development of the National Exercise Simulation Center.

FY 2010 Planned Accomplishments

- Conduct the National Level Exercise 2010 focused on response and recovery from an Improvised Nuclear Device.
- Conduct Tier II, III and IV exercises in coordination with the National Exercise Program Implementation Plan. This includes Regional Exercise Support Program, Principal Level Exercises and National Special Security Event Exercises.
- Continue to refine and improve the HSEEP Toolkit: update software life-cycle support documentation; maintain and support the HSEEP System; provide HSEEP System outreach, planning, and support; maintain HSEEP Standards and Compliance Guidelines; and support the HSEEP Website.
- Continue refinement of the National Exercise Simulation Center (NESC).

State and Local Training Programs - \$137 million

The State and Local Training Program provides first responders with a comprehensive Weapons of Mass Destruction (WMD) training program that improves their capacity to prevent, protect against, respond to, and recover from acts of terrorism. In administering this program, the Training and Exercise Integration (TEI) Division within the National Integration Center oversees, coordinates, and strives to institutionalize the development and delivery of comprehensive training that targets members of the responder community, providing WMD knowledge to enhance their skills and abilities. Ensuring the quality and consistency of training of first responders is a key element in FEMA's preparedness mission.

- **Center for Domestic Preparedness (\$62.5 million).** Funds for the Center for Domestic Preparedness (CDP), a component of FEMA's National Integration Center (NIC), are allocated to provide specialized terrorism preparedness training for State, local, and tribal emergency responders on capability-building skills tied to national priorities, especially those related to Weapons of Mass Destruction (WMD), and to sustain and modernize the facilities at CDP. This one of a kind national asset is the only federally chartered WMD training facility. The CDP offers

a unique environment providing advanced, hands-on, all-hazards preparedness training to State, local, and tribal emergency responders. The facilities operated by the CDP offer a unique capability that enables responders to train using toxic nerve agents while ensuring an optimized and safe learning environment for students. Within the funding provided for FY 2010, \$5.5 million is to be used to operate the Noble Training Facility (NTF). The NTF is the only hospital facility in the United States dedicated solely to training hospital and healthcare professionals in disaster preparedness and response operations. The NTF addresses training gaps identified by the healthcare response community and trains healthcare professionals to meet all-hazard threats in a realistic hospital environment. In addition to developing and delivering emergency responder training at various levels for a broad range of emergency response disciplines, the CDP also participates in efforts to standardize and decentralize this training for State, local, and tribal responders, while maintaining training quality and gathering meaningful evaluation data for continuous program improvement and effective program management. The CDP also performs response-focused tests and evaluations of emergency response equipment. The CDP maintains a campus of 124 acres and approximately 900,000 square feet of training and support facilities. The CDP provides one of a kind training facilities and environments for emergency responders to conduct specialized, advanced hands-on training in realistic and challenging training venues that are not typically available at the State, local or tribal level.

- **Continuing Training Grant Program (CTGP) (\$23 million).** Funds for the CTGP are administered through the HSNTP and are managed by the Training and Exercise Integration Division within the National Integration Center (NIC). CTGP programs traditionally meet the continuing training needs of responder communities and consist of current training partners that have previously received grant funding to provide training and education. In addition to providing training across various responder disciplines, CTGP also includes programs that deliver homeland security curricula in the form of executive education programs and accredited master's degree education, such as the Center for Homeland Defense and Security (CHDS) at the Naval Postgraduate School in Monterey, CA.
- **National Domestic Preparedness Consortium (NDPC) (\$51.5 million).** Funds for the NDPC are administered and managed by the Training and Exercise Integration (TEI) Division, a component of the NIC. The NDPC works with other NIC training components to identify training needs for all response disciplines responsible for terrorism and other catastrophic event prevention, deterrence, and incident response. Current NDPC membership is a partnership between universities and the government:
 - The Energetic Materials Research and Testing Center (EMRTC), New Mexico Institute of Mining and Technology (New Mexico Tech), Socorro, NM.
 - The National Center for Bio-Medical Research and Training (NCBRT), Louisiana State University (LSU), Baton Rouge, LA.
 - The National Emergency Response and Rescue Training Center (NERRTC) at Texas A&M University, College Station, TX.
 - The U.S. Department of Energy's (DOE) Nevada Test Site (NTS)/Counter Terrorism Operations Support (CTOS).

Each of the NDPC components focuses on development and delivery of products and services according to their institutional expertise. Under this arrangement, the NDPC demonstrated results in the Nation's unified effort to bring all levels of government, business, and the emergency response community to enhanced levels of preparedness. Initially, the courses were focused on WMD, but Homeland Security Presidential Directive 8 (HSPD-8) expanded the course portfolio of the NDPC to encompass all hazards.

Recent and Planned Accomplishments

Center for Domestic Preparedness

FY 2008 Accomplishments

- More than 114,000 State, local, and tribal emergency responders participated in CDP training courses in FY 2008: 14,171 were through resident training programs; 60,625 were through non-resident training programs; and 39,744 were through indirect/train-the-trainer programs.
- The CDP executed 2,167 on-site training offerings through mobile training teams (MTTs), at no cost to the jurisdiction. This non-resident training increased 60% during FY 2008, reflecting the success of a new grassroots methodology to accomplish “State-based” training. This approach focuses on the unique needs of the local jurisdiction, tailoring training to the responders’ requirements. These MTT events provided critical hands-on training to the local jurisdiction to meet their specialized needs.
- To achieve greater levels of collaboration with, and support to, States and tribes, the CDP expanded satellite training operations using an eastern, central, and western area framework. Increasing our proximity improved coordination and oversight for mobile training events, and assisted the States and FEMA regions in identifying State, local and tribal training needs.
- MTTs delivered “special event” training that included on-scene training for the two 2008 Presidential nomination conventions, with 25 classes supporting the Republican National Convention and 67 classes supporting the Democratic National Convention. More than 4,000 responders trained for these high-visibility events. The CDP’s MTTs also conducted on-scene training for Pennsylvania State police officers in preparation for the 2008 Annual Governors Conference in Philadelphia, PA, and in Tampa, FL in Preparation for Super Bowl XLIII.
- The CDP accelerated the mentorship training delivery initiative for States and locals in 2008. The Mentoring Program was designed to train, qualify, and develop local instructors to provide training to their peers within and surrounding their jurisdictions. This program is similar to the train-the-trainer programs, but it takes instructor development one-step further by providing in-class support as the new trainer delivers initial training sessions in courses beyond the awareness level.

FY 2009 Planned Accomplishments

- Train over 110,000 State, local, and tribal responders per year in resident, non-resident, train-the-trainer, and blended learning programs.
- Build new training partnerships to expand training opportunities by 10% per year with particular focus on the Noble Training Facility for expanded medical and health care professionals training.
- Expand the training operations at the Chemical, Ordnance, Biological and Radiological (COBRATF) by 10% per year to incorporate more diverse and challenging training and exercise activities in a realistic environment not available anywhere else in the United States. Integrate ordnance, biological, and radiological modules, where appropriate, into COBRA.
- Develop a formal relationship with United States Northern Command (NORTHCOM) and the National Guard Bureau to identify appropriate levels of collaboration in support of common missions related to Homeland Security, Homeland Defense, and Civil Support through training.
- Develop and expand the CDP’s unique training venues, to include the 500 Area Training Complexes, to make them more diverse, complex, and realistic to support multiple training, exercise, and evaluation activities in support of CDP and other training partner operations, thus establishing the CDP as the National Training Center for advanced responder education, training, and exercise.

FY 2010 Planned Accomplishments

- Further expand training venues (500 Area, Noble, COBRATF), by adding advanced CBRNE technology to training programs, enhancing scenarios by incorporating simulations as appropriate, and upgrading realistic training venue environments that further challenge the responder students' planning, decision-making skills, and the implementation of operational tactics.
- Identify and further expand training partnerships internal and external to DHS and FEMA that support the mission of the CDP and other agencies focused on State, local, and tribal emergency response capabilities to incidents of terrorism or natural disaster involving CBRNE or mass casualties.
- Increase mobile training capabilities by 10% per year by providing police academies, fire academies, local community colleges, universities, and major metropolitan departments with opportunities to participate in the CDP's mentor program with the intent to institutionalize CDP training and development of a local training delivery capability through partnerships designed to meet annual refresher and sustainment training requirements.
- Expand integrated training exercise opportunities across training courses, disciplines, and target capabilities to add realism based on complex scenarios, incorporating multiple threats, multiple targets, mass casualty incident response, and other facets associated with events involving CBRNE.
- Execute prioritized maintenance, repair, and replacement of facilities addressing critical backlog maintenance and repair to infrastructure in accordance with the CDP Facilities master Plan.

Recent and Planned Accomplishments

Training and Exercise Integration (TEI) Division

FY 2008 Accomplishments

- Administered funding for the FY 2008 Competitive Training Grant Program (CTGP), and the FY 2008 Homeland Security National Training Program (HSNTP), which includes the NDPC, Rural Domestic Preparedness Consortium (RDPC), and the Continuing and Emerging Grant Programs.
- Through the HSNTP and CTGP, TEI trained nearly 111,000 responders in FY 2008 in resident, non-resident, and train-the-trainer programs, and reached out to more than 185,000 responders with preparedness information through satellite broadcasts.
- Completed analysis of 11 target capabilities, conducted analyses on 100% of current TEI/TO approved courses, and produced guidance on aligning applicable courses to those 11 target capabilities.
- Completed 100 instructor audits.
- Conducted site visits and/or attended course pilots for 100% of current training providers.

FY 2009 Planned Accomplishments

- Training: Train an additional 110,000 responders in resident, non-resident, train-the-trainer, and blended learning programs.
- Target Capabilities Course Alignment: Revise 25% of TEI approved courses so that they align to applicable capabilities. Analyze an additional 10 capabilities and align applicable courses to target capabilities. Revise curricula to accomplish alignment.
- CTGP: Conduct detailed review of continuing and emerging training programs, and provide recommendations for funding and implementation to NPD leadership.
- Grant Oversight: Conduct site visits of all new training providers.

- Course Review: Continue conducting course review and certification of 100% of courses developed by TEI Training Partners.

FY 2010 Planned Accomplishments

- Training: Train an additional 125,000 responders in resident, non-resident, train-the-trainer, and blended learning programs.
- Target Capabilities Course Alignment: Revise an additional 50% of TEI approved courses so that they align to applicable capabilities. Ensure that any new courses are fully aligned with applicable target capabilities from inception.
 - Analyze an additional 10 capabilities (given additional funding) and align applicable courses to target capabilities. Rewrite/revise curricula to accomplish alignment.
 - Explore packaging of aligned courses for use by community colleges and universities as part of sustainment efforts.
- Grant Oversight: Conduct site visits of all new training providers.
- Instructor Audit: Conduct course audits in 10% of TEI approved classes.
- Course Review: Continue conducting course review and certification of 100% of courses developed by TEI Training Partners.

Technical Assistance (TA) Program - \$13 million

The Homeland Security Planning & Technical Assistance Program (HSPTAP) is a capabilities-based program structured to build and sustain State and local capacity in priority preparedness activities. Under this vision, the TA services developed and delivered to State and local homeland security personnel address the full spectrum of the goals, priorities, and capabilities outlined in the National Preparedness Guidelines. As capability gaps are identified, the TA program develops services that can address those needs and build priority capabilities in the most critical areas. The TA program is designed to be an agile program that addresses present day areas of greatest State and local need.

The program is committed to transferring and institutionalizing knowledge at the State and local level and provides a dynamic menu of services responsive to national priorities. The TA program is performance-based and effectively leverages limited resources. TA support is provided through lessons learned and best practices, planning guidance and templates, and direct support through workshops, subject-matter expert access, and planner support.

Technical assistance support requirements are characterized into three areas:

- Planning Services
- Prevention
- Grants Management

The Technical Assistance Program's processes will also serve as a conduit for direct support from other Directorates within FEMA, and potentially other components within the Department.

- **Planning Services TA** – The enhancement of planning and planning capabilities at all levels of government is critical to national preparedness. Planning services are provided in support of all threats and hazards, as well as across all Target Capabilities. The programs under this category draw on the subject-matter expertise resident within FEMA and the Department overall, as well as from throughout the emergency response community. The primary focus for this support is on planning for catastrophic events, as well as enhancing overall planning to provide for improved deliberate and crisis action planning at the State and local level. Additionally, these services will support the development of planning guidance and planning standards or measures, to include revision of the Planning Target Capability. Finally, these services will be leveraged to provide

support to specialized planning projects, such as the Regional Catastrophic Preparedness Program and the Task Force for Emergency Readiness (TFER).

- **Prevention TA** - The establishment of a network of fusion centers to facilitate effective nationwide information sharing is a top priority that requires close collaboration among Federal, State, and local partners. To facilitate the development of a national fusion center capability, the U.S. Department of Homeland Security's (DHS) National Preparedness Directorate (NPD) and the U.S. Department of Justice's (DOJ) Bureau of Justice Assistance (BJA) have partnered to develop the *Fusion Process Technical Assistance Program*. This program has been developed in support of the DHS Office of Intelligence and Analysis (I&A) and in coordination with the Office of the Director of National Intelligence (ODNI); the Office of the Program Manager, Information Sharing Environment (PM-ISE); the Federal Bureau of Investigation (FBI); and experts from the State and local community— including the Global Justice Information Sharing Initiative (Global), the Criminal Intelligence Coordinating Council (CICC), and the Global Intelligence Working Group (GIWG). The joint DHS NPD/DOJ Fusion Process Technical Assistance Program provides several direct support and subject matter expert (SME) services focusing on fusion centers. This includes assistance to State and local jurisdictions on developing, implementing, and operating fusion centers.
- **Grants Management TA** - We are requesting that a separate budget line item for Grants Management Technical Assistance be continued. The *Grants Management Technical Assistance Program* facilitates grants management through focused technical assistance for all FEMA's grantees on pressing issues and concerns faced in the management of FEMA grants. The main objectives of the Grants Management Technical Assistance are to: (1) help participants in developing/revising effective policies, procedures, and practices in critical areas of grants management; (2) facilitate problem-solving in addressing specific grants management issues; (3) apply proven business practices that will create greater efficiency in the use of human capital to meet grants management priorities (i.e., monitoring, strategic planning, organization, program implementation, staff training, auditing, performance measurement); (4) improve participants' ability to conduct successful Federal and State programmatic and financial monitoring; (5) prepare participants for performance and financial audits; (6) improve participants' decision-making skills by focusing on more performance-oriented solutions which are consistent with State strategies and priorities; and (7) improve collaboration among policy, program, and financial staff as an effective means to integrate grants management operations.

Recent and Planned Accomplishments

FY 2008 Accomplishments

- Provided over 113 TA deliveries to States and localities addressing all topic areas to support capability enhancement.
- Developed interim Comprehensive Preparedness Guidance (CPG) for all-hazards emergency operations planning (CPG-101), planning for special needs populations (CPG-301), and other preparedness guides.
- Co-sponsored the 2008 National Fusion Center Conference, the Fire Service Intelligence Enterprise Conference, and four regional fusion center workshops.

FY 2009 Planned Accomplishments

- Expand programs and activities to increase planning and technical assistance across all mission areas, to include integrating prevention and protection information into response, recovery, and

mitigation planning. Meet 80% of technical assistance requests with an average response time of three days.

- Continue roll-out and implementation of a National Planning System. Establish National Planning Guidelines which will serve as the basis for all planning guidance. Provide further TA on catastrophic planning based on the results of the Nationwide Plan Review, national priorities, and various assessment tools. Finalize CPG-101, an all-hazards planning guide for State, tribal, local, and territorial governments.
- Complete draft of CPG-302 which provides planning guidance for incorporating household pets and service animals into the planning efforts.
- Complete FY 2007-2008 report for RCPGP; complete FY 2009 guidance package.
- Co-sponsor the 2009 National Fusion Center Conference, the IACP Criminal Intelligence Sharing Summit, the Health Security Intelligence Enterprise Conference, and four regional fusion center workshops. Increase number of technical assistance requests fulfilled by reaching larger numbers at sponsored conferences.

FY 2010 Planned Accomplishments

- Expand national-level planning guidance across all mission areas. Increase direct support programs to expedite the revision of State Emergency Operations Plans and the development of Regional Base Plans. Conduct National Planning Conference to focus on the issues and challenges facing planners at the Federal, State, and local level. Increase number of technical assistance requests fulfilled by meeting demand through sponsored conferences.
- Design, develop, and deliver a new chapter of fusion process TA services to facilitate the development of advanced fusion process capabilities in fusion centers nation-wide.
- Continue to partner with interagency representatives, to include Emergency Support Function leads, to ensure planning requirements are addressed across all mission areas and Target Capabilities.
- Continue to partner with interagency partners, including the FBI, DHS Intelligence and Analysis (I&A), and the Office of the Director of National Intelligence (ODNI) to support development and implementation of new services focused on privacy training, security issues (clearances, classifications, etc.), integration of the health security community in information sharing and fusion center efforts, and coordination between fusion centers and Emergency Operations Centers (EOC).
- Co-sponsor the 2010 National Fusion Center Conference, as well as four regional fusion center workshops.

Evaluation and National Assessment Programs - \$18 million

The National Preparedness Directorate (NPD) Evaluations and Assessments program works to measure the effectiveness of preparedness programs and develop policy in support of its all-hazards preparedness mission. These efforts gather, analyze, and interpret national and program-specific data in the context of national preparedness strategy and guidance documents, as well as supporting threat, vulnerability, and needs assessments. The vast majority of these efforts are conducted to fulfill specific requirements from the Post-Katrina Emergency Management Reform Act (PKEMRA), as well as other legislative and executive requirements.

- **PKEMRA and HSPD-8 Requirements:**
 - **Comprehensive Assessment System.** In support of PKEMRA and HSPD-8 requirements to develop a comprehensive assessment system, in FY 2008 NPD conducted a comprehensive review of six major assessment systems developed by DHS/FEMA in the last decade. The results of this analysis are being used to inform the development and

implementation of a single, nationally-integrated system and process capable of assessing the level of national preparedness. In FY 2009, the Preparedness Policy, Policy, and Analysis division will expand this work to develop a comprehensive assessment system using the technical architecture of several legacy assessment systems.

- **Target Capabilities and Preparedness Priorities.** In support of the Target Capabilities and preparedness priorities, NPD is in the process of developing capability frameworks to help jurisdictions determine how prepared they need to be for large-scale disasters by providing clear objectives, measures, and resource requirements. When completed, the capability frameworks will be incorporated into a revised version of the Target Capabilities List (TCL) and established measures will form the basis for a nationwide assessment comparing current capability levels to target levels identified in the frameworks.
- **Performance Measures and Metrics.** NPD continually tracks data on a large number of program metrics and milestones at the request of DHS, OMB, GAO, and the Congress. These metrics and milestones are reported quarterly and allow FEMA to demonstrate the effectiveness and efficiency of NPD programs and provide data to inform assessment projects.
- **Reporting Requirements.** The Federal Preparedness Report (FPR) is an annual, PKEMRA-mandated report on current national preparedness levels in planning, organization, equipment, training, exercises, and evaluation that includes data drawn from all levels of government.
- The FPR represents an ongoing effort to conduct a comprehensive assessment of national preparedness at the Federal, State, and local levels. NPD is currently reviewing and incorporating comments into the FPR.
 - **State Preparedness Reports (SPRs).** As required by PKEMRA, each State or territory receiving Federal assistance must submit an annual report on its level of preparedness to FEMA. FEMA collects the reports from all 56 States and territories and reviews and analyzes them in order to produce substantive analysis on nationwide trends, identify areas for increased attention, and inform broader assessments of national preparedness.
- **Prevention Preparedness Policy and Analysis.** It is a critical priority for the Nation to help States, local jurisdictions, and Federal partners in achieving prevention-related national priorities identified in the National Preparedness Guidelines. The Prevention Preparedness Policy and Analysis goal is to design and build State and local prevention programs, appropriately allocate prevention resources, and create prevention capabilities. To achieve this goal, the program will identify the major planning tasks, deliverables, priorities, and milestones, as well as provide policy oversight for prevention technical assistance, training, exercises, and evaluations and assessments. The activities within this program also include serving as an executive agent managing and maintaining the Universal Adversary Program, the National Planning Scenarios (NPS), and the NPS Universal Adversary (UA) (prevention) Prequels for DHS on behalf of interagency and intergovernmental clients.

Recent and Planned Accomplishments

FY 2008 Accomplishments

- Developed the first set of six – out of 37 total – capabilities to test the process and format for updating the entire Target Capabilities List (TCL) based on feedback and lessons learned from the user community to be risk-based, measurable, and user-friendly. The initial six capabilities

include: Intelligence, Mass Transit Protection, On-site Incident Command, Emergency Operations Center Management / Multi-Agency Coordination, WMD/HazMat Rescue, and Animal Disease Emergencies. Conducted a series of 12 technical working group (TWG) sessions engaging approximately 500 Federal, State, and local subject-matter experts in FEMA regional locations with practitioners and experts to revise the six selected capabilities.

- Migrated 139 Universal Adversary Program dossiers to the exercise version of the Terrorism Identities Datamart Environment for use in National Exercise Program exercises.
- Initiated design and development of the CAS to be completed at the end of FY09. The choice of this approach was based on an extensive review of existing and legacy capability assessment systems. Our intention is to build upon lessons learned in order to standardize, centralize, and integrate the assessment process and satisfy specific Post-Katrina Emergency Management Reform Act (PKEMRA) requirements for a comprehensive assessment system (CAS). Selected the National Incident Management System Compliance Assistance Support Tool (NIMSCAST) to serve as the technical foundation for the CAS because of its low user burden and national user community.
- Wrote and produced a Federal Preparedness Report for broad distribution to FEMA and DHS and, after adjudication, published the final report in January, 2009.
- Wrote and produced the FY07 SPR Analysis and Findings Report that identified national preparedness trends from aggregated SPR data. Developed 56 SPR State overviews for FEMA regional personnel that captured key messages communicated in each SPR.

FY 2009 Planned Accomplishments

- Release the revised six target capabilities to the stakeholder community following a broad national review. Use the revised capabilities as the basis for state and local capability assessments, investment justifications, and strategy planning efforts.
- Develop a second set of no less than 12 additional capabilities to further revise the TCL based on feedback and lessons learned from the user community to be risk-based, measurable, and user-friendly. Release the revised 12 capabilities at the end of FY09 for a broad national review.
- Utilize UA red analysis, and attack tree scenarios to support and validate planning performed under the National Planning System and National Exercise Program. Complete red-team analysis and provide actionable recommendations for improving strategic and concept plans under the Integrated Planning Systems as needed, within 60 days of plan development.
- Pilot test in the Spring and field nationally in the Fall: (1) the PrepCAST, an online web portal; (2) the PrepCAST's TCL-based survey for gathering quantitative preparedness data from the states, territories, and tribes used to fulfill the SPR reporting requirement; and (3) the analytical tools to provide users with a single, integrated capabilities-based system that will serve as a central repository for assessing national preparedness and to provide senior leadership and Congress quantitative answers to the question, "How prepared are we?" Set a baseline on the number of analyzable data sources in the Comprehensive Assessment System.
- Submit the first NPR to Congress, providing significantly improved preparedness data analysis and creating a more standard preparedness data analytical framework for future reports. Consolidate the requirements of the Federal Preparedness Report, State Preparedness Reports Summation, Catastrophic Resource Report, Emergency Support Functions Report and Emergency Medical Services Report into one common analytical capstone. Set a baseline for the number of ways PPPA is measuring preparedness in the NPR.

FY 2010 Planned Accomplishments

- Revise the remaining 37 target capabilities to reflect stakeholder feedback to be risk-based, measurable, and user-friendly. Conduct series of Technical Working Group sessions and meetings with stakeholders to inform them about the update of the remaining TCL capabilities using NIMS Resource Typing Work Groups, the FEMA Regions, and other forums with subject-matter expertise. Begin using the revised capabilities as the basis for State and local capability assessments, investment justifications, and strategy planning efforts.
- Update attack tree and prequel-scenarios and perform red-team analysis to regularly inform the development of Federal interagency strategic plans, concept plans, and DHS operational plans under the National Planning System. Complete the revision of attack trees and prequel scenarios documentation for the 12 terrorism-related National Planning scenarios.
- Integrate 12 revised Target Capabilities List 3.0 Capability Frameworks, when released by the end of FY 2009, into PrepCAST for the purposes of incorporating capability performance classes into the survey and to develop a more accurate, risk-based mechanism of assessing preparedness.
- Incorporate PrepCast user feedback to improve and make easier collection of information from the States, territories, and tribes. Integrate Cost-to-Capability and Gap Analysis Program requirements into PrepCAST to continue the integration and streamlining of State and local preparedness and grant reporting requirements. Integrate National Incident Management System compliance questions as part of the PrepCAST survey to reduce user burden.
- Submit the second National Preparedness Report (NPR) to Congress, again consolidating the requirements of the Federal Preparedness Report, State Preparedness Reports Summation, Catastrophic Resource Report, Emergency Support Functions Report and Emergency Medical Services Report into one common analytical capstone. Increase the number of analyzable data sources in the Comprehensive Assessment System that feed into NPD's analysis and double the number of ways NPD assess preparedness in the NPR.

PPA 4: MANAGEMENT AND ADMINISTRATION (M&A) **

	Perm Pos	FTE	Amount
2008 Actual	0	0	\$0
2009 Enacted	0	0	\$0
2010 Adjustments-to-Base	638	587	\$175,000
2010 Current Services	638	587	\$175,000
2010 Program Change	0	0	\$0
2010 Request	638	587	\$175,000
Total Change 2009-2010	638	587	\$175,000

FEMA requests \$175,000,000, 638 positions, and 587 FTE for this activity. This is an increase of \$175,000,000 over FY 2009. The FY 2010 request includes 38 Pos/ 38 FTE for FEMA’s support offices that were funded by SLP in previous years.

CURRENT SERVICES PROGRAM DESCRIPTION:

Management and administration (M&A) includes traditional operational and program management support resources. This account covers the salaries and benefits for staff, travel, rent, printing and supplies, related preparedness activities, administration activities, and FEMA’s support organizations for infrastructure and administrative activities; including contributions to the Departmental working capital contributions.

Providing M&A funding via a line item under the State and Local Programs appropriation increases transparency and accountability by doing away with the traditionally indistinct combination of funding sources – one portion coming from the appropriated transferable percentage (up to 3 percent) and another portion coming from the Operations, Management, and Administration (OMA) account. The actual cost of managing and administering the grant programs is not correlated with the amount of grant dollars appropriated, so the past M&A totals do not represent what resources are truly needed to implement the grants within State and Local Programs. A line item M&A amount will appropriately address this issue. Historical data and the proposed 2010 level are presented in the following chart.

(Dollars in thousands)	2006 Enacted	2007 Enacted	2008 Enacted	2009 Enacted	2010 Request
TOTAL Appropriations*	3,359,700	3,393,000	4,227,800	4,775,700	3,867,000
TOTAL Management and Administration	166,800	168,000	196,200	216,000	175,000
GPD - Operations, Management, and Administrative Line	2,000	2,000	8,000	13,600	NA
NPD - Operations, Management, and Administrative Line	50,200	50,200	61,200	74,200	NA
Transfer for Management and Administration[†]	114,600	115,800	127,000	128,200	NA
ACTUAL TOTAL Management and Administration (as percentage of total appropriation)	5.0%	5.0%	4.6%	4.5%	4.5%
* Includes State and Local Programs, Firefighters Assistance Grants, and Emergency Management Performance Grants					
[†] Appropriations language allows for up to 3 percent to be transferred by FEMA for grants management and administration					

In addition to increased transparency and accountability, this move in 2010 makes strategic planning and overall day-to-day operations easier to achieve and execute for both GPD and NPD, as funding level consistency and predictability is improved. In addition, M&A provided in this way will facilitate, if necessary, an improved ability to justify funding increases in the coming years.

National Preparedness Program - \$104 million 391 Pos/ 340 FTE

• Incident Management Systems Integration (IMSI)

NPD serves as the Executive Agent for the National Response Framework (NRF) in support of the National Integration Center. IMS coordinates and brokers agency and interagency planning initiatives in support of operational response and recovery objectives for the NRF and the National Incident Management System (NIMS). The IMS plays a critical role in coordinating the various components of the NRF to ensure that the NRF remains linked to and based upon the NIMS.

• Emergency Management Institute (EMI)

The planning and systems aspects of the National Preparedness Directorate are complemented by the EMI which provides training to Federal, State, local, tribal, volunteer, public and private sector officials to strengthen emergency management core competencies, including incident management, operational planning, disaster logistics, emergency communications, disaster assistance, continuity programs, public disaster communications, integrated preparedness, and hazard mitigation. EMI directly supports the implementation of NIMS, the NRF, and the National Preparedness Guidelines (NPG) by conveying necessary knowledge and skills to practitioners. EMI uses a diverse training delivery system that includes residential on-site training; off-site delivery in partnership with emergency management training systems, colleges, and universities; and technology-based mediums to conduct individual training courses for emergency response personnel across the Nation.

Recent and Planned Accomplishments

FY 2008 Accomplishments

○ IMSI

- Sustained national preparedness doctrine and policy
 - Revision and promulgated the National Response Framework.
 - Initiated revision of the National Incident Management System (NIMS) to include Federal state, local and tribal input.
 - Coordinated with EMI to develop and administer revised emergency management training and education programs.
- Monitored NIMS implementation and compliance at all levels of the government.
- Administered Cooperative Agreements to sustain the NIMS Support Center services at Eastern Kentucky University and with the Emergency Management Accreditation Program (EMAP) where 23 State, local and UASI level emergency management programs were accredited.
- Strengthened and expanded partnerships both in the region and with other federal agencies by providing staffing to oversee outreach and education programs to promote NIMS and NRF doctrine principals.

○ EMI

- EMI continued to develop and deliver its national-level training program and to evaluate the effectiveness and the impact on Federal, State, local, tribal, volunteer, public, and private sector officials, including revision of existing curricula to incorporate recent changes to the NRF and NIMS. EMI's curriculum of over 450 courses trained 14,508 resident students, nearly 2 million independent study course completions, and 38,663 Disaster Field Training Operations (DFTO) participants at Joint Field Offices.
- EMI developed and began conducting several exercise-based NRF Integrated Emergency Management Courses (IEMCs) for regions and States to test an integrated approach to the revised NRF framework which is based on NIMS.

FY 2009 Planned Accomplishments

- IMSI
 - Complete the revision and national distribution of NIMS doctrine and associated guides.
 - Conduct NIMS rollout activities
 - Write and promulgate credentialing guidelines
 - Write and promulgate for law enforcement components to operate within NIMS.
 - Standardize Incident Command Forms
 - Emergency Response Field Operations Guide
 - Resource management standards and typing
 - Initiate design and development of a doctrine and publication management system to include electronic hosting of national documents.
 - Implement the Title IX Program to establish the accreditation and certification processes for the Private Sector Preparedness Voluntary Accreditation and Certification Program.
 - Maintain, update, and revise the National Response Framework and National Incident Management System based on lessons learned and stakeholder input.
 - NRF and NIMS outreach efforts
 - Continue development and implementation of a national mutual aid system to include supporting the creation of formalized, comprehensive, exercised, intrastate mutual aid systems in all 50 States, territories, possessions, and the District of Columbia.
 - Continue to strengthen partnerships in the FEMA regions and provide adequate staffing to oversee the outreach and education program with FEMA, DHS and other Federal components, State, local, tribal, hospital, and healthcare partners.
 - Transition the Responder Knowledge Base (RKB) to a new contract and maintain a high level of website availability and functionality.
 - Additional assessments will be conducted by EMAP to provide IMSI with a detailed report on State, territory, and UASI region compliance with NIMS and TCL integration.

FY 2009 Planned Accomplishments

- EMI
 - EMI will continue to develop and deliver its national-level training program and evaluate the effectiveness and the impact on Federal, State, local, tribal, volunteer, public, and private sector officials. EMI's curriculum of over 450 courses will train an estimated 14,000 resident students, 2 million independent study course completions, and support DFTO requirements. To assure efficacy of effort and parallel alignment with DHS and FEMA goals and activities, EMI will employ assessment tools and peer reviews to measure program outcomes and alignment. EMI will continue to design and deliver 10 exercise-based NRF IEMCs for additional regions and States.
 - EMI will be an active participant in the continued integration of NIC training and exercise programs and incorporate HSEEP doctrine into its exercise-based training programs.

FY 2010 Planned Accomplishments

- IMSI
 - Revise the National Response Framework and National Incident Management System based on lessons learned and stakeholder input in accordance with Integrated Planning Guidelines.

- Continue the revision and national distribution of NIMS doctrine and associated guides.
 - Write and promulgate Incident Management Team training and qualification guidelines.
 - Resource management standards and typing
- Continue efforts on the design and development of a standardized process for preparing, reviewing, publishing, and maintaining National Preparedness doctrine and publications. Complete design and development of an electronic hosting system for national documents.
- Continue the Title IX Program Office support of implementation and outreach activities for the Private Sector Preparedness Voluntary Accreditation and Certification Program
- NRF and NIMS outreach efforts
 - Continue development and implementation of a national mutual aid system to include supporting the creation of formalized, comprehensive, exercised, intrastate mutual aid systems in all 50 States, territories, possessions, and the District of Columbia.
 - Continue to support all Federal departments and agencies in their efforts to become current on NIMS program requirements through training, education, and awareness activities.
 - Provide upgrades to the Responder Knowledge Base (RKB) and develop additional services for the responder community while maintaining the high level of website availability and functionality, to include completing DHS requirements for Certification and Accreditation (C&A).
 - Additional assessments will be conducted by EMAP to provide IMSI with a detailed report on State, territory, and UASI region compliance with NIMS and TCL integration.
- EMI
 - EMI will continue to develop and deliver its national-level training program and evaluate the effectiveness and the impact on Federal, State, local, tribal, volunteer, public, and private sector officials. EMI's curriculum of over 450 courses will train an estimated 14,000 resident students, 2 million independent study course completions, and support DFTO requirements. EMI will analyze financial and programmatic impact of alternate options for training delivery, such as remote delivery of exercise-based training and increased mobile offerings that are not resident facility dependent.
 - EMI will design a training curriculum to educate and certify planners to support implementation of the Integrated Planning System.

Grant Preparedness Program - \$71 million 209 Pos/ 209 FTE

The Grant Program Directorate has three primary functions: 1) Grants Accountability and Oversight; 2) Business Support and Data Analysis; and 3) Program Development and Administration.

- **Grants Accountability and Oversight** – This function manages the business processes necessary for all pre-award activities including the announcing of funding opportunities, accepting and reviewing applications, determining award eligibility, and providing quality control over grants award documents and processing award packages. This function manages all post-award activities, such as monitoring grantees, processing modifications, generating amendments, reviewing grantee financial status reports, and coordinating grant closeout. The function also assists in the coordination and monitoring of key grant-related audit activities, i.e., OIG, GAO, Single Audit Act, and the independent financial auditor.
- **Business Support and Data Analysis** – This function provides a single mechanism to analyze, synthesize, and present grant-related financial data. Responding to increasingly intense security of

FEMA's stewardship of grant and assistance resources, this function will provide the Congress and the White House with information demonstrating accountability and oversight of billions of dollars.

- **Program Development and Administration** – This function serves as the executive agent for development of grant guidance for the annual Homeland Security grant programs; provides programmatic oversight and technical assistance for grant administration, monitoring, and reporting; and is a principal liaison for interagency programmatic collaboration and coordination.

Recent and Planned Accomplishments

FY 2008 Accomplishments

- Awarded more than \$4.5 billion via approximately 5,300 grants to State and local governments, educational institutions, and non-profit organizations.
- Established an intra-agency Grants Task Force to ensure grants knowledge and awareness for all FEMA personnel, including the FEMA regions. The Task Force establishes an ongoing forum of stakeholders to share and evaluate best practices and lessons learned to drive performance improvement.
- Transitioned key grant programs and functions to the regions to establish the FEMA regions as the hub for financial monitoring.
- Provided financial and business grants management technical assistance and customer service for internal and external stakeholders in support FEMA's portfolio of grant programs.
- Developed the *FEMA GPD Grant Program Accomplishments Report: Summary of Initial Findings (FY03-07)*. This was the first study of how grantee spending builds target capabilities and includes analysis of grantee data from seven grant programs over five fiscal years.

FY 2009 Planned Accomplishments

- Continue to manage the suite of FEMA grant programs and track State and local grant administration and spending.
- Continue to provide outstanding customer service to all grantees, as well as internal and external partners via the Customer Service Center.
- Continue to improve grants management systems in an effort to provide grantees with full life-cycle grants administration support using one system for all non-disaster grants.
- Continue building a robust and standardized data analysis capability through the implementation of innovative systems and technology improvements. These activities quantify the benefits we provide and demonstrate the importance of grants management to Homeland Security priorities.
- Develop and deliver the Cost-to-Capabilities (C2C) Pilot 1 to test the C2C Analytic Framework with selected jurisdictions for the State Homeland Security Grant program and the UASI program.
- Develop the Federal Analytic Component to store pilot 1 lessons learned and accomplishments report data.

FY 2010 Planned Accomplishments

- Continue building a robust and standardized data analysis capability through the implementation of innovative systems and technology improvements. These activities quantify the benefits we provide and demonstrate the importance of grants management to Homeland Security priorities.

- Develop and deliver the Cost-to-Capabilities (C2C) Pilot 1 to test the C2C Analytic Framework with selected jurisdictions for the State Homeland Security Grant program and the UASI program.
- Fully integrate the C2C initiative with version 3.0 of the TCL
- Develop the Federal Analytic Component to store pilot 1 lessons learned and accomplishments report data.

PPA 5: ASSISTANCE TO FIREFIGHTER GRANTS PROGRAM

	Perm Pos	FTE	Amount
2008 Actual	48	48	\$557,881
2009 Enacted	54	54	\$565,000
2010 Adjustments-to-Base	-54	-54	-\$565,000
2010 Current Services	0	0	\$0
2010 Program Change	0	0	\$0
2010 President's Budget	0	0	\$0
Total Change 2009-2010	-54	-54	-\$565,000

The FEMA FY 2010 request for the AFG program is 0 positions, 0 FTE, and \$0. This is a decrease of 54 positions, 54 FTE, and \$565,000,000 from the FY 2009 level. The decrease reflects the migration of AFG requirements to the FY 2010 State and Local Programs appropriation.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Firefighter Assistance Grant program awards grants directly to fire departments and non-affiliated EMS organizations throughout the United States to support one-year projects improving the effectiveness and safety of the Nation’s first-responders in homeland security, firefighting, and EMS operations. Under its authorizing legislation, AFG must also expend a minimum of five percent of appropriated funds for fire prevention activities.

FEMA’s Grant Programs Directorate (GPD) administers the program, in cooperation with the United States Fire Administration. The entire AFG process is fully automated in an e-grant system. Applicants apply online, grants are awarded electronically, grantees manage their grants online (payment requests, amendments, etc.), and grants are monitored and closed out electronically.

For FY 2009, eligible applicants will again be invited to submit an application for assistance in the following program areas most critical to enhancing the capabilities of the fire and EMS services:

- Operations and Safety program, which includes training, equipment, and personal protective equipment;
- Firefighting Vehicles Acquisition program, which includes pumpers, brush trucks, tankers/tenders, rescue vehicles, ambulances, quints, aerials, foam units, and fireboats; and
- Fire Prevention and Safety activities, which include awareness and education, arson prevention, code enforcement, burn prevention, and firefighter safety research and development.

The FY 2009 invitation to apply will not include wellness activities or modifications to facilities for firefighter safety. As long as some of the Nation’s first-responders lack personal protective gear, training, and critical response equipment, Federal preparedness funds should be used for these needs rather than personal health or facility alterations.

In FY 2008, FEMA received approximately 23,000 applications under the AFG program. Funding priorities for each of the funding activities are announced by DHS, based on the National Preparedness Guidelines, as well as recommendations from the Nation’s fire service, as represented by nine major

fire service organizations. The applications that most closely relate to these announced priorities are reviewed by peer panels. The peer review panels commence within two weeks of the end of the grant application period and typically take three weeks to complete. The grant awards are based primarily on the results of the peer review panels.

In their applications, applicants must demonstrate financial need, articulate the benefits to be derived from the grant funds, and provide details regarding the effect the grant would have on daily operations. The grants are intended to supplement a fire department's or EMS organization's current budget rather than replace it. To this end, grantees must agree to maintain expenditures in the selected grant category at the organization's average spending rate as determined by the previous two years.

Volunteer and combination departments must receive a portion of the total grant funding that is at least equal to the proportion of the Nation's population that those fire departments protect. In preparation for the 2009 grant cycle, the GPD will use the most current information available to estimate the proportion of the Nation's population protected by volunteer and combination fire departments.

Other legislated restrictions include a ceiling on the cumulative value of vehicle awards set at 25 percent of the total appropriation. Beginning in FY 2005, DHS was directed by Congress to award no less than three and one-half percent of the appropriation for EMS activities, with no more than two percent of the total appropriation going to non-affiliated EMS organizations.

The maximum size of each grant is based on the grantee's population protection. The grantees generally must also share in the cost of the funded project based on the population of their respective jurisdictions.

PPA 6: SAFER GRANTS PROGRAM

	Perm Pos	FTE	Amount
2008 Actual	0	0	\$17,764
2009 Enacted	0	0	\$210,000
2010 Adjustments-to-Base	0	0	-\$210,000
2010 Current Services	0	0	\$0
2010 Program Change	0	0	\$0
2010 President's Budget	0	0	\$0
Total Change 2009-2010	0	0	-\$210,000

*The table above excludes ARRA funding of \$210 million provided in P.L. 111-5. FEMA requests \$0 for this activity in FY 2010. The decrease reflects the migration of the SAFER Grant Program requirements to the FY 2010 State and Local Programs appropriation.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Staffing for Adequate Fire and Emergency Response (SAFER) Grants are managed by the Federal Emergency Management Agency’s Assistance to Firefighters Grants (AFG) Program Office. SAFER Grants provide financial assistance to help fire departments increase their cadre of frontline firefighters. The goal is to assist the local fire departments with staffing and deployment capabilities so they may respond to emergencies whenever they occur, assuring that their communities have adequate protection from fire and fire-related hazards. The SAFER Grants have two activities that will help grantees in this endeavor: (1) hiring of firefighters; and (2) recruitment and retention of volunteer firefighters.

In Fiscal Year 2009, Congress appropriated a total of \$210 million to the Department of Homeland Security (DHS) for SAFER Grants. The authority for SAFER is derived from the Federal Fire Prevention and Control Act of 1974, as amended (15 U.S.C. §2229a et seq.). Appropriated funds are available for award until September 30, 2010. Once awarded, the funds are available for expenditure by the grantee for the full period of grant performance.

The SAFER Grants are an important part of the Administration’s larger, coordinated effort to strengthen homeland security preparedness. The National Preparedness Guidelines and their work products are of particular significance. The National Preparedness Guidelines are an all-hazards guide for meeting the Nation’s four core preparedness objectives: to prevent; protect against; respond to; and recover from terrorist attacks and catastrophic natural disasters.

The goal of the SAFER Grants is to enhance the local fire departments’ abilities to comply with staffing, response, and operational standards established by the National Fire Protection Association (NFPA) and the Occupational Safety and Health Administration (OSHA). Specifically, the grants focus on standards included in the deployment and assembly sections of NFPA 1710 and/or NFPA 1720, and the respiratory protection section of OSHA 1910.

PPA 7: EMERGENCY MANAGEMENT PERFORMANCE GRANTS (EMPG)

	Perm Pos	FTE	Amount
2008 Actual	0	0	\$300,000
2009 Enacted	15	15	\$315,000
2010 Adjustments-to-Base	-15	-15	-\$315,000
2010 Current Services	0	0	\$0
2010 Program Change	0	0	\$0
2010 President's Budget	0	0	\$0
Total Change 2009-2010	-15	-15	-\$315,000

The FEMA FY 2010 request for the EMPG program is 0 positions, 0 FTE and \$0. In FY 2010 EMPG requirements migrate to the FY 2010 State and Local Programs appropriation.

CURRENT SERVICES PROGRAM DESCRIPTION:

The EMPG program provides resources to assist State and local governments to sustain and enhance all-hazards emergency management capabilities. States have the opportunity to use EMPG funds to further strengthen their ability to support emergency management activities while simultaneously addressing issues of national concern, as identified in the national priorities of the *National Preparedness Guidelines*.

IV. Program Justification of Changes

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
Justification of Program Changes
(Dollars in Thousands)**

Not applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Federal Emergency Management Agency
Justification of Proposed Changes in State and Local Programs
Appropriation Language**

(including transfer of funds)

For grants, contracts, cooperative agreements, and other activities, \$3,867,000,000 shall be allocated as follows:

(1) \$2,045,000,000 shall be for the State and Regional Preparedness Program, of which-

(A) \$950,000,000 shall be for the State Homeland Security Grant Program under section 2004 of the Homeland Security Act of 2002 (6 U.S.C. 605): *Provided*, That of the amount provided by this subparagraph, \$60,000,000 shall be for Operation Stonegarden: *Provided further*, That notwithstanding subsection (c)(4) of such section 2004, for fiscal year 2010, the Commonwealth of Puerto Rico shall make available to local and tribal governments amounts provided to the Commonwealth of Puerto Rico under this paragraph in accordance with subsection (c)(1) of such section 2004.

(B) \$50,000,000 shall be for Interoperable Emergency Communications Grant Program under section 1809 of the Homeland Security Act of 2002 (6 U.S.C. 579).

(C) \$35,000,000 shall be for Regional Catastrophic Preparedness Grants.

(D) \$40,000,000 shall be for Medical Surge Grants.

(E) \$15,000,000 shall be for the Citizen Corps Program.

(F) \$315,000,000 shall be for Emergency Management Performance Grants, as authorized by the National Flood Insurance Act of 1968 (42 U.S.C. 4001 et seq.), the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et seq.), the Earthquake Hazards Reduction Act of 1977 (42 U.S.C. 7701 et seq.), and Reorganization Plan No. 3 of 1978 (5 U.S.C. App.).

(G) \$590,000,000, to remain available until September 30, 2011, shall be for necessary expenses for the Firefighter Assistance Grants program authorized by the Federal Fire Prevention and Control Act of 1974 (15 U.S.C. 2201 et seq.), of which \$170,000,000 shall be available to carry out section 33 of that Act (15 U.S.C. 2229) and of which \$420,000,000 shall be available to carry out section 34 of that Act (15 U.S.C. 2229a): *Provided*, That notwithstanding any other provision of the law, total funding provided under subsection (c)(4)(A) of section 34 of that Act (15 U.S.C. 2229a), over 4 years for hiring or retaining a firefighter may not exceed \$150,000.

(H) \$50,000,000 shall be for the Driver's License Security Grants Program in accordance with Title 2 of the REAL ID Act of 2005 (Public Law 109-13).

- (2) \$1,437,000,000 shall be for the Metropolitan Statistical Area Preparedness Program, of which-
- (A) \$887,000,000 shall be for the Urban Area Security Initiative under section 2003 of the Homeland Security Act of 2002 (6 U.S.C. 604), of which, notwithstanding subsection (c)(1) of such section, \$15,000,000 shall be for grants to organizations (as described under section 501(c)(3) of the Internal Revenue Code of 1986 and exempt from taxation under section 501(a) of such code) determined by the Secretary of Homeland Security to be at high risk of a terrorist attack.
 - (B) \$250,000,000 shall be Port Security Grants in accordance with 46 U.S.C. 70107.
 - (C) \$50,000,000 shall be for Buffer Zone Protection Program Grants.
 - (D) \$250,000,000 shall be for the Public Transportation Security Assistance and Railroad Security Assistance under sections 1406 and 1513 of the Implementing Recommendations of the 9/11 Commission Act of 2007 (Public Law 110-53; 6 U.S.C. 1135 and 1163): *Provided*, That such public transportation security assistance shall be provided directly to public transportation agencies.
- (3) \$210,000,000 shall be for the Training, Measurement, and Exercise Program, of which-
- (A) \$114,000,000 is for purposes of training in accordance with section 1204 of the Implementing Recommendations of the 9/11 Commission Act of 2007 (6 U.S.C. 1102), of which \$62,500,000 shall be for the Center for Domestic Preparedness, and of which \$51,500,000 shall be for the National Domestic Preparedness Consortium, consisting of \$12,875,000 for the National Energetic Materials Research and Testing Center, New Mexico Institute of Mining and Technology, 12,875,000 for the National Center for Biomedical Research and Training, Louisiana State University, \$12,875,000 for the National Emergency Response and Rescue Training Center, Texas A&M University, and \$12,875,000 for the National Exercise, Test, and Training Center, Nevada Test Site.
 - (B) \$23,000,000 shall be for the Continuing Training Grants Program.
 - (C) \$13,000,000 shall be for Technical Assistance.
 - (D) \$18,000,000 shall be for Evaluations and Assessments.
 - (E) \$42,000,000 shall be for the National Exercise Program:
- (4) \$175,000,000 shall be for program management and administration of the Grant Programs Directorate and the National Preparedness Directorate within the Federal Emergency Management Agency: *Provided*, That for grants under paragraphs (1)(A), (1)(C), (1)(D), (1)(E), and (2)(A), the applications for grants shall be made available to eligible applicants not later than 25 days after the date of enactment of this Act, that eligible applicants shall submit applications not later than 90 days after the grant announcement, and that the Administrator of the Federal Emergency Management Agency shall act within 90 days after receipt of an application: *Provided further*, That for grants under paragraphs (1)(B), (2)(B), (2)(C), and (2)(D), the applications for grants shall be made available to eligible applicants not later than 30 days after the date of enactment of this Act, that eligible applicants shall submit applications within 45 days after the grant announcement,

and that the Federal Emergency Management Agency shall act not later than 60 days after receipt of an application: *Provided further*, That for grants under paragraphs (1)(A) and (2)(A), the installation of communications towers is not considered construction of a building or other physical facility: *Provided further*, That grantees shall provide reports on their use of funds, as determined necessary by the Secretary: *Provided further*, That (a) the Center for Domestic Preparedness may provide training to emergency response providers from the Federal Government, foreign governments, or private entities, if the Center for Domestic Preparedness is reimbursed for the cost of such training, and any reimbursement under this subsection shall be credited to the account from which the expenditure being reimbursed was made and shall be available, without fiscal year limitation, for the purposes for which amounts in the account may be expended, (b) the head of the Center for Domestic Preparedness shall ensure that any training provided under (a) does not interfere with the primary mission of the Center to train State and local emergency response providers. (*Department of Homeland Security Appropriations Act, 2009.*)

Explanation of Changes:

The language combines Firefighter Assistance Grants, Emergency Management Performance Grants, and State and Local Programs into one appropriation. In addition, all resources for grants management and administration are provided via a line item appropriation as opposed to a percentage of the top-line level. Substantive changes are proposed to reflect that resources are distributed to GPD and NPD to support the full range of SLP program administration activities and FEMA's support organizations.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual	239	221	\$4,145,885
FY 2009 Enacted	338	338	4,245,700
Adjustments-to-Base			
Increases			
NPD/GPD OMA migration to State and Local Programs appropriation.....	300	249	75,900
Total Increases.....	300	249	75,900
Decreases			
Non Recurring Reduction.....	---	---	(454,600)
Total Decreases.....	---	---	(454,600)
Total Adjustments-to-Base	300	249	(378,700)
2010 Current Services	638	587	3,867,000
 Program Changes			
Program Increases/(Decreases)			
Total Program Changes	---	---	---
 2010 Request	638	587	3,867,000
 2009 to 2010 Total Change	300	249	(378,700)

Note: FY 2008 and FY 2009 does not reflect OMA funded positions.

C. Summary of Requirements

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
Summary of Requirements
(Dollars in Thousands)**

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	239	221	\$4,145,885
2009 Enacted	338	338	4,245,700
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	---	---	---
Increases	300	249	75,900
Decreases	---	---	(454,600)
Total Adjustments-to-Base	300	249	(378,700)
2010 Current Services	638	587	3,867,000
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	---	---	---
2010 Total Request	638	587	3,867,000
2009 to 2010 Total Change	300	249	(378,700)

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 State and Regional Preparedness Program				---	---	\$ 2,045,000	---	---		---	---	\$2,045,000	---	---	\$2,045,000
2 MSA Preparedness Program						\$ 1,437,000				---	---	\$ 1,437,000	---	---	\$1,437,000
3 Training, Measurement, and Exercise Program						\$ 210,000				---	---	\$ 210,000	---	---	\$210,000
4 Management and Administration				587	587	\$ 175,000				638	587	\$ 175,000	638	587	\$175,000
5 State Preparedness Grants Program	101	101	\$1,141,000	(101)	(101)	(1,141,000)				---	---		(101)	(101)	(\$1,141,000)
6 Targeted Infrastructure Capability Grants Program	36	36	\$1,707,500	(36)	(36)	(1,707,500)				---	---		(36)	(36)	(\$1,707,500)
7 National Exercise Program	30	30	\$40,000	(30)	(30)	(40,000)				---	---		(30)	(30)	(\$40,000)
8 State and Local Training Program	66	66	\$232,200	(66)	(66)	(232,200)				---	---		(66)	(66)	(\$232,200)
9 Technical Assistance Program	12	12	\$11,000	(12)	(12)	(11,000)				---	---		(12)	(12)	(\$11,000)
10 Evaluations Program	24	24	\$16,000	(24)	(24)	(16,000)				---	---		(24)	(24)	(\$16,000)
11 Commercial Equipment Direct Assistance Program			\$8,000			\$ (8,000)				---	---		---	---	(\$8,000)
12 Assistance to Firefighters Grants	54	54	\$775,000	(54)	(54)	(\$775,000)				---	---		(54)	(54)	(\$775,000)
13 Emergency Management Performance Grants	15	15	\$315,000	(15)	(15)	(315,000)	---	---		---	---		(15)	(15)	(\$315,000)
Total	338	338	\$4,245,700	249	249	(\$378,700)	---	---	\$0	638	587	\$3,867,000	300	249	(\$378,700)

D. Summary of Reimbursable Resources

Not applicable.

E. Summary of Requirements by Object Class

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs**
Summary of Requirements by Object Class
(Dollars in Thousands)

Object Classes	FY 2008 Actual	2009 Enacted	FY 2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$22,123	\$26,742	\$50,986	\$24,244
11.3 Other than full-time permanent	542	528	---	(528)
11.5 Other Personnel Compensation	1,448	1,789	600	(1,189)
11.8 Special Service Pay	8	11	---	(11)
12.1 Benefits	6,067	8,767	21,364	12,597
13.0 Benefits - former	---	---	---	---
Total, Personnel Comp. & Benefits	\$30,188	\$37,836	\$72,950	\$35,113
Other Object Classes:				
21.0 Travel	12,106	3,802	11,140	7,338
22.0 Transportation of things	---	---	215	215
23.1 GSA rent	16,655	13,866	6,556	(7,310)
23.2 Other rent	---	---	1,000	1,000
23.3 Communications, utilities, & other misc. charges	2	---	---	---
24.0 Printing and reproduction	---	324	---	(324)
25.1 Advisory and assistance services	---	---	---	---
25.2 Other services	9,446	17,899	16,535	(1,364)
25.3 Purchases of goods & svcs. from Gov't accounts	278,466	156,556	169,383	12,827
25.4 Operation & maintenance of facilities	---	---	---	---
25.5 Research and development contracts	---	---	---	---
25.6 Medical care	---	---	---	---
25.7 Operation and maintenance of equipment	---	---	---	---
25.8 Subsistence and support of persons	---	---	---	---
26.0 Supplies and materials	4	2,264	2,000	(264)
31.0 Equipment	17	1,127	221	(906)
32.0 Land & structures	---	---	---	---
41.0 Grants/Subsidies/Contributions	3,799,000	4,491,041	3,781,000	(710,041)
42.0 Indemnity	---	---	---	---
43.0 Interest & dividends	---	---	---	---
44.0 Refunds	---	---	---	---
91.0 Unvouchered	---	---	---	---
99.0 Other	---	---	---	---
Total, Other Object Classes	\$4,115,696	\$4,686,879	\$3,988,050	(\$698,829)
Total, Direct Obligations	\$4,145,884	\$4,724,715	\$4,061,000	(\$663,716)
Unobligated balance, start of year	(559,196)	(673,015)	(194,000)	
Unobligated balance, end of year	673,015	194,000		
Recoveries of prior year obligations	---			
Total requirements	\$4,259,703	\$4,245,700	\$3,867,000	

Note: FY 2009 total does not match Budget Appendix due to exclusion of \$510M supplemental from American Recovery and Reinvestment Act of 2009 (P.L. 111-5).

F. Permanent Positions by Grade

Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
Summary of Requirements by Object Class
(Dollars in Thousands)

Object Classes	FY 2008 Actual	2009 Enacted	FY 2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$22,123	\$26,742	\$50,986	\$24,244
11.3 Other than full-time permanent	542	528	---	(528)
11.5 Other Personnel Compensation	1,448	1,789	600	(1,189)
11.8 Special Service Pay	8	11	---	(11)
12.1 Benefits	6,067	8,767	21,364	12,597
13.0 Benefits - former	---	---	---	---
Total, Personnel Comp. & Benefits	\$30,188	\$37,836	\$72,950	\$35,113
Other Object Classes:				
21.0 Travel	12,106	3,802	11,140	7,338
22.0 Transportation of things	---	---	215	215
23.1 GSA rent	16,655	13,866	6,556	(7,310)
23.2 Other rent	---	---	1,000	1,000
23.3 Communications, utilities, & other misc. charges	2	---	---	---
24.0 Printing and reproduction	---	324	---	(324)
25.1 Advisory and assistance services	---	---	---	---
25.2 Other services	9,446	17,899	16,535	(1,364)
25.3 Purchases of goods & svcs. from Gov't accounts	278,466	156,556	169,383	12,827
25.4 Operation & maintenance of facilities	---	---	---	---
25.5 Research and development contracts	---	---	---	---
25.6 Medical care	---	---	---	---
25.7 Operation and maintenance of equipment	---	---	---	---
25.8 Subsistence and support of persons	---	---	---	---
26.0 Supplies and materials	4	2,264	2,000	(264)
31.0 Equipment	17	1,127	221	(906)
32.0 Land & structures	---	---	---	---
41.0 Grants/Subsidies/Contributions	3,799,000	4,491,041	3,781,000	(710,041)
42.0 Indemnity	---	---	---	---
43.0 Interest & dividends	---	---	---	---
44.0 Refunds	---	---	---	---
91.0 Unvouchered	---	---	---	---
99.0 Other	---	---	---	---
Total, Other Object Classes	\$4,115,696	\$4,686,879	\$3,988,050	(\$698,829)
Total, Direct Obligations	\$4,145,884	\$4,724,715	\$4,061,000	(\$663,716)
Unobligated balance, start of year	(559,196)	(673,015)	(194,000)	
Unobligated balance, end of year	673,015	194,000		
Recoveries of prior year obligations	---	---	---	
Total requirements	\$4,259,703	\$4,245,700	\$3,867,000	

Note: FY 2009 total does not match Budget Appendix due to exclusion of \$510M supplemental from American Recovery and Reinvestment Act of 2009 (P.L. 111-5).

G. Capital Investment and Construction Initiative Listing

Not applicable.

H. PPA Budget Justifications

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
PPA: State and Regional Preparedness Program
Funding Schedule
(Dollars in Thousands)**

PPA: State and Regional Preparedness Program		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions				\$0
41.0	Grants/Subsidies/Contributions			2,045,000	2,045,000
Total, State and Regional Preparedness Pr		\$0	\$0	\$2,045,000	\$2,045,000
Full Time Equivalents					---

PPA Mission Statement

The State and Regional Preparedness Program provides resources to support preparedness projects that build state and local capabilities as outlined in the National Preparedness Guidelines, the Target Capabilities List, and the National Strategy for Homeland Security of 2007. The State and Regional Preparedness Program PPA includes eight grant programs: the State Homeland Security Grant Program (SHSGP), Assistance to Firefighter Grants (AFG) Program, Driver's License Security Grants Program (REAL ID), Citizen Corps Grant Program (CCGP), Interoperable Emergency Communications Grant Program (IECGP), Regional Catastrophic Preparedness Grant Program (RCPGP), Medical Surge Grant Program (MSGP), and the Emergency Management Performance Grants (EMPG) program.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Grants/Subsidies/Contributions	\$0	\$0	\$2,045,000	\$2,045,000

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects.

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
PPA: MSA Preparedness Program
Funding Schedule
(Dollars in Thousands)**

PPA: MSA Preparedness Program		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions				\$0
41.0	Grants/Subsidies/Contributions			1,437,000	1,437,000
Total, MSA Preparedness Program		\$0	\$0	\$1,437,000	\$1,437,000
Full Time Equivalents					---

PPA Mission Statement

The Metropolitan Statistical Area (MSA) Preparedness Program is designed to enhance prevention and protection capabilities of the Nation's critical economic and transportation assets. The MSA Preparedness Program includes four programs: the Urban Area Security Initiative (UASI), Port Security, Rail/Transit Grants, and Buffer Zone Protection Programs.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Grants/Subsidies/Contributions	\$0	\$0	\$1,437,000	\$1,437,000

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects.

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
PPA: Training, Measurement, and Exercise Program
Funding Schedule
(Dollars in Thousands)**

		2008	2009	2010	2009 to 2010
PPA: Training, Measurement, and Exercise Prog		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions				\$0
25.3	Purchase from Govt. Accts.			105,000	105,000
41.0	Grants/Subsidies/Contributions			105,000	105,000
Total, Training, Measurement, and Exercis		\$0	\$0	\$210,000	\$210,000
Full Time Equivalents					---

PPA Mission Statement

The Training, Measurement, and Exercise Programs PPA provides resources to support homeland security preparedness activities for state and local capabilities as outlined in the National Preparedness Guidelines and Homeland Security Act of 2002. The Training, Measurement, and Exercise Programs PPA includes six programs: National Exercise Program (NEP), Continuing and Emerging Training Grants Program, Center for Domestic Preparedness, National Domestic Preparedness Consortium, Technical Assistance (TA) Program, and Evaluation and National Assessment Program.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	<u>Actual</u>	<u>Enacted</u>	<u>Request</u>	<u>Change</u>
Purchase from Government Accounts	\$0	\$0	\$105,000	\$105,000

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	2008	2009	2010	2009 to 2010
	<u>Actual</u>	<u>Enacted</u>	<u>Request</u>	<u>Change</u>
Grants/Subsidies/Contributions	\$0	\$0	\$105,000	\$105,000

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects.

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
PPA: Management and Administration
Funding Schedule
(Dollars in Thousands)**

PPA: Management and Administration		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions			\$50,986	\$50,986
11.5	Other per comp			600	600
12.1	Benefits			21,364	21,364
21.0	Travel			11,140	11,140
22.0	Transportation of things			215	215
23.1	GSA rent			6,556	6,556
23.2	Other rent			1,000	1,000
25.2	Other Services			16,535	16,535
25.3	Purchase from Govt. Accts.			64,383	64,383
26.0	Supplies & materials			2,000	2,000
31.0	Equipment			221	221
Total, Management and Administration		\$0	\$0	\$175,000	\$175,000
Full Time Equivalents				587	587

PPA Mission Statement

The Management and Administration PPA includes funding for GPD and NPD to support the full range of grant administration, related preparedness activities, program administration activities, and FEMA's support organizations for infrastructure/administrative activities, including contributions to the Departmental working capital contributions. This also includes programs that were previously funded in Operations, Management and Administration (OMA); Incident Management Systems (IMS), Emergency Management Institute (EMI), Program Development and Administration and Grants Accountability and Oversight.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$0	\$0	\$72,950	\$72,950

The funding represents the contribution to the overall Salaries and Benefits cost for State and Local Programs. The FY 2010 request supports the establishment of the new Management and Administration PPA which includes 587 FTEs for NPD, GPD, AFG, OMA, EMPG and SLP.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$0	\$0	\$11,140	\$11,140

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Transportation of Things	\$0	\$0	\$215	\$215

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
GSA rent	\$0	\$0	\$6,556	\$6,556

GSA rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Rent	\$0	\$0	\$1,000	\$1,000

Other rent includes all payments to a non-federal source for rental space, land and structures.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$0	\$0	\$16,535	\$16,535

Other Services include report contractual services with non-federal sources that are not otherwise classified under object class 25.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$0	\$0	\$64,383	\$64,383

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$0	\$0	\$2,000	\$2,000

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

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$0	\$0	\$221	\$221

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
PPA: State Preparedness Grants Program
Funding Schedule
(Dollars in Thousands)

PPA: State Preparedness Grants Program		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	\$5,623	\$7,366		(\$7,366)
11.3	Other than perm	150	196		(196)
11.5	Other per comp	457	599		(599)
11.8	Spec Srvc Pay	3	4		(4)
12.1	Benefits	1,867	2,445		(2,445)
21.0	Travel	726	2,000		(2,000)
23.1	GSA rent	13,520	2,672		(2,672)
24.0	Printing	---	53		(53)
25.3	Purchase from Govt. Accts.	46,709	23,987		(23,987)
26.0	Supplies & materials	---	368		(368)
31.0	Equipment	---	175		(175)
41.0	Grants/Subsidies/Contributions	1,042,177	1,101,135		(1,101,135)
Total, State Preparedness Grants Program		\$1,111,232	\$1,141,000	\$0	(\$1,141,000)
Full Time Equivalents		65	101		(101)

Note: In FY 2010 this PPA migrates to the State and Regional Preparedness Program PPA.

Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
PPA: Targeted Infrastructure Capability Grants Program
Funding Schedule
(Dollars in Thousands)

PPA: Targeted Infrastructure Capability Grants		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	\$2,059	\$2,697		(\$2,697)
11.3	Other than perm	55	72		(72)
11.5	Other per comp	167	219		(219)
11.8	Spec Srvc Pay	1	2		(2)
12.1	Benefits	684	895		(895)
21.0	Travel	1,428	1,025		(1,025)
23.1	GSA rent	---	7,109		(7,109)
24.0	Printing	---	252		(252)
25.3	Purchase from Govt. Accts.	23,095	24,865		(24,865)
26.0	Supplies & materials	---	1,767		(1,767)
31.0	Equipment	---	841		(841)
41.0	Grants/Subsidies/Contributions	1,808,070	1,667,756		(1,667,756)
Total, Targeted Infrastructure Capability Grants		\$1,835,559	\$1,707,500	\$0	(\$1,707,500)
Full Time Equivalents		23	36		(36)

Note: In FY 2010 this PPA migrates to the MSA Preparedness Program PPA.

Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
PPA: National Exercise Program
Funding Schedule
(Dollars in Thousands)

PPA: National Exercise Program		2008	2009	2010	2009 to 2010
Object Classes:		Actual	Enacted	Request	Change
11.1	Perm Positions	\$1,663	\$2,179		(\$2,179)
11.3	Other than perm	44	58		(58)
11.5	Other per comp	135	177		(177)
11.8	Spec Srvc Pay	1	1		(1)
12.1	Benefits	552	723		(723)
21.0	Travel	943	61		(61)
23.1	GSA rent		287		(287)
24.0	Printing		12		(12)
25.3	Purchase from Govt. Accts.	45,390	36,381		(36,381)
26.0	Supplies & materials		81		(81)
31.0	Equipment		40		(40)
Total, National Exercise Program		\$49,978	\$40,000	\$0	(\$40,000)
Full Time Equivalents		19	30		(30)

Note: In FY 2010 this PPA migrates to the Training, Measurement, and Exercise Program PPA.

Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
PPA: State and Local Training Program
Funding Schedule
(Dollars in Thousands)

PPA: State and Local Training Program		2008	2009	2010	2009 to 2010
Object Classes:		Actual	Enacted	Request	Change
11.1	Perm Positions	\$3,722	\$4,876		(\$4,876)
11.3	Other than perm	99	130		(130)
11.5	Other per comp	303	396		(396)
11.8	Spec Srvc Pay	2	3		(3)
12.1	Benefits	1,236	1,618		(1,618)
21.0	Travel	8,268	41		(41)
23.1	GSA rent		548		(548)
25.2	Other Services	3,872	3,900		(3,900)
25.3	Purchase from Govt. Accts.	90,348	32,249		(32,249)
41.0	Grants/Subsidies/Contributions	109,682	188,439		(188,439)
Total, State and Local Training Program		\$217,532	\$232,200	\$0	(\$232,200)
Full Time Equivalents		42	66		(66)

Note: In FY 2010 this PPA migrates to the Training, Measurement, and Exercise Program PPA.

Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
PPA: Technical Assistance Program
Funding Schedule
(Dollars in Thousands)

PPA: Technical Assistance Program		2008	2009	2010	2009 to 2010
Object Classes:		Actual	Enacted	Request	Change
11.1	Perm Positions	\$713	\$934		(\$934)
11.3	Other than perm	19	25		(25)
11.5	Other per comp	58	76		(76)
12.1	Benefits	237	310		(310)
21.0	Travel	39	6		(6)
23.1	GSA rent		35		(35)
24.0	Printing		2		(2)
25.2	Other Services	1	---		---
25.3	Purchase from Govt. Accts.	8,711	9,596		(9,596)
26.0	Supplies & materials		11		(11)
31.0	Equipment		5		(5)
41.0	Grants/Subsidies/Contributions	2,215			---
Total, Technical Assistance Program		\$11,993	\$11,000	\$0	(\$11,000)
Full Time Equivalents		8	12		(12)

Note: In FY 2010 this PPA migrates to the Training, Measurement, and Exercise Program PPA.

Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
PPA: Evaluations Program
Funding Schedule
(Dollars in Thousands)

PPA: Evaluations Program		2008	2009	2010	2009 to 2010
Object Classes:		Actual	Enacted	Request	Change
11.1	Perm Positions	\$1,346	\$1,764		(\$1,764)
11.3	Other than perm	36	47		(47)
11.5	Other per comp	109	143		(143)
11.8	Spec Srvc Pay	1	1		(1)
12.1	Benefits	447	585		(585)
21.0	Travel	290	19		(19)
23.1	GSA rent		109		(109)
24.0	Printing		5		(5)
25.2	Other Services	34			---
25.3	Purchase from Govt. Accts.	14,935	13,278		(13,278)
26.0	Supplies & materials		33		(33)
31.0	Equipment		16		(16)
41.0	Grants/Subsidies/Contributions	1,760			---
Total, Evaluations Program		\$18,958	\$16,000	\$0	(\$16,000)
Full Time Equivalents		16	24		(24)

Note: In FY 2010 this PPA migrates to the Training, Measurement, and Exercise Program PPA.

Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
PPA: Commercial Equipment Direct Assistance Program
Funding Schedule
(Dollars in Thousands)

PPA: Commercial Equipment Direct Assistance		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions				\$0
25.2	Other Services	3	8,000		(8,000)
25.3	Purchase from Govt. Accts.	24,985			---
Total, Commercial Equipment Direct Assis		\$24,988	\$8,000	\$0	(\$8,000)
Full Time Equivalents					---

Note: In FY 2010 this PPA migrates to the Training, Measurement, and Exercise Program PPA.

Department of Homeland Security
Federal Emergency Management Agency
Firefighter Assistance Grants
PPA: Firefighter Assistance Grants
Funding Schedule
(Dollars in Thousands)

PPA: Firefighter Assistance Grants		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	3947	5448		(\$5,448)
11.3	Other than perm	\$139	\$0		---
11.5	Other per comp	219	149		(149)
12.1	Benefits	1,044	1,866		(1,866)
21.0	Travel	412	650		(650)
23.1	GSA rent	3,135	1,606		(1,606)
23.3	Communication, Utilities, and misc charges	2	---		---
25.2	Other Services	37	353		(353)
25.3	Purchase from Govt. Accts.	23,267	9,358		(9,358)
26.0	Supplies & materials	4	4		(4)
31.0	Equipment	17	50		(50)
41.0	Grants/Subsidies/Contributions	525,658	545,516	---	(545,516)
Total, AFG		\$557,881	\$565,000	\$0	(\$565,000)
Full Time Equivalents		48	54	---	(54)

Note: The FY 2010 decrease of \$565,000 reflects the migration of AFG to the State and Local Programs appropriation.

Department of Homeland Security
Federal Emergency Management Agency
Firefighter Assistance Grants
SAFER Grants
Funding Schedule
(Dollars in Thousands)

PPA: SAFER Grants		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions				\$0
25.3	Purchase from Govt. Accts.	1,026	6,842		(6,842)
41.0	Grants/Subsidies/Contributions	16,738	203,158	---	(203,158)
Total, SAFER Grants		\$17,764	\$210,000	\$0	(\$210,000)
Full Time Equivalents					---

Note: The FY 2010 decrease of \$565,000 reflects the migration of AFG to the State and Local Programs appropriation.

The table above excludes ARRA funding of \$210 million provided in P.L. 111-5.

Department of Homeland Security
Federal Emergency Management Agency
Emergency Management Performance Grants
Funding Schedule
(Dollars in Thousands)

PPA: EMPG		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$3,050	\$1,478	\$0	(\$1,478)
11.5	Other per comp	---	30	---	(30)
12.1	Benefits	---	325	---	(325)
23.1	GSA rent	---	1,500	---	(1,500)
25.2	Other Services	5,500	5,646	---	(5,646)
41.0	Grants/Subsidies/Contributions	\$291,450	306,022	---	(306,022)
Total, EMPG		\$300,000	\$315,000	\$0	(315,000)
Full Time Equivalents		---	15	---	(15)

I. Changes in FTE

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs
Changes in Full-Time Equivalents**

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	221	221	338
INCREASES			
Increase #1:			
Description: Continuation of efforts towards conversion of contractors, reorganization of GPD and NPD, and permanent additional FTEs to support FEMA grant programs.		96	
Increase #2:			
Description: Conversion of reimbursable support staff to AFG FTE.		6	
Increase #3:			
Description: EMPG Program achieves full staffing level.		15	
Increase #4:			
Description: NPD/GPD OMA Program migration to the State and Local Programs appropriation.			249
Sub-Total Increases	0	117	249
DECREASES			
Sub-Total Decreases	0	0	0
Year-end Actual/Estimated FTEs	221	338	587
Net Change from prior year base to Budget Year Estimate:	0	117	249

Notes: FY 2008 Base Year End FTE contains 48 FTE for Assistance to Firefighter Grants Program.
FY 2008 and FY 2009 FTE does not include OMA funded positions.

J. FY 2009 Schedule of Working Capital Fund by Program/Project Activity

**Department of Homeland Security
Federal Emergency Management Agency
State and Local Programs**

**FY 2010 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)**

Program/Project Activity	FY 2008 Actual	FY 2009 Anticipated	FY 2010 Anticipated	Increase / Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
State and Local Programs	\$8,817	\$1,009	\$1,267	\$258
Total Working Capital Fund	\$8,817	\$1,009	\$1,267	\$258

Department of Homeland Security

Federal Emergency Management Agency

Radiological Emergency Preparedness Program



**Fiscal Year 2010
Congressional Budget Submission**

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BUDGET REQUEST AND SUPPORTING INFORMATION

FEDERAL EMERGENCY MANAGEMENT AGENCY RADIOLOGICAL EMERGENCY PREPAREDNESS PROGRAM

I. Appropriation Overview

A. Mission Statement for Radiological Emergency Preparedness Program:

The Radiological Emergency Preparedness Program (REPP) assists State, local, and tribal governments in the development of off-site radiological emergency preparedness plans within the emergency planning zones of Nuclear Regulatory Commission (NRC) licensees of commercial nuclear power facilities. The REPP fund is financed from user fees assessed and collected from NRC licensees to cover budgeted costs for radiological emergency planning, preparedness, and response activities in the following year.

B. Budget Activities:

FEMA requests budget authority of \$28,750,000 in FY 2010 to:

- Conduct activities in conjunction with State, local and industry officials to ensure all elements required to gain and maintain 'reasonable assurance' of required levels for public safety determinations related to sites operating nuclear power generating stations.
- Conduct and Evaluate REPP exercises.
- Support the NRC rulemaking and policy development activities as relates to the safety and security of offsite planning and preparedness.
- Conduct necessary offsite planning and preparedness reviews pertaining to proposed new reactor licensing and construction efforts.
- Conduct radiological courses for federal, state, tribal and local emergency response personnel.
- Develop and maintain guidelines and procedures for alert and notification systems installed around nuclear power facilities. Ensure these efforts are coordinated with emerging National policies pertaining to public alert and notification systems.
- Continuously review and update REP guidelines and regulatory supplements to ensure they are standardized and in conformance with the National Preparedness System. Specifically, publish final Radiological Emergency Preparedness Program Manual and Supplemental to NUREG-0654 incorporating program guidance and policy enhancements.

C. Budget Request Summary:

REPP estimates the Fiscal Year (FY) 2010 offsetting collection authority to be \$28,750,000.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
Federal Emergency Management Agency
Radiological Emergency Preparedness Program
 Summary of FY 2010 Budget Estimates by Program/Project Activity
 (Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Radiological Emergency Preparedness Program	85	\$19,891	170	\$27,980	170	\$28,485		\$505	---	---	---	\$505
Subtotal, Enacted Appropriations and Budget Estimates	85	\$19,891	170	\$27,980	170	\$28,485	---	\$505	---	\$0	---	\$505
Less: Adjustments for Other Funding Sources:	---	(27,980)	---	(28,485)	---	(28,750)		-\$265				(\$265)
Net, Enacted Appropriations and Budget Estimates	85	(\$8,089)	170	(\$505)	170	(\$265)	---	\$240	---	\$0	---	\$240

III. Current Services Program Description by PPA

Department of Homeland Security
Federal Emergency Management Agency
Radiological Emergency Preparedness Program
Program Performance Justification

(Dollars in thousands)

PPA: RADIOLOGICAL EMERGENCY PREPAREDNESS PROGRAM

	Perm Pos	FTE	Amount
2008 Actual	170	170	\$19,891
2009 Enacted	170	170	\$27,980
2010 Adjustments-to-Base	0	0	\$505
2010 Current Services	170	170	\$28,485
2010 Program Change	0	0	-\$28,750
2010 President's Budget	170	170	-\$265
Total Change 2009-2010	0	0	-\$28,245

FEMA requests \$28,750,000, 170 positions, and 170 FTE for the Radiological Emergency Preparedness Program in FY 2010.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Radiological Emergency Preparedness Program plans and executes nationally coordinated, locally executed radiological emergency preparedness and response activities. The program assists State and local governments in the development and conduct of off-site radiological emergency preparedness activities (planning, training, equipping, drilling, and exercising) within the emergency planning zones of NRC licensed commercial nuclear power facilities. REPP's historical success lies in its ability to integrate and enhance Federal, State, tribal, and local governments' preparedness planning and response capabilities for all types of radiological emergencies.

Funds for REPP activities are generated through user fees charged to each participating reactor licensee. Funds that are available for obligation in a given year rely on the level of collections received in the prior fiscal year.

Terrorism-based Initiatives

Since September 11, 2001, REPP has received requests to participate in exercises, drills, roundtable discussions, issue committees, and working groups associated with nuclear power plant security, as well as emergency preparedness planning for incidents involving a radiological dispersal device or improvised nuclear device. REPP provides support to those activities given the highest priority.

In addition, REPP has received a significant number of requests from its Federal department/agency partners and from State, local, tribal, and private sector stakeholders to conduct a comprehensive revision and update of the current REPP policies, guidance, and regulations. REPP prioritizes those requests it deems most urgent and supports those activities.

Ongoing terrorism-based initiatives are increasing the program's nuclear and radiological responsibilities. Examples include the Nuclear/Radiological Annex of the National Response Framework and Radiological Dispersal Device/Improvised Nuclear Device (RDD/IND) planning and exercise activities. In FY 2007, an additional 40 FTE were authorized to help support these initiatives.

In the regional offices, REPP established a 1:1 ratio of site specialists for each plant in order to address the increase in site-specific issues that have surfaced since the 9/11 terrorist attacks. REPP has also noticed that as these plants begin to seek operating license extensions, the number of issues involving opposition from local citizens and intervenor/public interest groups increases dramatically.

New Reactor License Applications

The New Reactor License program provides an off-site emergency preparedness plan review, preparation of documents that will be contained in the official Safety Evaluation Reports, delivery of expert testimony if necessary, and production of interim and final "reasonable assurance" findings for the NRC. In FY 2010, REPP anticipates continuing work on at least 15 new reactor license applications generated since the enactment of the Energy Policy Act of 2005. To support the increased workload associated with these new applications, REPP received 40 additional FTEs, and supporting resources in FY 2008.

Federal Radiological Preparedness Coordinating Committee

As Chair of the Federal Radiological Preparedness Coordinating Committee (FRPCC), REPP coordinates the activities of Federal agencies with responsibilities in the radiological emergency planning and preparedness process. In addition, REPP management provides policy direction with respect to Federal assistance to State, local, and tribal governments in their radiological emergency planning and preparedness activities. REPP management also coordinates research and study efforts of its member agencies to ensure minimum duplication and maximum benefits to State, local, and tribal government stakeholders. The FRPCC establishes subcommittees to aid in carrying out its functions.

Recent and Planned Accomplishments

FY 2008 Accomplishments

- Provided support and oversight to conduct, evaluation, and reported findings to the NRC on 32 required biennial exercises involving affected utilities, States, and local jurisdictions and oversaw any necessary remedial exercises to resolve deficiencies of off-site plans identified during the joint exercises.
- Supported the NRC with emergency preparedness activities and plan reviews associated with six combined operating license applications for new reactors.
- Conducted routine annual reviews of off-site plans and related preparedness activities at all 64 nuclear sites, reviewed annual certifications of State and local governments, and completed periodic reviews of public information materials for all sites.
- Conducted 17 REPP courses to train Federal, State, local, and tribal emergency response personnel in the detection, reporting, assessment, protection against, and reduction of effects of radioactive materials introduced into the environment in the event of nuclear power plant accidents while providing training on the REPP Evaluation Methodology procedures.

- Jointly (with the NRC) led 21 focus groups involving federal, state, local, and industry emergency planners across the United States to present and discuss concepts pertaining to efforts to incorporate Hostile Action Based scenarios into existing radiological emergency response planning, training, equipping, and exercise activities.
- Participated in planning and conduct of 13 pilot HAB exercise activities.
- Updated existing program guidelines to incorporate elements of the National Preparedness System (NRF, NIMS, HSEEP) and began transition activities to fully implement these activities into existing plans and methodologies.
- Analyzed REPP exercises to identify and address problem areas in off-site REPP response planning and preparedness activities.
- Concluded a three-year process by approving the new Alert and Notification System (ANS) located in the communities surrounding the Indian Point Energy Center. In addition, reviewed and approved 11 modifications to ANS design reports for other plants in accordance with FEMA REP-10 guidance.

FY 2009 Planned Accomplishments

- Support the NRC with off-site emergency preparedness activities and plan reviews for 17 combined operating license applications.
- Provide support and oversight to conduct, evaluate, and report findings that will be submitted to the NRC on 31 joint exercises and any associated remedial exercises.
- Continue to support pilot exercise activities in support of the HAB scenario and HSEEP exercise methodology implementation.
- Participated in planning and conduct of 30 pilot HAB exercise activities
- Participate with the NRC, industry, and DHS on the development of an integrated exercise to ensure Federal, State, and local tactical law enforcement operations in response to a security incident at a nuclear power generation facility are properly coordinated, to evaluate the relevant Defense Threat Reduction Agency (DTRA) Site Survey, and to create a framework for future exercises with the same goals.
- Revise programs of instruction to ensure radiological training course materials are consistent with the National Preparedness System. Train federal staff as instructors and initiate transition from contractor-based instructor deliveries to reliance upon Federal staff as primary instructors.
- Conduct up to 25 updated radiological training courses for Federal, State, local, and tribal emergency response personnel.
- Continue efforts to integrate REPP exercise methodologies with DHS' Homeland Security Exercise Evaluation Program (HSEEP) and share program lessons learned with other homeland security initiatives at the Federal, State, local, and tribal levels.

- Coordinate with DHS' Office of Infrastructure Protection and FEMA Regional REPP staff to provide State and local communities' essential information pertaining to comprehensive reviews of the nuclear power plant security.
- Conduct effort to establish a REPP office in FEMA region VIII to support New Reactor Application process.
- Coordinate intensively with the National Integration Center (NIC) to develop effective linkages between the National Exercise Division, National Exercise Simulation Center, and related training and doctrine development activities to further integration of REPP activities into the National Preparedness System.
- Participate with Interagency efforts to develop an Integrated Public Alert and Warning System (IPAWS) to ensure REPP Alert and Notification guidelines, system design reviews, and system operations are (to the degree necessary) consistent with IPAWS.
- Conduct effort to establish a REPP office in FEMA region VIII to support New Reactor Application process.

FY 2010 Planned Accomplishments

- Provide support and oversight to conduct, evaluate, and report findings that will be submitted to the NRC on 31 joint exercises and any associated remedial exercises.
- Continue support to NRC for ongoing new reactor license activities as required.
- Participated in planning and conduct of 12 pilot HAB exercise activities. Begin planning for implementation of HAB scenario based exercises as part of the ongoing biennial evaluated exercise activities.
- Conduct 30 radiological training courses for Federal, State, local, and tribal emergency response personnel (similar to those discussed under FY 2008 accomplishments) and finalize the revision, update, and rollout of the entire REPP curriculum based on enhanced guidance and training practices.
- Incorporate as necessary comments during the 2008 public review of the REPP Manual and other significant policy and guidance documents, finalize and release as appropriate.
- Complete the integration of REPP exercise methodologies with DHS' Homeland Security Exercise Evaluation Program (HSEEP) and share program lessons learned with other homeland security initiatives at the Federal, State, local, and tribal levels.
- Conduct off-site emergency preparedness reviews, preparing Emergency Preparedness documents associated with the anticipated 19 new reactor license applications that will be contained in the official Safety Evaluation Reports, delivering expert testimony, if necessary, and providing the NRC with interim and final "reasonable assurance" findings.

- Coordinate with DHS' Office of Infrastructure Protection and FEMA Regional REPP staff to provide State and local communities' essential information pertaining to comprehensive reviews of the nuclear power plant security.
- Participate with Interagency efforts to develop an Integrated Public Alert and Warning System (IPAWS) to ensure REPP Alert and Notification guidelines, system design reviews, and system operations are (to the degree necessary) consistent with IPAWS.
- Publish final Radiological Emergency Preparedness Program Manual and supplemental to NUREG-0654 incorporating program guidance and policy enhancements.
- Coordinate intensively with the National Integration Center (NIC) to develop effective linkages between the National Exercise Division, National Exercise Simulation Center, and related training and doctrine development activities to further integration of REPP activities into the National Preparedness System.
- Finalize the establishment of a REPP office in FEMA Region VIII to support New Reactor Application process.

IV. Program Justification of Changes

Not applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Federal Emergency Management Agency
Justification of Proposed Changes in Radiological Emergency Preparedness Program
Appropriation Language**

The aggregate charges assessed during fiscal year [2009]2010, as authorized in title III of the Departments of Veterans Affairs and Housing and Urban Development, and Independent Agencies Appropriations Act, 1999 (42 U.S.C. 5196e), shall not be less than 100 percent of the amounts anticipated by the Department of Homeland Security necessary for its Radiological Emergency Preparedness Program for the next fiscal year: *Provided*, That the methodology for assessment and collection of fees shall be fair and equitable and shall reflect costs of providing such services, including administrative costs of collecting such fees: *Provided further*, That fees received under this heading shall be deposited in this account as offsetting collections and will become available for authorized purposes on October 1, [2009]2010, and remain available until expended. (*Department of Homeland Security Appropriations Act, 2009.*)

Explanation of Changes:

No substantive changes are proposed.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
Federal Emergency Management Agency
Radiological Emergency Preparedness Program
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual	105	85	\$19,891
FY 2009 Enacted	170	170	27,980
Adjustments-to-Base			
Increases			
Annualization of prior year part year funding.....	---		70
Annualization of 2010 pay raise.....	---		195
Adjustment to projected offsetting collections.....	---		240
Total Increases.....	---	---	505
Decreases			
Total Decreases.....	---	---	---
Total Adjustments-to-Base	---	---	505
2010 Current Services	170	170	28,485
Adjustments for Other Funding Sources			
Offsetting Fees.....			(28,750)
Total Adjustments for Other Funding Sources	---	---	(28,750)
Program Changes			
Program Increases/(Decreases)			---
Total Program Changes	---	---	---
2010 Request	170	170	(265)
2009 to 2010 Total Change	---	---	(28,245)

C. Summary of Requirements

Department of Homeland Security
Federal Emergency Management Agency
Radiological Emergency Preparedness Program
 Summary of Requirements
 (Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	105	85	\$19,891
2009 Enacted	170	170	27,980
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	---	---	505
Increases			---
Decreases	---	---	505
Total Adjustments-to-Base			
	170	170	28,485
2010 Current Services			
	---	---	---
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	---	---	(28,750)
2010 Total Request	170	170	(265)
2009 to 2010 Total Change	---	---	505

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Radiological Emergency Preparedness Program	170	170	\$27,980	---	---	\$505	---	---	\$ (28,750)	170	170	(\$265)	---	---	(\$28,245)
Total	170	170	\$27,980	---	---	\$505	---	---	(\$28,750)	170	170	(\$265)	---	---	(\$28,245)

D. Summary of Reimbursable Resources

Not applicable.

E. Summary of Requirements By Object Class

Department of Homeland Security
Federal Emergency Management Agency
Radiological Emergency Preparedness Program
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2008 Actual	2009 Enacted	FY 2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$6,865	\$13,730	\$13,799	\$69
11.3 Other than full-time permanent	---	---	---	---
11.5 Other Personnel Compensation	575	1,150	1,156	6
11.8 Special Service Pay	---	---	---	---
12.1 Benefits	2,439	4,878	4,902	24
13.0 Benefits - former	---	---	---	---
Total, Personnel Comp. & Benefits	\$9,879	\$19,758	\$19,857	\$99
Other Object Classes:				
21.0 Travel	979	1,040	1,040	---
22.0 Transportation of things	---	20	20	---
23.1 GSA rent	1,132	1,466	1,466	---
23.2 Other rent	---	---	---	---
23.3 Communications, utilities, & other misc. charges	24	42	42	---
24.0 Printing and reproduction	39	---	---	---
25.1 Advisory and assistance services	9	526	526	---
25.2 Other services	7,374	18,731	18,632	(99)
25.3 Purchases of goods & svcs. from Gov't accounts	5	63	63	---
25.4 Operation & maintenance of facilities	---	---	---	---
25.5 Research and development contracts	---	---	---	---
25.6 Medical care	---	---	---	---
25.7 Operation and maintenance of equipment	---	1	1	---
25.8 Subsistence and support of persons	---	---	---	---
26.0 Supplies and materials	89	395	395	---
31.0 Equipment	361	234	234	---
32.0 Land & structures	---	---	---	---
41.0 Grants/Subsidies/Contributions	---	---	---	---
42.0 Indemnity	---	---	---	---
43.0 Interest & dividends	---	---	---	---
44.0 Refunds	---	---	---	---
91.0 Unvouchered	---	---	---	---
99.0 Other	---	---	---	---
Total, Other Object Classes	\$10,012	\$22,518	\$22,419	(\$99)
Total, Direct Obligations	\$19,891	\$42,276	\$42,276	(\$0)
Unobligated balance, start of year	(6,128)	(14,346)	(14,346)	
Unobligated balance, end of year	14,346	(14,346)	820	
Offsetting Collections	(27,980)	(28,485)	(28,750)	
Recoveries of prior year obligations	(353)	---	---	
Previously unavailable	224	---	---	
Total requirements	\$0	(\$14,901)	(\$0)	

Note: FY 2009 Total requirement does not match Budget Appendix due to carryover.

F. Permanent Positions by Grade

**Department of Homeland Security
Federal Emergency Management Agency
Radiological Emergency Preparedness Program
Permanent Positions by Grade**

Grades and Salary Ranges	2008	2009	2010	2009 to 2010
	Actual Pos.	Enacted Pos.	Request Pos.	Change Total
Total, SES	1	1	1	---
Total, EX		---	---	---
GS-15	5	6	6	---
GS-14	22	22	22	---
GS-13	37	37	37	---
GS-12	90	89	89	---
GS-11	2	2	2	---
GS-10		---	---	---
GS-9	2	2	2	---
GS-8	3	3	3	---
GS-7	7	7	7	---
GS-6	1	1	1	---
GS-5		---	---	---
GS-4		---	---	---
GS-3		---	---	---
GS-2		---	---	---
Other Graded Positions		---	---	---
Ungraded Positions		---	---	---
Total Permanent Positions	170	170	170	---
Unfilled Positions EOY	65	---	---	---
Total Perm. Employment EOY	105	170	170	---
FTE	85	170	170	---
Headquarters	74	74	74	---
U.S. Field	96	96	96	---
Foreign Field		---	---	---
Total Permanent Positions	170	170	170	---
Average ES Salary	\$ 150,000	\$ 154,800	\$ 159,754	\$ 4,954
Average GS Salary	\$ 80,765	\$ 80,765	\$ 81,171	\$ 406
Average GS Grade	12.60	12.50	12.50	---

G. Capital Investment and Construction Initiative Listing

Not applicable.

H. PPA Budget Justifications

Department of Homeland Security
Federal Emergency Management Agency
Radiological Emergency Preparedness Program
PPA: Radiological Emergency Preparedness Program
Funding Schedule
(Dollars in Thousands)

PPA: Radiological Emergency Preparedness		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	\$6,865	\$13,730	\$13,799	\$69
11.3	Other than perm	---	---	---	---
11.5	Other per comp	575	1,150	1,156	6
11.8	Spec Srvc Pay	---	---	---	---
12.1	Benefits	2,439	4,878	4,902	24
13.0	Benefits-former	---	---	---	---
21.0	Travel	979	1,040	1,040	---
22.0	Transportation of things	---	20	20	---
23.1	GSA rent	1,132	1,466	1,466	---
23.2	Other rent	---	---	---	---
23.3	Communication, Utilities, and misc charges	24	42	42	---
24.0	Printing	39	---	---	---
25.1	Advisory & Assistance Services	9	526	526	---
25.2	Other Services	7,374	4,435	4,601	166
25.3	Purchase from Govt. Accts.	5	63	63	---
25.4	Operation & maintenance of facilities	---	---	---	---
25.5	Research & Development	---	---	---	---
25.6	Medical care	---	---	---	---
25.7	Operation & maintenance of equipment	---	1	1	---
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	89	395	395	---
31.0	Equipment	361	234	234	---
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	---	---	---	---
91.0	Unvouchered	---	---	---	---
Total, Radiological Emergency Preparedne		\$19,891	\$27,980	\$28,245	\$265
Full Time Equivalents		85	170	170	---

PPA Mission Statement

The Radiological Emergency Preparedness Program (REPP) assists state, local and tribal governments in the development of off-site radiological emergency preparedness plans within the emergency zones of Nuclear Regulatory Commission (NRC) licensees of commercial nuclear power facilities. The REPP fund is financed from user fees assessed and collected from the NRC licensees to cover budgeted costs for radiological emergency planning, preparedness, and response activities in the following year.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$9,879	\$19,758	\$19,857	\$99

Salaries and Benefits includes costs for 170 FTEs. The FY 2010 request includes an increase of \$99,000 for pay inflation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$979	\$1,040	\$1,040	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Transportation of Things	\$0	\$20	\$20	\$0

Travel and transportation costs of Government employees and other persons, while in an authorized travel status, that are to be paid by the Government either directly or by reimbursing the traveler.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
GSA rent	\$1,132	\$1,466	\$1,466	\$0

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous char	\$24	\$42	\$42	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$9	\$526	\$526	\$0

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$7,374	\$4,435	\$4,601	\$166

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$5	\$63	\$63	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$0	\$1	\$1	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$89	\$395	\$395	\$0

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

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$361	\$234	\$234	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

I. Changes in FTE

**Department of Homeland Security
Federal Emergency Management Agency
Radiological Emergency Preparedness Program
Changes in Full-Time Equivalentents**

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	85	170	170
INCREASES			
Increase #1:			
Description: Increase to support new reactor licenses	85	0	0
Sub-Total Increases	85	0	0
DECREASES			
Sub-Total Decreases	0	0	0
Year-end Actual/Estimated FTEs	170	170	170
Net Change from prior year base to Budget Year Estimate:	40	0	0

Note: FY 2007 FTE estimate of 85 differs from FY 2009 CJ amount of 130. The 130 represents the number of positions.

J. FY 2009 Schedule of Working Capital Fund by Program/Project Activity

**Department of Homeland Security
Federal Emergency Management Agency
Radiological Emergency Preparedness Program**

FY 2010 Schedule of Working Capital Fund by Program/Project Activity

(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual	FY 2009 Anticipated	FY 2010 Anticipated	Increase / Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Radiological Emergency Preparedness Program	\$489	\$507	\$637	\$130
Total Working Capital Fund	\$489	\$507	\$637	\$130

Department of Homeland Security

Federal Emergency Management Agency

United States Fire Administration



Fiscal Year 2010
Congressional Budget Submission

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BUDGET REQUEST AND SUPPORTING INFORMATION

FEDERAL EMERGENCY MANAGEMENT AGENCY UNITED STATES FIRE ADMINISTRATION

I. Appropriation Overview

A. Mission Statement for U.S. Fire Administration:

The mission of the United States Fire Administration (USFA) is to provide national leadership to foster a solid foundation for local fire and emergency services for prevention, preparedness, and response.

B. Budget Activities:

USFA coordinates with other federal, state, and local emergency service agencies, the private sector, and with colleges, universities, and other DHS educational consortium participants. In fulfilling its mission, USFA utilizes the assets of the National Fire Academy (NFA), the National Emergency Training Center (NETC), the National Fire Data Center (NFDC), and USFA's National Fire Programs (NFP) Division.

C. Budget Request Summary:

FEMA requests \$45,588,000, 115 positions and 115 FTE for FY 2010. This represents an increase of \$609,000, as compared to FY 2009, for pay inflation and an increased contribution to the DHS Working Capital Fund.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Federal Emergency Management Agency
U. S. Fire Administration**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		2010 Request		Increase (+) or Decrease (-) for FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
United States Fire Administration	115	\$42,841	115	\$44,979	115	\$45,588		\$609	---	---	---	\$609
Subtotal, Enacted Appropriations and Budget Estimates	115	\$42,841	115	\$44,979	115	\$45,588	---	\$609	---	\$0	---	\$609
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	115	\$42,841	115	\$44,979	115	\$45,588	---	\$609	---	\$0	---	\$609

III. Current Services Program Description by PPA

Department of Homeland Security
Federal Emergency Management Agency
United States Fire Administration
Program Performance Justification
(Dollars in thousands)

PPA: U.S. FIRE ADMINISTRATION

	Perm		
	Pos	FTE	Amount
2008 Actual	115	115	\$42,841
2009 Enacted	115	115	\$44,979
2010 Adjustments-to-Base	0	0	\$609
2010 Current Services	115	115	\$45,588
2010 Program Change	0	0	\$0
2010 Request	115	115	\$45,588
Total Change 2009-2010	0	0	\$609

FEMA requests \$45,588,000, 115 positions, and 115 FTEs in FY 2010 for the U.S. Fire Administration. This amount reflects an increase of \$609,000 to cover pay inflation costs and an increased contribution to the DHS Working Capital Fund.

CURRENT SERVICES PROGRAM DESCRIPTION:

USFA prepares the Nation's fire responders through on-going and, when necessary, expedited training, regarding how to evaluate and minimize community risk, improve protection to critical infrastructure, and be better prepared to react to all hazard and terrorism emergencies. USFA coordinates with other federal, state, and local emergency service agencies, the private sector, and with colleges, universities, and other DHS educational consortium participants. In fulfilling its mission, USFA utilizes the assets of the National Fire Academy (NFA), the National Emergency Training Center (NETC) Facilities and Support Services, the National Fire Data Center (NFDC), and USFA's National Fire Programs (NFP) Division.

A) National Fire Academy (NFA)

NFA promotes the professional development of the fire and emergency response community and its allied professionals. To supplement and support state and local fire service training programs, NFA delivers educational and training courses having a national focus.

Recent and Planned Accomplishments

FY 2008

- Delivered 4,045 training programs to 121,775 fire and emergency response personnel.
- Completed the migration of existing web-based content for NFA Online, the USFA's new web-based learning management system for distance learning training.

- Began development of new preparedness curriculum; 6-day courses and designated 2-week resident courses.
- Began BETA testing the NFA's new web-based long-term evaluation system.

FY 2009

- Increase the number of students receiving NFA training programs through USFA's technology-based distance learning program. The program includes internet course delivery, blended learning courses, web-based graphic simulations, and other on-line formats such as web casts.
- Develop 12 new on- and off-campus courses and update an additional 37 to reflect more modern leadership, management, and technical practices.
- Improve effectiveness and portability and reduce capital investment in the command and control graphic simulation tools by migrating to commercial off-the-shelf operating systems.
- Implement a contract instructor evaluation program to monitor and assure continuation of NFA's highly reputed instructional staff.
- Increase USFA/NFA's national model fire science and EMS management curriculum by working to standardize fire-related education programs in the U.S. schools that have adopted them.
- Increase the number of States who are moving to adopt the National Professional Development Model from 21 to 25, and increase by three the number of major metropolitan fire departments who adopt the National Professional Development Model.

FY 2010

- Continue to expand fire and emergency response training programs through the use of both on-campus and online distance learning programs, and through the expansion of its fire and emergency services higher education partnership agreements.
- Increase the delivery of NFA courses at the state and local level through the use of State fire training assistance partnership agreements and distance learning methodologies.
- Focus NFA curriculum on fulfilling DHS, FEMA, and USFA strategic goals for national preparedness, prevention, response and recovery.
- Continue efforts to standardize fire and emergency services-related curriculums and professional development.

B) National Emergency Training Center (NETC) Management, Operations and Support Services

The NETC Management, Operations, and Support Services operate and maintain the NETC in the most efficient and effective manner providing administrative, operational and emergency services in support of the program activities and special groups at NETC.

Recent and Planned Accomplishments

FY 2008

- Managed, operated, and maintained the NETC, providing administrative, operational, and emergency services in support of the program activities and special groups; student admission, registration, ground transportation, and housekeeping services; and scheduled maintenance, repairs, and replacement of capital assets.
- PREP net developed and implemented continuous video-on-demand via cable, web, and satellite to support efforts to reduce community risks and help first responders and the public prepare for, respond to, and recover from natural and man-made disasters. Enhanced current just-in-time training through surge-high-capacity distribution; identified existing capabilities to support national

preparedness and response; and formed a video working group to exchange information and develop technical solutions.

- Provided administrative support to the Assistance to Firefighter Grant Program peer review and criteria development sessions held at NETC.

FY 2009

- Manage, operate, and maintain the NETC, providing administrative, operational, and emergency services in support of the program activities and special groups; student admission, registration, ground transportation, and housekeeping services; and scheduled maintenance, repairs, and replacement of capital assets.
- Enhance the video-on-demand internal and external distribution capabilities; develop and implement new technology to support training, exercises, simulations and new emerging threats. Expand video support and video conference partnerships with other agencies and FEMA organizational elements.
- Provide administrative support to the Assistance to Firefighter Grant Program peer review and criteria development sessions held at NETC.

FY 2010

- Continue to manage, operate, and maintain the NETC in the most efficient and effective manner providing administrative, operational and emergency services in support of the program activities and special groups held at NETC.
- Support all video and internet components of EAS-15 as it relates to FEMA national and regional programs; implement new high definition video technology systems, distribution, and storage retrieval units; expand high tech distribution including Multi-cast, WIMAX, and GPS interface; and support disaster based daily briefings video mobile systems and devices.

C) National Fire Programs (NFP) Division

NFP is responsible for the collection, analysis, publication, dissemination, and marketing of information related to the Nation's fire problem and USFA programs. It manages both USFA research efforts in fire detection, prevention, suppression, and first responder health, safety, and effectiveness, as well as programs that increase the capacity of the Nation's fire and emergency services and the public to prevent, mitigate, prepare for, and respond to local, regional, and national emergencies.

Recent and Planned Accomplishments

FY 2008

- Launched "Smoking and Home Fires" public education campaign.
- Developed and managed programs that increased capacity of the nation's fire and emergency services and the public to prevent, mitigate, prepare for, and respond to local, regional, and national emergencies.
- Disseminated preparedness, prevention, response, and recovery information to both professional audience and the American public via printed publications, multi-media kits, website hits, library loans, and public education campaigns.
- Completed research studies of responder safety, department communications, residential sprinklers, and cooking fires.
- Initiated development of web-based application for the National Fire Incident Reporting System (NFIRS).

FY 2009

- Disseminate preparedness, prevention, response, and recovery information in a variety of formats to reach both professional audiences and the American public.
- Continue development of web-based application for the National Fire Incident Reporting System (NFIRS).
- Initiate NFIRS system requirements analysis for overall NFIRS system modernization.
- Conduct studies of technologies and operations to improve and enhance responder performance and public safety.
- Develop, manage, and maintain activities designed to enhance fire and emergency services response to incidents and disasters.

FY 2010

- Manage the collection, analysis, publication, and dissemination of information related to the Nation's fire problem and USFA programs; making information available to, and relevant for, fire service strategic decision making.
- Enhance first responder performance and public safety by conducting studies of emergency response technologies and operations.
- Manage programs that increase the capacity of the Nation's fire and emergency services and the public to prevent, mitigate, prepare for, and respond to local, regional, and national emergencies.
- Develop and implement program promoting fire prevention and public education.
- Implement web-based application for NFIRS reporting.
- Begin implementation of NFIRS systems enhancements identified in FY 09 requirements analysis.
- Collaborate with the Assistance to Firefighter Grants (AFG) Program Office to utilize NFIRS in order to assist in a strategic implementation of the grant process for Assistance to Firefighter Grants (AFG) and Staffing for Adequate Fire and Emergency Response (SAFER) Grants such that the grant process addresses national fire problems.

IV. Program Justification of Changes

Not applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Federal Emergency Management Agency
Justification of Proposed Changes in U.S. Fire Administration
Appropriation Language**

For necessary expenses for operations, management and administration of the United States Fire Administration, [\$44,979,000] *\$45,588,000*, including activities authorized by the Federal Fire Prevention and Control Act of 1974 (15 U.S.C. 2201 et seq.) and the Homeland Security Act of 2002 (6 U.S.C. 101 et seq.) as amended. (*Department of Homeland Security Appropriations Act, 2010*).

Explanation of Changes:

No substantive changes are proposed.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
Federal Emergency Management Agency
U.S. Fire Administration
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actuals	115	115	\$42,841
2009 Enacted	115	115	44,979
Adjustments-to-Base			
Increases:			
Pay Inflation.....			278
Increased Contribution to DHS Working Capital Fund.....			331
Total Increases.....	---	---	609
Total Adjustments-to-Base	---	---	609
2010 Current Services	115	115	45,588
2010 Request	115	115	45,588
2009 to 2010 Total Change	---	---	609

C. Summary of Requirements

**Department of Homeland Security
Federal Emergency Management Agency
U.S. Fire Administration
Summary of Requirements
(Dollars in Thousands)**

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	115	115	\$42,841
2009 Enacted	115	115	44,979
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	---	---	----
Increases	---	---	609
Decreases	---	---	---
Total Adjustments-to-Base	---	---	609
2010 Current Services	115	115	45,588
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)			
	---	---	---
2010 Total Request	115	115	45,588
2009 to 2010 Total Change	---	---	609

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 U.S. Fire Administration	115	115	\$44,979			\$609	---	---	\$---	115	115	\$45,588	---	---	\$609
Total	115	115	\$44,979	---	---	\$609	---	---	\$0	115	115	\$45,588	---	---	\$609

D. Summary of Reimbursable Resources

**Department of Homeland Security
Federal Emergency Management Agency
U.S. Fire Administration
Summary of Reimbursable Resources
(Dollars in Thousands)**

Collections by Source	FY 2008 Actual			2009 Revised Estimate			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1. Department of Transportation			\$166			\$350			\$350	---	---	---
2. Department of Agriculture			140			50			---	---	---	(50)
3. Department of Interior			159			150			---	---	---	(150)
4. DHS Science & Technology			75			---			---	---	---	---
5. DHS Chief Medical Officer			18			---			---	---	---	---
6. Department of Justice			125			50			---	---	---	(50)
Total Budgetary Resources	---	---	683	---	---	600	---	---	350	---	---	(250)

Obligations by Program/Project Activity	FY 2008 Actual			2009 Revised Estimate			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
U.S. Fire Administration			\$683			\$600			\$350	---	---	(250)
Total Obligations	---	---	683	---	---	600	---	---	350	---	---	(250)

E. Summary of Requirements By Object Class

**Department of Homeland Security
Federal Emergency Management Agency
U.S. Fire Administration
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes		FY 2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1	Total FTE & personnel compensation	\$8,428	\$9,104	\$9,304	\$200
11.3	Other than full-time permanent	104	84	\$86	2
11.5	Other Personnel Compensation	232	435	\$445	10
11.8	Special Service Pay	---	---	---	---
12.1	Benefits	2,216	3,034	\$3,101	67
13.0	Benefits - former	---	---	---	---
	Total, Personnel Comp. & Benefits	\$10,980	\$12,657	\$12,935	\$278
Other Object Classes:					
21.0	Travel	277	315	315	---
22.0	Transportation of things	53	78	78	---
23.1	GSA rent	3	---	---	---
23.2	Other rent	11	220	220	---
23.3	Communications, utilities, & other misc. charges	2,471	2,972	2,972	---
24.0	Printing and reproduction	325	431	431	---
25.1	Advisory and assistance services	1,815	2,156	2,156	---
25.2	Other services	12,528	11,178	11,509	331
25.3	Purchases of goods & svcs. from Gov't accounts	1,659	1,083	1,083	---
25.4	Operation & maintenance of facilities	6,158	6,110	6,110	---
25.5	Research and development contracts	---	---	---	---
25.6	Medical care	---	---	---	---
25.7	Operation and maintenance of equipment	59	1,821	1,821	---
25.8	Subsistence and support of persons	8	10	10	---
26.0	Supplies and materials	527	583	583	---
31.0	Equipment	1,373	980	980	---
32.0	Land & structures	390	---	---	---
41.0	Grants/Subsidies/Contributions	4,204	4,385	4,385	---
42.0	Indemnity	---	---	---	---
43.0	Interest & dividends	---	---	---	---
44.0	Refunds	---	---	---	---
91.0	Unvouchered	---	---	---	---
99.0	Other	---	---	---	---
	Total, Other Object Classes	\$31,861	\$32,322	\$32,653	\$331
	Total, Direct Obligations	\$42,841	\$44,979	\$45,588	\$609
	Unobligated balance, start of year	---	---	---	
	Unobligated balance, end of year	---	---	---	
	Recoveries of prior year obligations	---	---	---	
	Total requirements	\$42,841	\$44,979	\$45,588	\$609

F. Permanent Positions by Grade

**Department of Homeland Security
Federal Emergency Management Agency
U.S. Fire Administration
Permanent Positions by Grade**

Grades and Salary Ranges	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
	Pos.	Pos.	Pos.	Total
Total, SES	3	3	3	---
Total, EX	---	---	---	---
GS-15	5	5	5	---
GS-14	10	10	10	---
GS-13	44	44	44	---
GS-12	15	15	15	---
GS-11	12	12	12	---
GS-10	---	---	---	---
GS-9	7	7	7	---
GS-8	5	5	5	---
GS-7	13	13	13	---
GS-6	---	---	---	---
GS-5	1	1	1	---
GS-4	---	---	---	---
GS-3	---	---	---	---
GS-2	---	---	---	---
Other Graded Positions	---	---	---	---
Ungraded Positions	---	---	---	---
Total Permanent Positions	115	115	115	---
Unfilled Positions EOY	---	---	---	---
Total Perm. Employment EOY	115	115	115	---
FTE	115	115	115	---
Headquarters	115	115	115	---
U.S. Field	---	---	---	---
Foreign Field	---	---	---	---
Total Permanent Positions	115	115	115	---
Average ES Salary	\$ 152,043	\$ 155,388	\$ 158,496	\$ 3,108
Average GS Salary	\$ 74,367	\$ 76,003	\$ 77,523	\$ 1,520
Average GS Grade	11.3	11.3	11.3	---

G. Capital Investment and Construction Initiative Listing

Not applicable.

H. PPA Budget Justifications

Department of Homeland Security
Federal Emergency Management Agency
U.S. Fire Administration
Funding Schedule
(Dollars in Thousands)

PPA: U.S. Fire Administration		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	\$8,428	\$9,104	\$9,304	\$200
11.3	Other than perm	104	84	\$86	2
11.5	Other per comp	232	435	\$445	10
11.8	Spec Srvc Pay	---	---	---	---
12.1	Benefits	2,216	3,034	\$3,101	67
13.0	Benefits-former	---	---	---	---
21.0	Travel	277	315	315	---
22.0	Transportation of things	53	78	78	---
23.1	GSA rent	3	---	---	---
23.2	Other rent	11	220	220	---
23.3	Communication, Utilities, and misc charges	2,471	2,972	2,972	---
24.0	Printing	325	431	431	---
25.1	Advisory & Assistance Services	1,815	2,156	2,156	---
25.2	Other Services	12,528	11,178	11,509	331
25.3	Purchase from Govt. Accts.	1,659	1,083	1,083	---
25.4	Operation & maintenance of facilities	6,158	6,110	6,110	---
25.5	Research & Development	---	---	---	---
25.6	Medical care	---	---	---	---
25.7	Operation & maintenance of equipment	59	1,821	1,821	---
25.8	Subsistence & Support of persons	8	10	10	---
26.0	Supplies & materials	527	583	583	---
31.0	Equipment	1,373	980	980	---
32.0	Land & Structures	390	---	---	---
41.0	Grants/Subsidies/Contributions	4,204	4,385	4,385	---
42.0	Indemnity	---	---	---	---
91.0	Unvouchered	---	---	---	---
Total, U.S. Fire Administration		\$42,841	\$44,979	\$45,588	\$609
Full Time Equivalent		115	115	115	---

PPA Mission Statement

The mission of the United States Fire Administration (USFA) is to reduce life and economic losses due to fire and related emergencies through leadership, coordination, and support. USFA prepares the Nation's fire responders through ongoing and, when necessary, expedited training, regarding how to evaluate and minimize community risk, improve protection to critical infrastructure, and be better prepared to react to all-hazard and terrorism emergencies of all kinds.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$10,980	\$12,657	\$12,935	\$278

The FY 2010 request includes of \$278,000 for pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$277	\$315	\$315	\$0

The FY 2010 request reflects no change from FY 2009.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$53	\$78	\$78	\$0

The FY 2010 request reflects no change from FY 2009.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Rent	\$11	\$220	\$220	\$0

The FY 2010 request reflects no change from FY 2009.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charge	\$2,471	\$2,972	\$2,972	\$0

The FY 2010 request reflects no change from FY 2009.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$325	\$431	\$431	\$0

The FY 2010 request reflects no change from FY 2009.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$1,815	\$2,156	\$2,156	\$0

The FY 2010 request reflects no change from FY 2009.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$12,528	\$11,178	\$11,509	\$331

The FY 2009 request includes a increase of \$331,000 for USFA's increased contribution to the DHS Working Capital Fund.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Purchase from Government Accounts	\$1,659	\$1,083	\$1,083	\$0

The FY 2010 request reflects no change from FY 2009.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Operation & maintenance of facilities	\$6,158	\$6,110	\$6,110	\$0

The FY 2010 request reflects no change from FY 2009.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Operation & Maintenance of equipment	\$59	\$1,821	\$1,821	\$0

The FY 2010 request reflects no change from FY 2009.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Subsistence & Support of Persons	\$8	\$10	\$10	\$0

The FY 2010 request reflects no change from FY 2009.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Supplies & materials	\$527	\$583	\$583	\$0

The FY 2010 request reflects no change from FY 2009.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Equipment	\$1,373	\$980	\$980	\$0

The FY 2010 request reflects no change from FY 2009.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Grants/Subsidies/Contributions	\$4,204	\$4,385	\$4,385	\$0

The FY 2010 request reflects no change from FY 2009.

I. Changes in FTE

Department of Homeland Security
Federal Emergency Management Agency
U.S. Fire Administration
Changes in Full-Time Equivalents

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	114	115	115
INCREASES			
Increase #1:	1	0	0
Description: 1 FTE in FY 2007 for Professional Development Annualized in FY 2008			
Sub-Total Increases	1	0	0
DECREASES			
Decrease #1:			
Sub-Total Decreases	0	0	0
Year-end Actual/Estimated FTEs	115	115	115
Net Change from prior year base to Budget Year Estimate:	1	0	0

J. FY 2009 Schedule of Working Capital Fund by Program/Project Activity

**Department of Homeland Security
Federal Emergency Management Agency
U.S. Fire Administration**

FY 2010 Schedule of Working Capital Fund by Program/Project Activity

Program/Project Activity	FY 2008 Actual	FY 2009 Anticipated	FY 2010 Anticipated	Increase / Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
U.S. Fire Administration	\$330,796	\$343,236	\$674,236	\$331,000
Total Working Capital Fund	\$330,796	\$343,236	\$0	\$331,000

Department of Homeland Security

Federal Emergency Management Agency

Disaster Relief Fund



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

FEDERAL EMERGENCY MANAGEMENT AGENCY (FEMA) **DISASTER RELIEF FUND**

I. Appropriation Overview

A. Mission Statement for Disaster Relief Fund:

Through the Disaster Relief Fund (DRF), FEMA provides a significant portion of the federal response to Presidentially declared disasters and emergencies.

Pursuant to the Robert T. Stafford Disaster Relief and Emergency Assistance Act, the DRF allows FEMA to coordinate and manage response and recovery efforts associated with domestic major disasters and emergencies.

B. Budget Activities:

Major disasters and emergencies are declared by the President in response to gubernatorial requests for assistance as a result of natural or man-made hazards. States request Federal assistance to supplement their available resources and certify that a given disaster is beyond their capacity to respond. The DRF also supports fire management and reconstruction activities for the mitigation, management, and control of fires on public and private lands.

Effective November 4, 2008, FEMA is authorized to transfer DRF funding to the U.S. Agency for International Development (USAID) to implement disaster-specific Relief and Reconstruction Plans in the Federal States of Micronesia and the Republic of the Marshall Islands through the Compacts of Free Association.

FEMA coordinates three major disaster assistance programs: Federal Assistance to Individuals and Households; Public Assistance – including emergency work, and permanent repair and reconstruction of State, local, and nonprofit infrastructure; and Hazard Mitigation programs to reduce damage from future major disasters.

Non-declaration-specific readiness and support activities are also funded under the DRF. These activities provide indirect support across FEMA to Presidentially declared major disasters and emergencies and are managed separately as Disaster Readiness and Support activities (DRS).

C. Budget Request Summary:

FEMA requests 228 fulltime positions, 2,738 FTEs, and \$2,000,000,000 for the Disaster Relief Fund in Fiscal Year (FY) 2010. This represents a gross increase of \$600,000,000 and 0 FTE compared to FY 2009. Coupled with prior year recoveries and carry forward funds, the DRF is projected to support the five-year average obligation level for direct major disaster activity (excluding extraordinary events such as: the 2004 hurricanes in Florida and other states, Hurricanes Katrina, Rita, and Wilma in 2005,

the California Wildfires of 2007, and Hurricanes Gustav and Ike in 2008). In FY 2010, FEMA requests authority to transfer up to \$50 million to the Operations, Management and Administration (OMA) appropriation for management and administration functions.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
Federal Emergency Agency
 Summary of FY 2010 Budget Estimates by Appropriation
 Total Appropriations
 (Dollars in Thousands)

Budget Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Disaster Relief Fund	7,061	\$10,978,279	2,738	\$1,400,000	2,738	\$2,000,000	---	\$600,000	---	\$0	---	\$600,000
Net, Enacted Appropriations and Budget Estimates	7,061	\$10,978,279	2,738	\$1,400,000	2,738	\$2,000,000	0	\$600,000	0	\$0	0	\$600,000

III. Current Services Program Description by PPA

Department of Homeland Security
Federal Emergency Management Agency (FEMA)
Disaster Relief Fund
Program Performance Justification
 (Dollars in thousands)

PPA: DISASTER RELIEF FUND

	Perm Pos	FTE	Amount
2008 Actual	45	7,061	\$10,978,279
2009 Enacted	228	2,738	1,400,000¹
2010 Adjustments-to-Base	0	0	0
2010 Current Services	228	2,738	1,400,000
2010 Program Change	0	0	600,000
2010 President's Budget	228	2,738	2,000,000
Total Change 2009-2010	0	0	600,000

¹FY09 Includes \$16M transfer to DHS OIG for disaster related audits and \$105.6 million transfer to OMA pursuant to P.L. 110-329.

FEMA requests \$2.0 billion for this activity, an increase of \$600 million over FY 2009. In FY 2010, FEMA requests authority to transfer up to \$50 million to the Operations, Management, and Administration appropriation (OMA) for management and administration functions.

Note: Permanent positions include the Federal Coordinating Officers (FCO) and fulltime 2-year Cadre of Response Employees (CORE). Non-permanent workforce includes thousands of intermittent FTE, such as the Disaster Assistance Employees (DAE) in the Disaster Reserve Workforce. These FTE are brought on predominately during hurricane season in support of declared disasters and emergencies.

CURRENT SERVICES PROGRAM DESCRIPTION:

The *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (Stafford Act), 42 U.S.C. 5121-5207 (Public Law 93-288, as amended), authorizes the President to provide Federal assistance to supplement state and local governments' disaster response, recovery, readiness, and mitigation efforts. Under Section 504 of the Homeland Security Act, as amended, FEMA's Administrator has been delegated the responsibility for administering the Stafford Act's Federal assistance programs. The Disaster Relief Fund (DRF) provides funding for the following Stafford Act declarations or activities: (1) major disaster; (2) emergency; (3) fire management assistance; (4) pre-declaration; and (5) Disaster Readiness and Support.

FEMA funds Stafford Act programs and disaster support activities in two categories: Direct Disaster Programs and Disaster Readiness and Support (DRS) activities. Direct Disaster Programs are programs by which FEMA prepares for, responds to, recovers from, and mitigates the results of specific major disasters and emergencies. The DRS activities include advanced readiness and infrastructure support activities that provide support across FEMA for disaster activities.

Direct Disaster Programs

Individual Assistance (IA), Public Assistance (PA), and Hazard Mitigation Grant Program (HMGP) are FEMA's primary Direct Disaster programs. These programs are managed and administered by the Disaster Assistance Directorate (DAD) and the Mitigation Directorate (MD) within FEMA.

These programs constitute the majority of the resources provided by the Federal Government (through FEMA) to directly address the short, medium, and long-term impacts of a disaster on individuals and communities. Disaster assistance under the authorities of the Stafford Act can be provided to states (and further provided to local or tribal governments), the District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands.

Individual Assistance (IA)

The DRF provides funding for the following Individual Assistance Programs:

Individual and Households Programs (IHP) – funded at 100% by the Federal government

- Temporary housing (rent and lodging expense): Funding to rent alternate housing or a temporary housing unit when rental properties are not available.
- Repair: Funding is provided for homeowners to repair damage from the disaster that is not covered by insurance. A flood insurance purchase and maintenance requirement may be placed on the home if the home is in a Special Flood Hazard Area. Repair assistance is intended to repair the home to a safe, sanitary and functional living condition.
- Replacement: Funds are made available to homeowners to assist with the replacement of destroyed home that is not covered by insurance. The goal is to help the homeowner with the cost of replacing their destroyed home.
- Permanent Housing Construction: Funds are made available for the construction of a home, or FEMA will provide direct assistance with the construction. This type of assistance only occurs in insular areas or remote locations specified by FEMA, where no other type of housing assistance is possible, or where other temporary housing options are unavailable or infeasible. Construction shall follow current minimal local building codes and standards where they exist, or minimal acceptable construction industry standards in the area. Construction will aim toward average quality, size, and capacity, taking into consideration the needs of the occupant.

Other Needs Assistance (ONA)

Other Needs Assistance is available for necessary expenses and serious needs of victims of the declared disaster. Assistance provided by the ONA program is cost-shared between FEMA (75 percent) and the State (25 percent).

Assistance is provided to individuals contingent on their ability or inability to secure a loan from the U.S. Small Business Administration (SBA). If SBA determines that an applicant cannot afford a loan, SBA will automatically refer the applicant to the ONA program for assistance.

ONA can be provided for disaster-related serious needs in five categories:

- Repair or Replacement of Personal Property:
 - Clothing
 - Household Items (i.e., home furnishings, appliances)
 - Specialized Tools or Job-related Protective Clothing and Equipment
 - Educational materials (i.e. books)
 - Cleaning Supplies (i.e., wet/dry vacuum, air purifier, dehumidifier)
- Transportation: Repair or replacement of a vehicle that is deemed unusable due to disaster-related damage.
- Medical and Dental Expenses: Medical treatment or the purchase of medical equipment required due to physical injuries resulting from a disaster.
- Funeral and Burial Expenses: Funeral services, burial, or cremation and other funeral expenses related to a death caused by the disaster.
- Other Items: The State and FEMA can agree to pay for specific disaster-related costs that are not listed above. Some examples are generators, moving and storage expenses, and the cost of a National Flood Insurance Program Group Flood Insurance Certificate.

Crisis Counseling Assistance and Training Program (CCATP)

The Crisis Counseling Program supports short-term interventions with individuals and groups experiencing psychological effects resulting from large-scale disasters. These interventions involve the counseling goals of assisting disaster survivors in understanding their current situation and reactions, mitigating additional stress, assisting survivors in reviewing their options, promoting the use or developments of coping strategies, providing emotional support, and encouraging linkages with other individuals and agencies that may help survivors recover to their pre-disaster level of functioning. Supplemental funding for crisis counseling is available to State Mental Health Authorities through two grant mechanisms: (1) the Immediate Services Program (ISP); and (2) the Regular Services Program (RSP), which provide funds for up to nine months following a major disaster declaration.

Disaster Unemployment Assistance (DUA)

The Disaster Unemployment Assistance (DUA) program provides individuals who have become unemployed because of a disaster and unable to secure regular unemployment benefits with unemployment benefits and re-employment services.

Legal Services

Legal services may be provided to low-income individuals unable to secure such services adequate to meet their needs as a consequence of a major disaster.

Public Assistance (PA)

The Public Assistance (PA) program offers assistance to state, local, and tribal governments after a declared major disaster or emergency for eligible disaster-related damage. In addition, certain private non-profit organizations that operate facilities and provide services to the public typically provided by a government agency may receive public assistance. PA is a cost-shared (75% Federal, 25% non-Federal) grant program. States may request, and the President may grant a higher Federal cost share in situations in which the disaster has had a significant economic impact on the state.

Public Assistance provides funding to grantees for the repair and restoration of damaged public and eligible private non-profit facilities and for emergency measures taken to protect lives and property. When Public Assistance is authorized, such assistance may be provided under one or more of the following seven categories:

- Category A – Debris Removal
- Category B – Emergency Protective Measures
- Category C – Repair of Roads and Bridges
- Category D – Water Control Facilities
- Category E – Public Buildings
- Category F – Public Utilities
- Category G – Other Facilities

Hazard Mitigation Grant Program (HMGP)

The Hazard Mitigation Grant Program (HMGP) provides state, local, and tribal governments with cost-shared grants (75% Federal, 25% non-Federal) to reduce the risk of potential damage, hardship, loss, and suffering in an area affected by a major disaster. Ultimately, the HMGP reduces future need for Federal disaster assistance by reducing the impact of and increasing the resistance to natural hazards.

HMGP funding is made available to states based on 15% of the total Federal funds spent in the Public and Individual Assistance programs (minus administrative expenses) for each major disaster costing up to \$2 billion; 10% for disasters between \$2 billion and \$10 billion; and 7.5% for major disasters between \$10 billion and not more than \$35.33 billion.

HMGP projects vary and may include the retrofit of structures to resist flood, wind and earthquake; elevations of structures above base flood levels; property acquisition and demolition or relocation for open space; and minor flood reduction and drainage measures.

HMGP grants are required to be cost effective. In 2005, the Multi-hazard Mitigation Council (MMC), a part of National Institute of Building Sciences, published a report that analyzed the overall impact of FEMA's Hazard Mitigation Programs. The findings show that money spent on reducing the potential damage of natural hazards is a sound investment and is cost effective. On average, a dollar spent on hazard mitigation activities will save the Nation approximately \$4 in future payouts for damage caused by natural hazards.

Other Direct Disaster Programs

- **Fire Management Assistance**

FEMA provides assistance to eligible states, territories, tribal or local governments for the mitigation, management, and control of any fire on public or private forest or grassland that threatens such destruction as would constitute a major disaster. Items eligible for funding under Fire Management Assistance Grant Program (FMAGP) include equipment, labor costs, emergency work, and temporary repair work directly related to firefighting activities associated with the declared fire.

- **Compacts of Free Association**

The DRF provides funding for disaster relief and reconstruction activities in the Federated States of Micronesia and the Republic of the Marshall Islands pursuant to the Compacts of Free Association. This funding is provided through a direct transfer of DRF funds to the USAID.

DRF Recent and Planned Accomplishments

FY 2008

- In FY08, the DRF supported 68 major disaster declarations and 17 emergency declarations in 34 states. Fifty-six fire management assistance grants were awarded in 11 states. FEMA's Regional Offices deployed assets to provide overall coordination of the Federal response and recovery. The Midwest floods affected six states, and 2008 was the fourth busiest hurricane season since 1944.
- In FY08, FEMA obligated \$2.854 billion in support of pre-disaster, response and recovery efforts surrounding the three largest events of 2008: The Midwest Floods; Hurricane Gustav; and Hurricane Ike.
- FEMA handled more than 1.5 million disaster assistance applications and provided more than \$1 billion in assistance to individuals.
- FEMA's Logistics Management Directorate coordinated the distribution of more than 42 million liters of water and 41 million emergency meals to more than 32 million people.
- FEMA pre-stocked distribution centers throughout the Gulf Coast with over 2.4 million liters of water, 4 million meals ready to eat, 141 truckloads of tarps, 267 truckloads of blankets and cots, and 478 emergency generators.
- FEMA coordinated the largest evacuation in U.S. history during Hurricane Gustav, with over 90 percent of New Orleans residents leaving the city, including special needs patients. FEMA led the safe evacuation of more than 2 million people from Southeast Texas before Hurricane's Gustav and Ike made landfall.
- FEMA provided more than 4,300 manufactured housing units to disaster victims.
- In the response to Hurricane Gustav, FEMA deployed nine Urban Search and Rescue (US&R) task forces to support Louisiana and Texas and eight US&R task forces to support Georgia, Florida, Alabama, and Mississippi. For Hurricane Ike, nine US&R task forces were deployed to Texas and six to Louisiana.
- Two National and four Regional Incident Management Assistance Teams (IMAT) were operational and deployed to provide on-site situational awareness during the 2008 hurricane and flooding events.
- FEMA implemented 75 pre-positioned contracts in response to the need for advanced planning and preparation for the 2008 hurricane season.
- FEMA established three National Logistics Staging Areas (NLSA) in Texas to support commodity distribution after Hurricanes Gustav and Ike. Cumulative deliveries of

commodities from FEMA to the state distribution sites and shelters included over 16 million liters of water, 5.4 million bags of ice, 17 million meals, and 118,888 tarps.

- In FY08, FEMA improved its disaster assistance registrations process by implementing verification technology to substantiate victims' identities against commercially available data. This system verifies identity and occupancy by checking applicants' names, social security numbers, and addresses.
- FEMA created the Disaster Reservist Workforce Division (DRWD) to manage the development, deployment, and support of a Disaster Reserve Workforce and improved the overall disaster response deployment system. The DRWD, in coordination with the Emergency Management Institute (EMI), initiated a credentialing plan project for all disaster reserve positions.
- Developed the National Disaster Housing Strategy (Strategy) as mandated by the Post Katrina Emergency Management Reform Act of 2006 (Public Law 109-295).

FY 2009

- Supplement state and local efforts to respond to, recover from, and mitigate the results of specific major disasters and emergencies.
- Continue to streamline the major disaster and emergency declaration process.
- Ensure that individual and public assistance can be provided to victims of the larger and more complex disasters that could occur as the result of terrorism or catastrophic natural events.
- Provide a rapidly deployable voice/data communications capability through the use of its mobile disaster recovery centers (MDRC) and mobile registration intake centers (MRIC).
- Provide tactical disaster emergency communications capability to support all Presidentially declared major disasters and emergencies.
- Implement enhancements for the FEMA Advanced Contact Center Network (ACCN) Platform that enables the National Processing Service Centers (NPSC) to provide customers with an "intelligent interaction".

FY 2010

- Supplement state and local efforts to respond to, recover from, and mitigate the results of specific major disasters and emergencies.
- Develop and expand Total Asset Visibility (TAV). This program integrates a suite of systems to provide request, order visibility, order management, in-transit visibility and eventual delivery of assets and commodities. The TAV program is designed to provide enhanced visibility, awareness, and accountability of disaster resources throughout the supply chain
- Right-size the Temporary Housing Support mission.
- Right-size the FEMA managed distribution Storage Network and capabilities.
- Complete the standardized credentialing plan project for all 230 disaster job titles staffed by FEMA disaster workers.
- Redefine requirements and implement an updated Interagency Agreement with the Internal Revenue Service to provide surge Registration Intake staff following a large or catastrophic event.

Disaster Readiness and Support (DRS)

FEMA reassessed its ability to respond to large-scale and complex presidentially-declared major disasters and saw the need for a more robust advance readiness posture rather than waiting for disasters to occur and reacting with costly and inefficient response actions. The successor to the legacy Disaster

Support activities (DSA), Disaster Readiness and Support activities (DRS) was established to bolster FEMA's effectiveness and readiness in advance of disasters and throughout the fiscal year.

FEMA has increased transparency and budgetary discipline of the DRS through the implementation of detailed spending plans and through monthly program reviews. The monthly program review process emphasizes a more efficient program administration and budgetary accountability. As a result, FEMA is better equipped to maintain its critical disaster support activities and infrastructure; and ensure the timely delivery of disaster assistance.

DRS funds key activities and initiatives such as:

- Strategic pre-positioning and management of disaster commodities
- Improved inventory of specialized assets
- Standby support to enable FEMA to increase response and recovery capacity quickly as needed.

DRS activities support FEMA's all-hazards mission. They include initiatives and resources formerly funded from the DRF's legacy DSA, as well as post-Katrina readiness contracts. Many of these costs are predictable on an annual basis and allow FEMA to support a cross-section of disasters utilizing an infrastructure of processing and distribution centers and information technology systems. In addition, the DRS includes certain costs to help FEMA pre-position for disasters, including the establishment of large commodity and transportation service contracts that can be activated in the event of a major disaster.

These efforts will continue to improve the quality of support to disaster victims, including better communications, a more effective intake process, more efficient delivery systems for disaster commodities, and improved oversight of disaster aid through our technical assistance contractors.

FEMA manages disaster readiness support costs throughout the year. These expenses are essential for: (1) timely disaster response; (2) responsive customer service; and (3) cost-effective program oversight and delivery.

FEMA will prepare a comprehensive FY 2010 spending plan for disaster readiness and support upon enactment of the 2010 budget. In FY 2009 FEMA allocated \$297 million for the following program areas:

Disaster Readiness & Support Program Activities	FY 2009 AMOUNT
Management Directorate	\$75,434
Logistics Management Directorate	\$74,489
Disaster Assistance Directorate	\$62,378
Office of the Chief Financial Officer/Centrally Managed Accounts	\$56,951
Disaster Operations Directorate	\$16,600
National Preparedness (EMI)	\$8,000
DRS Activities Under \$3 Million	\$2,737
Total	\$296,589

The activities by office funded through the DRS in FY09 are as follows:

Management Directorate

FEMA's mission, expectations of performance, and need for 21st century business practices for the Agency have substantially changed in today's post-9/11 and post-Hurricane Katrina environment. FEMA established the Management Directorate to improve cross-functionality of distinct internal service providers; synchronize provider efforts, and increase overall administrative program effectiveness, efficiency and cohesiveness.

Management Directorate provides management oversight of Information Technology Services, Security, Disaster Reserve Workforce, Human Capital Planning, Records and Documents, Occupational Health and Safety & Environmental, Acquisition, and Facilities.

Information Technology Services

The Information Technology Division (ITD) provides technical oversight and administrative support to FEMA's mission by maintaining and enhancing the technological infrastructure. The DRS specifically supports several operation and maintenance services key to disaster readiness. Following are the major ITD activities funded by the DRS:

- Disaster Assistance Improvement Program (DAIP)
- Network Support
- Document Management and Records Tracking System (DMARTS)
- Disaster Communications
- Disaster Assistance Technical Services (DATS)
- National Processing Service Center (NPSC) Support
- Disaster Financial support Capability (DFSC)

Disaster Assistance Improvement Program (DAIP)

Post - Hurricane Katrina, more than 800,000 individuals required immediate disaster assistance (shelter, food, clothing, etc.). Federal agencies across the board received millions of requests for assistance – FEMA alone received 2.7 million applications. The influx of applicants ultimately overwhelmed the system requiring FEMA to overhaul its assistance process (pursuant to Executive Order 13411). DRS funds provide support to the DAIP which has created initial operating capacity for a single access point for more than 40 federally funded forms of assistance (FOAs) and streamlines applicants' information into a unified system.

Network Services

Network Services are required throughout the life of a disaster or emergency, specifically, computer hardware and software used by FEMA and other Federal partners supporting an event. The network services program manages, directs, and supports the daily operations and maintenance of the FEMA disaster network mission. It provides a safe and secure network via the Security Operations Center (SOC). It also provides tier-2 restoration support for FEMA's nationwide voice and data network in the event of failure and the 24/7 help desk support. Additionally, network services include communication services that allow two or more computers or other devices to exchange data.

Document Management and Records Tracking System (DMARTS)

DMARTS is an enterprise solution for conforming disaster document and records management to DHS Documents Management standards. Its purpose is to provide an enterprise level application that will provide data capture, document management, correspondence tracking, and records management functionality. This system supports FEMA users in locating, accessing, storing, retrieving, managing, and archiving documents, along with creating consistent streamlined supportable processes for the user community.

Disaster Communications

ITD supports telecommunications services for disaster missions. Specifically, satellite airtime for the Mobile Emergency Response System (MERS) and Mobile Disaster Recovery Centers (MDRCs) and the communication needs for the FEMA National Processing Service Centers (NPSCs) (local & long distance telephone services, circuits, 800-services, 800-translator service, switch maintenance, router maintenance, and satellite services which support the infrastructure needed to provide voice and data connectivity to the NPSC call center agents).

Disaster Assistance Technical Services (DATS)

DATS is the framework that supports a range of services provided to the disaster workforce, disaster victims, and the public. One of the major services provided is the Disaster Assistance Support Center (DASC) which is the primary reception center for new information system requests for FEMA's Disaster Assistance Directorate (DAD).

Information Technology (IT) Support (NPSC & Disaster Response)

IT contractor support and equipment are provided so that the National Processing Service Centers (NPSCs) can provide efficient call center service and timely expedition of disaster victims' applications. ITD also provides: (1) IT contractors to be deployed to the Joint Field Offices (JFOs) as part of the IT Disaster Response Team, (2) hardware and software maintenance for fax servers, (3) maintenance and repair of vehicles deployed to the JFOs; (4) maintenance of the asset management tool, (5) network management and troubleshooting, (6) software maintenance and development of the Gold image to reimage disaster laptops, (7) and UPS Maintenance.

Disaster Financial Support Capability (DFSC)

FEMA's National Emergency Management Information System (NEMIS) provides a comprehensive capability to support the financial elements of the disaster management process in the form of the Emergency Support (ES) Module. The ES Module provides the front end processing of disaster financial management documents and processes financial transactions and services through FEMA's Integrated Financial Management Information System (IFMIS). The ES Module pre-processes financial transactions from other modules and exports them into IFMIS. The ES Module payment system allows users to process disaster-housing payments and perform recoupment and other administrative tasks associated with disaster payments.

Disaster Reserve Workforce (DRW)

The Disaster Reserve Workforce Division was established within the Management Directorate and supports FEMA's Reserve Workforce through a centralized framework that strengthens force readiness, coordinates the direction and management of Disaster Assistance Employees' (DAE) resources, and guides the professional development of DAE members. DRWD initiatives are coordinated with the Human Capital Division, Emergency Management Institute, each Directorate and its Cadre Managers, and other key stakeholders who provide critical DAE program support.

Historically, FEMA has relied on Disaster Assistance Employee (DAE) Reservists to staff the majority of positions in the Joint Field Offices (JFO). The current workforce structure has not kept pace with the changing demands and organizational transitions within FEMA and DHS. Professionalizing the Disaster Workforce seeks to identify and resolve persistent problems in three major areas: workforce structure; automated workforce management systems; and training and credentialing of the disaster workforce. The DRS provides funding for a program management office to emphasize Disaster Reserve readiness and tailor best-practices from successful workforce models.

DRW will assist in the credentialing and deployment of responders from FEMA's full-time workforce and the Surge Capacity Force and;

- Develop policy, allocate Agency resources, and maintain systems that adapt the DRW to the evolving needs of FEMA and Disaster Reservists.
- Coordinate force planning, training, credentialing and deployment of the DRW, full-time FEMA employees and the Surge Capacity Force.
- Prescribe and enforce nationwide standards of Reserve readiness.
- Oversee DRW Advisory Group to achieve unity of effort in DRW management.
- Implement, manage, and improve standardized processes for tracking Reserve availability, deployment, and demobilization.

Security Services

DRS funding for this activity includes background investigation and fingerprint processing for all disaster employees and contractor staff assigned to a joint field offices (JFO) or disaster facility. Funding also supports contractual services for Federal Protective Service (FPS) at FEMA fixed disaster facilities. (Guard services provided at FEMA disaster locations are funded from the disaster declaration).

Other Management Directorate Services

Facilities Management – Express mail, shipping, and maintenance of mail equipment at disaster fixed facilities are among the activities funded from the DRS.

Human Capital Management - Recruitment of staff (DAE, CORE); staff retention, and development activities are funded from the DRS. Human Capital Management encompasses workforce planning, employment and recruitment, pay and performance, training, organizational development, employee and labor relations, awards, leave, workplace programs, employee grievances and appeals.

Records Management Disaster Services – Disaster related Freedom of Information Act (FOIA) requests are funded by the DRS.

Acquisition Management – DRS supports the conduct of Commercial Services Management studies through DHS under the OMB guidance which replaces the guidance for competitions under OMB Circular A-76. DRS also supports a pro-rated share of the maintenance contract for ProTrac FEMA's acquisition processing system.

Logistics Management Directorate (LMD)

FEMA's Logistics Management Directorate's mission is to effectively plan, manage and sustain national logistics response and recovery operations, in support of domestic emergencies and special events, and to serve as the National Logistics Coordinator (NLC).

LMD's Advanced Readiness Initiatives and Property Management Program will continue the development and expansion of the Total Asset Visibility (TAV) and In-transit Visibility (ITV) Systems. TAV integrates a suite of systems to provide oversight and management of: requisitions; orders; goods in transit; and delivery of assets and commodities. The long-term vision for the TAV program is to engage external emergency management stakeholders – from State, local, and Tribal governments and other Federal agencies and vendors – in the entire FEMA supply chain. LMD will also award a restructured Support Camp contract for shelter of Federal emergency response personnel in times of disaster. The Logistics Capability Assessment tool and associated Resource Requirements Calculator will be implemented across a comprehensive cross section of states and regions to assess state logistics capabilities.

The Distribution Centers (DCs) will develop a plan for implementing and integrating the appropriate mix of internal and external support capabilities. The Atlanta and Puerto Rico DCs will be relocated; LMD is currently seeking locations. Moving to a larger and enhanced facility, the Atlanta DC will serve as a prototype for all future Distribution Centers. LMD is currently seeking locations for the relocation of the Atlanta and Puerto Rico DCs.

The THU program will continue closing sites as disposal progresses and formaldehyde testing is completed. Approximately 40 percent of Temporary Housing Staging Areas will be closed to allow focus on core business of THU readiness. The THU program will also institute THU readiness tracking metrics for asset readiness and THU disposal.

Advanced Readiness Initiatives – The Post Katrina Emergency Management Reform Act (PKEMRA) mandates FEMA establish a professional logistics capability as well as a robust logistics capability at the Regional and State level. FEMA must adopt new approaches to disaster logistics management in order to meet its dual responsibility as both the national coordinator and direct provider of these services. To support this endeavor, FEMA must put contracts in place that will ensure the most efficient and effective pre-positioning, distribution, and tracking of supplies and materials. LMD is also working toward development of Regional Logistics Readiness Plans that clearly articulate the proposed logistics approach with defined metrics.

- **Distribution Centers (DCs)** – Essential improvements are underway for a Distribution Centers Strategic Plan and implementation, in response to PKEMRA's mandate to establish a professional logistics capability. LMD is working toward a well thought out and performance-based business model which fully utilizes the capabilities and assets of our business partners and commercial industry. The result is an organic capability that is determined based on a National Inventory Plan, as well as a "virtual capability" from all partners.

During a disaster operation, the DCs support FEMA disaster responders with critical equipment and supplies, including Emergency Meals, bottled water, generators, cots, blankets, tarps, blue roof sheeting and other disaster commodities. These life-saving and life-sustaining resources provided to citizens in times of disaster can be distributed through State and county distribution points in time of need. A portion of these supplies have been pre-positioned in hurricane-prone states in

Regions I, II, III, IV and VI. The DCs also stock pre-positioned medical caches in support of HHS's National Disaster Medical Systems (NDMS). FEMA and HHS work collaboratively to issue the caches when requested.

The DRS supports base costs, including rent and security, for FEMA's eight Distribution Centers (located near Atlanta, GA; Berryville, VA; Ft Worth, TX; Frederick, MD; San Jose, CA (Moffett Field); Hawaii; Guam; and Puerto Rico). Additionally, FEMA stocks commodities in the Temporary Housing and Distribution Center located in Cumberland, MD.

- **Temporary Housing Units (THU)** – The Temporary Housing Unit Storage Sites Program (previously referred to as Emergency Housing Unit Storage Sites), supports Disaster Assistance Directorate's Direct Housing Program. The program is part of a well thought out, life-cycle and performance-based business model and supports 21 sites with contracts for various support services.
- **Property Management** – The DRS supports the management oversight, internal control and technical reviews in the areas of property accountability, reutilization and disposal of the agency's personal property assets, such as disaster supplies and equipment. DRS Property Management implements an enterprise-wide property accounting and asset visibility system designed and implemented to ensure best value. DRS support the Inventory and Logistics System, including the logistics information management system and the Total Asset Visibility (TAV) System, from a stand alone system to being a part of the DHS CIO's overall enterprise system.

Disaster Assistance Directorate (DAD)

The Disaster Assistance Directorate (DAD) works to ensure that individuals and communities affected by disasters of all sizes, including catastrophic and terrorist events, are able to return to normal with minimal suffering and disruption of services. Program activities focus on improving efficiency and expediting delivery of disaster assistance to eligible individuals, to state, local, and tribal governments, and to eligible private nonprofit organizations. This is accomplished through a commitment to streamline procedures to improve program policy, to minimize error, and to modernize service delivery technology.

Annual costs for the following contracts, staff, and activities will be funded through the DRS (actual deployment costs in response to a disaster declaration will continue to be funded from the specific disasters):

- **Staffing**

DRS funding is utilized for the salaries and benefits for approximately 67 temporary employees nationwide that support a wide variety of Disaster Assistance related programs, including, but not limited to: The Individual and Public Assistance Programs; Technical Assistance Contract implementation, long-term community recovery; and disaster information management.
- **Contract Support**
 - Individual Assistance Technical Assistance (IA-TAC)
 - Public Assistance Technical Assistance (PA-TAC)
 - Housing Inspection Services (HIS)
 - Mail Operations
 - Management, Organizational and Business Improvement Services (MOBIS)
 - Corporate Lodging Consultants (CLC)

- National Processing Service Centers (NPSCs)

The DRS supports base costs, including rent and security, for FEMA’s three NPSCs located in Maryland, Texas, and Virginia. The NPSC facilities provide FEMA call center and benefits processing capabilities to register and process disaster victims’ applications.

DRS funding for the NPSCs also supports the following:

- Developers to make continuous updates to IA program changes in the NEMIS system to ensure that processing complements the most up to date policies.
- What is expected to be a one- time cost for an Interagency Agreement with the Internal Revenue Service (IRS) to provide surge staffing for Registration Intake when required. Specifically, meeting FEMA technical requirements for IRS facilities that perform this function. When the IAA is utilized pursuant to a disaster declaration, funding will be charged to the declaration’s costs under the DRF.

- Other Interagency Agreements

- Crisis Counseling Assistance and Training Program (CCATP). The Center for Mental Health Services (CMHS) under the U.S. Department of Health and Human Services provides critical technical support in the management of FEMA’s Crisis Counseling Assistance and Training Program (CCP). FEMA annually funds three PFT positions, contract support, travel, equipment supplies and administrative costs through an IAA. When the program is actually “turned on” pursuant to a disaster declaration, funding will be charged to the declaration’s costs under the DRF.
- Disaster Unemployment Assistance (DUA). The Employment and Training Administration, within the Department of Labor (DOL), administers the Disaster Unemployment Assistance (DUA) Program on FEMA’s behalf. As such, FEMA annually funds DOL through an IAA to perform this function. When the program is actually “turned on” pursuant to a disaster declaration, funding will be charged to the declaration’s costs under the DRF.

- Maintain a Web-based Public Assistance Program

- DRS funding is used to maintain a web-based capability for the Public Assistance Program (PA) that allows FEMA staff, PA applicants, and States to perform all PA grant management activities online in addition to supporting the use of state-of-the art technology such as wireless handheld devices. This includes maintaining the use of handheld devices for Public Assistance staff and contractors to perform inspections on damaged facilities. The information then is automatically uploaded into the web-based system, eliminating a paper based process, improve efficiency, and attain cost savings.

Office of the Chief Financial Officer (OCFO)

The OCFO leads FEMA in financial management and accountability to ensure the effective use of resources and service to stakeholders in the accomplishment of FEMA’s mission.

The OCFO oversees planning and response activities of the financial management members of FEMA’s emergency teams and management of the national Disaster Comptroller cadre.

2-Year CORE Salaries & Benefits

FEMA maintains a class of employees referred to as Cadre of Response Employees (CORE) to perform essential duties that cannot reasonably be attributed on a disaster specific basis. These CORE are hired as Temporary Full-Time (TFT) employees with appointments not-to-exceed 2-years. Based on the distribution of work among all of the programs/offices, for FY 2010, 183 2-Year CORE positions are proposed for funding from the DRS.

Corporate/Centrally Managed (CM) Programs

FEMA will continue to utilize the DRS to maintain critical, ongoing administrative and management (corporate) accounts. These costs include the following: rent/leases for specified FEMA spaces occupied by disaster employees; disaster-related postage and shipping charges; disaster financial operations support; unemployment insurance and workmen's compensation for DAE's; and printing for temporary disaster employees. This account will have oversight within the Office of the Chief Financial Officer (OCFO).

Disaster Operations Directorate (DOD)

The Disaster Operations Directorate coordinates and provides the core Federal disaster response capability needed to save lives, reduce suffering, and protect property in communities throughout the nation that have been overwhelmed by the impact of a major disaster or emergency, regardless of cause. Three core program activities are funded by the DRS: Hurricane Planning Response Team; the GAP Analysis initiative; and Disaster Emergency Communications.

Formerly known as the Gulf Coast Warm Cell, the Hurricane Planning Response Team, in accordance with the Post Katrina Emergency Management Relief Act (PKEMRA), leads the charge to ensure mass evacuation guidelines, standards, and requirements are established and effective.

The GAP analysis initiative was implemented during the 2007 hurricane season. It was established to provide a snapshot of asset gaps at the local, State, and national level and determine the level of Federal support potentially needed to respond to a category 3 hurricane. The initial focus was seven key areas in 18 of the most hurricane prone states. In 2008, the analysis was expanded to strengthen the capabilities of those States to reduce their reliance on Federal support by developing creative solutions that leverage the capabilities of State and local jurisdictions and the private sector.

The Disaster Emergency Communications division is funded to provide tactical disaster emergency communications capabilities to support all-hazards disaster response and national security emergency requirements. The division maintains emergency communications through six Mobile Emergency Response Support (MERS) Detachments.

National Preparedness Directorate

The Emergency Management Institute (EMI) within the National Preparedness Directorate is responsible for training FEMA's Disaster Workforce to perform the tasks as defined in their credentialing plans at the basic, intermediate, and advanced levels. The foundation for the disaster workforce credentialing plans is the individual position task books developed by EMI. These position task books reflect the work to be accomplished for each FEMA disaster position (over 300). These positions are performed at the Joint Field Office, National Response Coordination Center, Regional Response Coordination Center, and in the field (staging areas, command centers, emergency operation centers, etc.). The position task books include an evaluation component to assess performance against tasks performed. EMI works in partnership with FEMA's Disaster Reserve Workforce Division to

ensure that training, credentialing plans, and position task books are in sync to guarantee the readiness of FEMA's disaster workforce.

Other DRS Activities

Office of the Administrator - Primary DRS program costs are travel requirements to maintain credentialing and qualifications, and communication equipment to effectively administer disaster relief from the field. During deployment to disasters, the FCOs are funded by the specific disaster declarations.

External Affairs – The DRS funds Media Monitoring & Contact Management activity. This covers the disaster related portion of the annual media monitoring and analysis service and the media contact management and distribution service. It also provides funding for the Individual Assistance Communications contract.

Mitigation - The DRS supports: 1) reprinting of publications depleted by disaster activities; 2) replenishment of publications that were used by routine disasters.

Equal Rights - Non-disaster specific investigations and EEO activities are funded through the DRS.

DRS (and legacy DSA) Recent and Planned Accomplishments

FY 2008

- Disaster Operations Directorate revised (DOD) its GAP analysis initiative to address all-hazards for each of its ten Regions.
 - Visited all FEMA Regions. Through the regional visits the GAP Management Office documented the FEMA Regions' experiences and suggestions and incorporated their feedback in the development of formal program guidance.
- DOD GAP Management Office formalized relationships with partners including the United States Army Corps of Engineers and Department of Health and Human Services. These relationships improved the analysis of capabilities, requirements and shortfalls at every level, as well as facilitated development of strategies for mitigating the identified shortfalls.
- The DOD Hurricane Planning Response Team - through the Gulf Coast Planning Initiative - implemented its first ever precautionary multi-modal mass evacuation of approximately 33,000 evacuees prior to the landfall of hurricane Gustav.
- The Emergency Management Institute (EMI) added 40 new and revised courses to its curriculum and delivered multiple offerings of approximately 374 different courses in resident, field, and online with over 125,000 course completions.
- EMI completed over 250 Position Specific Task Books for JFO positions and began development of task books for IMAT, NRCC and RRCC positions.
- EMI provided technical assistance to the Disaster Reserve Workforce Division to begin development of credentialing plans.
- Disaster Assistance Directorate (DAD) implemented the Disaster Assistance Technical Services (DATS) contract and Program Support Services contract that offers assistance to: the Fair Market Rent Calculator; the Debris Removal Contractor Registry; the National Emergency Family Registry and Locator System; the Debris Removal Tracking System; Temporary Housing Unit Air Quality Testing; and the Housing Portal, among others.

- DAD implemented the Housing Inspections Services contract that is necessary to document and validate damages reported by disaster victims. The resulting inspections are utilized to make final eligibility determinations.
- DAD implemented the Individual Assistance Technical Assistance Contract (IA-TAC) that supports among other things: haul and install of temporary housing units; housing coordinating resources; disaster victim needs assessments; applicant pre placement interviews; preliminary damage assessments; and shelter and mass care operations and management.
- DAD implemented the Public Assistance Technical Assistance Contracts (PA-TAC) that provides architect-engineer and professional support services. PA-TAC provides specialists to evaluate the damage of public facilities caused by a disaster develop a scope of work and cost estimate for: repair; replacement; or relocation of the facilities. The information collected is used to make eligibility determinations and process grants for public assistance applicants.
- DAD contracted for mail operations at the National Processing Service Centers to efficiently handle all incoming and outgoing mail related to disaster applicants.
- FEMA IT Division (IT) enhanced Mission Support Systems:
 - Coordinated with 16 Federal partner agencies to develop and improve an application resulting from Executive Order #13411, which directed agencies to consolidate all Federal disaster assistance available to the victim into one portal. The Disaster Assistance Improvement Program (DAIP) was the end result of this effort.
 - Implemented software improvements to WebADD, Individual Assistance applications, and Disaster Grants applications (EMMIE).
- IT Transitioned the National Preparedness Directorate (NPD) and Grants Program Directorate (GPD) from the DHS network to the FEMA network without a negative impact on services.
- IT established a Program Management Office to define and build standard processes and tools for the Human Capital and Asset Management program offices.
- IT/DHS Data Center Discovery Project: Awarded a contract to EDS to scope the transition effort and assist in prioritization of systems to be moved to DHS Data Center.
- IT initiated transition to DHS OneNet. Planning and circuit orders were completed. Anticipated to be operational by the 3rd Quarter of FY 2009.
- Logistics Management Directorate (LMD) began development of the Total Asset Visibility (TAV) program. This program integrates a suite of systems to provide request, order visibility, order management, in-transit visibility and eventual delivery of assets and commodities.
- LMD began development of Key Readiness Contracts. These contracts and Interagency Agreements (IAA) provides an enhanced logistics readiness capability including supplies and services, transportation and asset visibility.
- LMD created an interagency Emergency Transportation Center (ETC) Transition Working Group to support the transition of *Transportation Services / Evacuation Support* roles from the Department of Transportation (DOT) and assist LMD in developing its in-house capabilities to acquire transportation services through the General Services Agency's (GSA) freight tenders program via an Interagency Agreement (IAA).

FY 2009

- DOD will expand its all hazards GAP analysis program across FEMA
 - The GAP Management Office released a formal guidance document to assist FEMA Regions and states with the implementation of GAP. With the release of this guidance, the program rolled out to all states with a risk-based, all-hazards approach.

- DOD GAP Management Office developed and released a new user-friendly GAP Data Collection and Analysis Tool. The tool reduces subjectivity and provides standardized data, from which the GAP Management Office can produce ad-hoc reports and support response operations.
- FEMA’s Disaster Operations Directorate Hurricane Planning Response Team (Gulf Coast Warm Cell) will establish a Mass Evacuation Program Office to:
 - Expand the concept, process and procedures established in Gulf Coast Planning Initiative to the Atlantic Coast.
 - Incorporate aspects of the Mitigation hurricane evacuation studies and risk assessment modeling into plans & programs
 - Refine organizational constructs such as the Evacuation Liaison Team, Movement Coordination Branch (aviation, bus, and rail) into the National Incident Management System (NIMS).
- EMI anticipates adding 30 new and revised courses to the curriculum while delivering multiple offerings of approximately 413 different courses in resident, field, and online with over 127,000 course completions.
- EMI will maintain the over 300 Position Task Books to reflect changing tasks and provide technical assistance in the development of Phase 1 credentialing plans for Logistics, Disaster Field Training, Security, External Affairs, Operations, Public Assistance, Acquisitions, Planning, and Information Technology.
- Established the Disaster Reserve Workforce Division to improve the readiness capability of FEMA’s disaster workforce by strengthening administrative training and developing credentialing plans.
- DAD solicited competitive bids for new award of the Individual Assistance-Technical Assistance Contract (IA-TAC III) to incorporate Government best practices.
- DAD enhanced the FEMA Advanced Contact Center Network (ACCN) Platform that enables the National Processing Service Centers (NPSC) to provide customers with an “intelligent interaction”.
- DAD awarded four new technical assistance contracts (TACs) to provide architect–engineer, consultant, and other related professional services in support of the Public Assistance (PA) Program.
- IT built/deployed/upgraded various Information Systems to improve processes:
 - Build and deploy Phase II of the Disaster Assistance Improvement Program (DAIP).
 - Assess the design and architect a new solution for the National Emergency Management Information System (NEMIS).
 - Prepare integration of the Non-Disaster Grants (ND Grants) and Emergency Management Mission Integrated Environment (EMMIE) Grants Systems.
 - Perform an analysis of alternatives for the Total Asset Visibility (TAV) logistics system.
 - Upgrade the ProTrac acquisition management system to version 7.2.
 - Build and deploy the Enterprise Coordination and Approval Processing System (eCAPS) for non-disaster acquisitions.
 - Transition to DHS OneNet.
- LMD will field operation Phase I of TAV to include provisions for disaster surge support personnel.
- LMD will complete formaldehyde testing of Temporary Housing Units (THUs).
- LMD will institute THU readiness tracking metrics for asset availability and THU disposal.
- LMD will sustain Mobile Disaster Recovery Center (MDRC) program consisting of 100 strategically pre-positioned support vehicles. This program provides disaster response capability of “stand alone” operations in the initial phase of a disaster, providing communications and registration capability for both victims and emergency response personnel within hours.

FY 2010

- DOD will complete the expansion of the GAP analysis program and engage all US states and territories.
 - Continue improving data collection and analysis process by transitioning to a web-based system.
 - Create an online independent study course to provide consistent program guidance to stakeholders at all levels.
- DOD's Hurricane Planning Response Team Mass Evacuation Program office will:
 - Expand the program across all FEMA Regions
 - Update evacuation studies and risk assessments
 - Develop sophisticated transportation modeling programs
 - Exercise organizational constructs in National Level Exercises
- EMI will add 30 new and revised courses to the curriculum while delivering multiple offerings of approximately 420 different courses in resident, field, and online with over 130,000 course completions.
- EMI will maintain the over 300 Position Task Books to reflect changing tasks and provide technical assistance in the development of credentialing plans for the Phase 2 cadres.
- FEMA will implement the Disaster Reserve Workforce initiative that focuses on four major problem areas: workforce structure; automated workforce management systems; credentialing and training; and standardization of workforce policies.
- FEMA will implement credentialing plans for disaster field task positions in accordance with Joint Field Office (JFO) standard operating procedures
- Conduct a detailed gap analysis to align EMI's disaster workforce curriculum with credentialing requirements.
- DAD will solicit competitive bids for a new award of the Housing Inspection Services contract that will improve accountability, allow FEMA to identify gaps in service delivery, impose clear penalties to failed performance, and clearly define administrative requirements such as HSPD-12.
- DAD will redefine requirements and implement an updated Interagency Agreement (IAA) with the Internal Revenue Service to provide surge Registration Intake staff following a large or catastrophic event.
- DAD will continue implementation of technology solutions and application development at the National Processing Service Centers for Individual Assistance Programs to support Disaster Housing Operations and streamline the housing inspection service process to increase accuracy and customer service.
- IT will continue to build/deploy/upgrade various Information Systems to improve processes:
 - Build and deploy Phase III of DAIP
 - Assess DHS Transformation and Systems Consolidation (TASC) solution for acquisitions
 - Deploy TAV pilot
- LMD will award restructured Support Camp contract for shelter of 300 to 2,000 Federal emergency response personnel. The contract(s) include: design; equipment; mobilization; site preparation; installation; management and operation; and demobilization of the camps.
- LMD will complete relocation of Puerto Rico Distribution Center. Additionally, the Atlanta Distribution Center will be relocated, including integration of future personnel structure, processes, and technology. The Atlanta Distribution Center will serve as a model for all future Distribution Centers.
- LMD will close 40 percent (6 of 15) Temporary Housing Unit (THU) staging areas to reduce costs and allow greater focus on THU oversight.

IV. Program Justification of Changes

**Department of Homeland Security
Federal Emergency Management Agency (FEMA)
Disaster Relief Fund
Justification of Program Changes
(Dollars in Thousands)**

Program Increase 1: Direct Disaster Requirements (Adjustment to estimate)

Strategic Goal(s) & Objective(s): **Goal 1:** An integrated approach that strengthens the Nation’s ability to address disasters, emergencies, and terrorist events.
Objective 1.1 Build a culture of preparedness across the Nation for all hazards

PPA: Disaster Relief Fund

Program Increase: Positions 0 FTE 0 Dollars \$600

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							228	2,735	\$1,400
Program Increase							0	0	600
Total Request	45	7,061	\$10,978	228	2,738	\$1,400	228	2,738	\$2,000

Description of Item:

FEMA requests an additional \$600,000 to sustain the five-year average obligation level for direct disaster activity.

Justification:

Historically, calculations are based on a 5-year average – using only direct disaster obligations. The calculation does not include large events greater than \$500 million and assumes \$1 billion will be available through recoveries.

Impact on Performance (Relationship of Increase to Strategic Goals):

Without these funds, the FEMA would not be able to support the 5-year average obligation level.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Federal Emergency Management Agency
Justification of Proposed Changes in Disaster Relief Fund
Appropriation Language**

For necessary expenses in carrying out the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et seq.), [\$1,400,000,000]\$2,000,000,000, to remain available until expended: [Provided further, That up to \$50,000,000 may be transferred to the Federal Emergency Management Agency “Management and Administration appropriation for management and administration functions”.] Provided, That [the Federal Emergency Management Agency shall submit an expenditure plan to the Committees on Appropriations of the Senate and the House of Representatives detailing the use of the funds for disaster readiness and support within 60 days after the date of enactment of this Act: Provided further, That the Federal Emergency Management Agency shall provide a quarterly report detailing obligations against the expenditure plan and a justification for any changes in spending: Provided further, That the Federal Emergency Management Agency shall submit the monthly “Disaster Relief” report, as specified in Public Law 110-161, to the Committees on Appropriations of the Senate and the House of Representatives, and include the amounts provided to each Federal agency for mission assignments]:[Provided further,] [That] for any request for reimbursement from a Federal agency to the Department of Homeland Security to cover expenditures under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et seq.), or any mission assignment orders issued by the Department for such purposes, the Secretary of Homeland Security shall take appropriate steps to ensure that each agency is periodically reminded of Department policies on:

- (1) the detailed information required in supporting documentation for reimbursements; and
- (2) the necessity for timeliness of agency billings. (Department of Homeland Security Appropriations Act, 2009.)

Explanation of Changes:

No substantive changes are proposed

B. FY 2008 to FY 2009 Budget Change

**Department of Homeland Security
Federal Emergency Agency
Disaster Relief Fund
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual	45	7,061	\$10,978,279
FY 2009 Enacted	228	2,738	1,400,000
2010 Current Services	228	2,738	1,400,000
 Program Changes			
Program Increases/(Decreases)			
Adjustment to estimate of disaster relief requirements	---	---	600,000
Total Program Changes	---	---	600,000
 2010 Request	 228	 2,738	 2,000,000
 2009 to 2010 Total Change	 ---	 ---	 600,000

C. Summary of Requirements

**Department of Homeland Security
Federal Emergency Agency
Disaster Relief Fund
Summary of Requirements
(Dollars in Thousands)**

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	45	7,061	\$10,978,279
2009 Enacted	228	2,738	1,400,000
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Total Adjustments-to-Base	---	---	---
2010 Current Services	228	2,738	1,400,000
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	---	---	600,000
2010 Total Request	228	2,738	2,000,000
2009 to 2010 Total Change	---	---	600,000

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Disaster Relief Fund	228	2,738	1,400,000	---	---	---	---	---	\$ 600,000	228	2,738	\$2,000,000	---	---	\$600,000
Total	228	2,738	\$1,400,000	---	---	\$0	---	---	\$600,000	228	2,738	\$2,000,000	---	---	\$600,000

D. Summary of Reimbursable Resources

Not applicable.

E. Summary of Requirements by Object Class
Department of Homeland Security
Federal Emergency Agency
Disaster Relief Fund
Summary of Requirements by Object Class
(Dollars in Thousands)

Object Classes	FY 2008 Actual	2009 Enacted	FY 2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$263,767	\$172,000	\$172,000	\$0
11.3 Other than full-time permanent	138,110	88,000	88,000	---
11.5 Other Personnel Compensation	100,282	50,000	50,000	---
12.1 Benefits	100,571	101,000	101,000	---
13.0 Benefits - former	13,430	---	---	---
Total, Personnel Comp. & Benefits	\$616,160	\$411,000	\$411,000	\$0
Other Object Classes:				
21.0 Travel	175,904	136,000	52,000	(84,000)
22.0 Transportation of things	77,739	78,000	16,000	(62,000)
23.1 GSA rent	19,011	18,000	18,000	---
23.2 Other rent	99,441	100,000	1,000	(99,000)
23.3 Communications, utilities, & other misc. charges	37,390	30,000	30,000	---
24.0 Printing and reproduction	4,676	8,000	8,000	---
25.1 Advisory and assistance services	32,305	66,000	15,000	(51,000)
25.2 Other services	1,319,833	1,898,000	695,000	(1,203,000)
25.3 Purchases of goods & svcs. from Gov't accounts	1,157,912	1,200,000	324,000	(876,000)
25.4 Operation & maintenance of facilities	130,905	131,000	35,000	(96,000)
25.5 Research and development contracts	201	1,000	---	(1,000)
25.6 Medical care	722	7,000	---	(7,000)
25.7 Operation and maintenance of equipment	3,981	11,000	---	(11,000)
25.8 Subsistence and support of persons	2,752	3,000	---	(3,000)
26.0 Supplies and materials	360,539	301,000	67,000	(234,000)
31.0 Equipment	92,882	35,000	35,000	---
32.0 Land & structures	3,249	7,000	6,000	(1,000)
41.0 Grants/Subsidies/Contributions	6,842,677	6,619,506	1,914,000	(4,705,506)
42.0 Indemnity	---	---	---	---
Total, Other Object Classes	\$10,362,119	\$10,649,506	\$3,216,000	(\$7,433,506)
Total, Direct Obligations	\$10,978,279	\$11,060,506	\$3,627,000	(\$7,433,506)
Unobligated balance, start of year	(4,391,519)	(9,234,106)	(1,627,000)	
Unobligated balance, end of year	9,234,106	1,627,000	---	
Transfer from Department of Interior	(417)	---	---	
Transfer to DHS OIG	16,000	24,000	---	
Transfer to FEMA OMA Appropriation	38,000	105,600	---	
Rescission Hurricane Katrina: State of Mississippi	40,000	---	---	
Recoveries of prior year obligations	(2,699,636)	(2,183,000)	---	
Offsetting Collections	(57,813)			
Total requirements	13,157,000	1,400,000	2,000,000	

Note: Obligation Requirements in the Congressional Justification and Budget Appendix may differ due to rounding.

F. Permanent Positions by Grade

**Department of Homeland Security
Federal Emergency Agency
Disaster Relief Fund
Permanent Positions by Grade**

Grades and Salary Ranges	2008	2009	2010	2009 to 2010
	Actual Pos.	Enacted Pos.	Request Pos.	Change Total
Total, SES	---	---	---	---
Total, EX	-	---	---	---
GS-15	45	45	45	---
GS-14	---	3	3	---
GS-13	---	12	12	---
GS-12	---	35	35	---
GS-11	---	127	127	---
GS-10	---	---	---	---
GS-9	---	---	---	---
GS-8	---	---	---	---
GS-7	---	---	---	---
GS-6	---	6	6	---
GS-5	---	---	---	---
GS-4	---	---	---	---
GS-3	---	---	---	---
GS-2	---	---	---	---
Other Graded Positions	---	---	---	---
Ungraded Positions	---	---	---	---
Total Permanent Positions	45	228	228	---
Unfilled Positions EOY	---	---	---	---
Total Perm. Employment EOY	---	---	---	---
FTE	7,061	2,738	2,738	---
Headquarters	---	---	---	---
U.S. Field	---	---	---	---
Foreign Field	---	---	---	---
Total Permanent Positions	---	---	---	---
Average ES Salary	\$ ---	\$ ---	\$ ---	\$ ---
Average GS Salary	\$ 119,161	\$ 85,281	\$ 89,471	\$ 4,190
Average GS Grade	15.20	12.60	12.70	0.10

Note: The difference in Total Permanent Positions and Total FTEs reflects FTEs for COREs and DAEs to support disaster and recovery.

G. Capital Investment and Construction Initiative Listing

Not applicable.

H. PPA Budget Justifications

**Department of Homeland Security
Federal Emergency Agency**

Disaster Relief Fund

PPA

Funding Schedule

(Dollars in Thousands)

PPA: PPA Name		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$263,767	\$172,000	\$172,000	\$0
11.3	Other than perm	138,110	88,000	88,000	---
11.5	Other per comp	100,282	50,000	50,000	---
11.8	Spec Srvc Pay	---	---	---	---
12.1	Benefits	100,571	101,000	101,000	---
13.0	Benefits-former	13,430	---	---	---
21.0	Travel	175,904	136,000	52,000	(84,000)
22.0	Transportation of things	77,739	78,000	16,000	(62,000)
23.1	GSA rent	19,011	18,000	18,000	---
23.2	Other rent	99,441	100,000	1,000	(99,000)
23.3	Communication, Utilities, and misc charges	37,390	30,000	30,000	---
24.0	Printing	4,676	8,000	8,000	---
25.1	Advisory & Assistance Services	32,305	66,000	15,000	(51,000)
25.2	Other Services	1,319,833	1,898,000	695,000	(1,203,000)
25.3	Purchase from Govt. Accts.	1,157,912	1,200,000	324,000	(876,000)
25.4	Operation & maintenance of facilities	130,905	131,000	35,000	(96,000)
25.5	Research & Development	201	1,000	---	(1,000)
25.6	Medical care	722	7,000	---	(7,000)
25.7	Operation & maintenance of equipment	3,981	11,000	---	(11,000)
25.8	Subsistence & Support of persons	2,752	3,000	---	(3,000)
26.0	Supplies & materials	360,539	301,000	67,000	(234,000)
31.0	Equipment	92,882	35,000	35,000	---
32.0	Land & Structures	3,249	7,000	6,000	(1,000)
41.0	Grants/Subsidies/Contributions	6,842,677	6,619,506	1,914,000	(4,705,506)
42.0	Indemnity	---	---	---	---
91.0	Unvouchered	---	---	---	---
Total, Investigations - Operations		\$10,978,279	\$11,060,506	\$3,627,000	(\$7,433,506)
Full Time Equivalents		7,061	2,738	2,738	---

Note: Obligation Requirements in the Congressional Justification and Budget Appendix may differ due to rounding.

PPA Mission Statement

Through the Disaster Relief Fund (DRF), DHS provides a significant portion of the total Federal response to victims in Presidentially declared major disasters and emergencies. The Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act), 42 U.S.C. 5121-5206 (Public Law 93-288, as amended), authorizes the President to provide Federal assistance to supplement State and local governments' disaster response, recovery, readiness, and mitigation efforts. Under Executive Order 12148, as amended by Executive Order 13286, FEMA's Director, formerly DHS' Under Secretary for the Emergency Preparedness and Response Directorate, has been delegated the responsibility for administering the Federal Government's disaster assistance programs. The Stafford Act authorizes five types of declarations or actions: (1) Major Disaster, (2) Emergency, (3) Fire Management Assistance, (4) Defense Emergency, and (5) Pre-declaration activities.

Coupled with funding from recoveries of prior year obligations and unobligated funds carried forward, the appropriation request for Disaster Relief is designed to fund disaster support and readiness costs and the five-year average for direct disaster activity (excluding large and catastrophic events, such as major hurricanes, the terrorist attack of September 11, 2001, the 2004 hurricanes in Florida and other States, Hurricanes Katrina and Rita in 2005, the California Wildfires of 2007, and Hurricanes Gustav and Ike in 2008).

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$616,160	\$411,000	\$411,000	\$0

Salaries and Benefits includes costs for 2,735 FTEs. There is no change in the FY 2010 funding level as compared to FY 2009.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$175,904	\$136,000	\$52,000	(\$84,000)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 Request includes decreases of \$84,000, reflecting declining activities related to Hurricanes Katrina, Rita, and Wilma.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Transportation of Things	\$77,739	\$78,000	\$16,000	(\$62,000)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 Request includes decreases of \$62,000, reflecting declining activities related to Hurricanes Katrina, Rita, and Wilma.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
GSA rent	\$19,011	\$18,000	\$18,000	\$0

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. There is no change in the FY 2010 funding level as compared to FY 2009.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Rent	\$99,441	\$100,000	\$1,000	(\$99,000)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 Request includes decreases of \$99,000, reflecting declining activities related to Hurricanes Katrina, Rita, and Wilma.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous char	\$37,390	\$30,000	\$30,000	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. There is no change in the FY 2010 funding level as compared to FY 2009.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$4,676	\$8,000	\$8,000	\$0

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. There is no change in the FY 2010 funding level as compared to FY 2009.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$32,305	\$66,000	\$15,000	(\$51,000)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 Request includes decreases of \$51,000, reflecting declining activities related to Hurricanes Katrina, Rita, and Wilma.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$1,319,833	\$1,898,000	\$695,000	(\$1,203,000)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 Request includes decreases of \$1,203,000, reflecting declining activities related to Hurricanes Katrina, Rita, and Wilma.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$1,157,912	\$1,200,000	\$324,000	(\$876,000)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 Request includes decreases of \$876,000, reflecting declining activities related to Hurricanes Katrina, Rita, and Wilma.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$130,905	\$131,000	\$35,000	(\$96,000)

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes decreases of \$96,000, reflecting declining activities related to Hurricanes Katrina, Rita, and Wilma.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$201	\$1,000	\$0	(\$1,000)

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 Request includes decreases of \$1,000, reflecting declining activities related to Hurricanes Katrina, Rita, and Wilma.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Medical Care	\$722	\$7,000	\$0	(\$7,000)

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2010 Request includes decreases of \$7,000, reflecting declining activities related to Hurricanes Katrina, Rita, and Wilma.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$3,981	\$11,000	\$0	(\$11,000)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 Request includes decreases of \$11,000, reflecting declining activities related to Hurricanes Katrina, Rita, and Wilma.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Subsistence & Support of Persons	\$2,752	\$3,000	\$0	(\$3,000)

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. The FY 2010 Request includes decreases of \$3,000, reflecting declining activities related to Hurricanes Katrina, Rita, and Wilma.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$360,539	\$301,000	\$67,000	(\$234,000)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 Request includes decreases of \$234,000, reflecting declining activities related to Hurricanes Katrina, Rita, and Wilma.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$92,882	\$35,000	\$35,000	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. There is no change in the FY 2010 funding level as compared to FY 2009.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Land & Structures	\$3,249	\$7,000	\$6,000	(\$1,000)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2010 Request includes decreases of \$1,000, reflecting declining activities related to Hurricanes Katrina, Rita, and Wilma.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$6,842,677	\$6,619,506	\$1,914,000	(\$4,705,506)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2010 Request includes decreases of \$4,705,506, reflecting declining activities related to Hurricanes Katrina, Rita, and Wilma.

I. Changes In FTE

**Department of Homeland Security
Federal Emergency Agency
Disaster Relief Fund
Changes in Full-Time Equivalents**

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	7,061	7,061	2,738
INCREASES			
Increase #1: Description:			
Increase #2: Description:			
Increase #3: Description:			
Increase #4: Description:			
Sub-Total Increases	0	0	0
DECREASES			
Decrease #1: Decrease in Hurricane Katrina Workload Description:		4,323	
Decrease #2: Description:			
Decrease #3: Description:			
Sub-Total Decreases	-	4,323	-
Year-end Actual/Estimated FTEs	7,061	2,738	2,738
Net Change from prior year base to Budget Year Estimate:	-	(4,323)	-

J. FY 2009 Schedule of Working Capital Fund by Program/Project Activity

Not applicable.

Department of Homeland Security

Federal Emergency Management Agency

Disaster Assistance Direct Loan Program



Fiscal Year 2010
Congressional Budget Submission

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BUDGET REQUEST AND SUPPORTING INFORMATION

FEDERAL EMERGENCY MANAGEMENT AGENCY DISASTER ASSISTANCE DIRECT LOAN PROGRAM

I. Appropriation Overview

A. Mission Statement for Disaster Assistance Direct Loan Program:

The Disaster Assistance Direct Loan Program account provides loan authority and subsidy budget authority for disaster assistance direct loans.

B. Budget Activities:

The Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act) authorizes two types of direct loans: 1) Section 319 (State Share) loans to States for the non-Federal portion of cost-shared Stafford Act programs and 2) Section 417 (Community Disaster) loans to local governments that incurred substantial losses of tax and other revenues as a result of a major disaster and require financial assistance in order to perform governmental functions. In accordance with the Federal Credit Reform Act of 1990, this account supports subsidy budget authority and authorizes loan levels for the direct loan programs; however, in FY 2010, no funds are requested for section 417 (Community Disaster) loan subsidy.

C. Budget Request Summary:

Loan subsidy of \$295,000 and a direct loan limitation of \$25 million for section 319 (State Share) loans are requested for FY 2010. No funds are requested for section 417 (Community Disaster Loans) loan subsidy in FY 2010.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
Federal Emergency Management Agency
Disaster Assistance Direct Loan Program
 Summary of FY 2010 Budget Estimates by Program/Project Activity
 (Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Loan Limitation Subsidy	3	\$11,065	---	\$295	---	\$295		\$0	---	---	---	\$0
Subtotal, Enacted Appropriations and Budget Estimates	3	\$11,065	---	\$295	---	\$295	---	\$0	---	\$0	---	\$0
Net, Enacted Appropriations and Budget Estimates	3	\$11,065	---	\$295	---	\$295	---	\$0	---	\$0	---	\$0

Note: The Administrative Expenses PPA has been transferred to the Operations, Management, and Administration appropriation in FY 2009.

III. Current Services Program Description by PPA

Department of Homeland Security
Federal Emergency Management Agency
Disaster Assistance Direct Loan Program
Program Performance Justification

(Dollars in thousands)

PPA: LIMITATION ON DIRECT LOANS

SUBSIDY

	Perm Pos	FTE	Amount
2008 Actual	0	0	\$11,065
2009 Enacted	0	0	\$295
2010 Adjustments-to-Base	0	0	\$0
2010 Current Services	0	0	\$295
2010 Program Change	0	0	\$0
2010 Request	0	0	\$295
Total Change 2009-2010	0	0	\$0

LOAN LIMITATION

	Perm Pos	FTE	Amount
2008 Actual	0	0	\$25,000
2009 Enacted	0	0	\$25,000
2010 Adjustments-to-Base	0	0	\$0
2010 Current Services	0	0	\$25,000
2010 Program Change	0	0	\$0
2010 Request	0	0	\$25,000
Total Change 2009-2010	0	0	\$0

Note: The Loan Limitation amount above does not reflect the loan limitation carryover associated with the supplemental appropriation for Section 419 Special Community Disaster Loans.

FEMA requests \$25 million in loan authority and \$295,000 in subsidy budget authority for section 319 loans for FY 2010. This represents no change from FY 2009.

CURRENT SERVICES PROGRAM DESCRIPTION:

Under the Stafford Act, FEMA may make two types of direct loans:

State Share Loans: Under section 319 of the Stafford Act, FEMA may lend or advance to a State or an eligible applicant the portion of assistance for which the applicant is responsible under cost-sharing provisions of the Stafford Act. To be deemed eligible for a loan, the governor of the affected State must demonstrate, where damage is overwhelming and severe, that the State is unable to assume immediately its financial responsibility to meet the cost-share because (1) the State is responding to concurrent, multiple disasters/emergencies or has incurred extraordinary costs as a result of a particular disaster or emergency; and (2) the damages caused by such disaster or disasters are so overwhelming and severe it is not possible for the State to assume immediately its financial responsibility. \$217 million in State Share loans have been approved, with the last loan issued in 1996. There are no outstanding State Share loans.

Community Disaster Loans (CDLs): Under section 417 of the Stafford Act, loans may be authorized to local governments that have suffered a substantial loss of tax and other revenues as a result of a major disaster, and have demonstrated a need for financial assistance in order to perform their municipal operating functions. The loans, not to exceed 25 percent of the annual operating budget of that local government for the fiscal year in which the major disaster occurred, are made at the current Treasury rate for a term of 5 years and may not exceed \$5 million. All or part of such loans may be canceled to the extent that revenues of the local government during the full 3 post-disaster fiscal years are insufficient to meet its operating budget as the result of the disaster. A local government is not eligible for further CDLs during any period in which the jurisdiction is in arrears with respect to required repayment of an existing loan. \$238 million in Community Disaster loans have been approved, with the last loan issued in 2001.

Special Community Disaster Loans (SCDLs): The Community Disaster Loan Act of 2005 (PL 109-88) authorized FEMA to transfer \$750 million from the Disaster Relief Fund to provide up to \$1 billion in loan authority to assist communities impacted by Hurricanes Katrina and Rita. For these Special Community Disaster Loans, three elements were added to the traditional program under section 417: 1) It removed the \$5 million limit on individual loans; 2) the loans were restricted “to assist local governments in providing essential services;” and 3) the loan cancellation provision of section 417(c)(1) of the Stafford Act was inapplicable.

The Emergency Supplemental Appropriations Act for Defense, the Global War on Terror, and Hurricane Recovery, 2006 (PL 109-234) appropriated an additional \$278,800,000 to support \$371,733,000 in SCDLs. However, certain eligibility criteria were different from those in the 2005 Act: 1) the maximum loan amount was increased to 50 percent of the applicant’s operating budget the fiscal year of the disaster; 2) the loan analysis could only consider “tax revenue” loss and not “other revenues” as allowed for in the 2005 Act; and 3) applicants were required to demonstrate actual loss in tax revenues of 25 percent or greater. The loan cancellation provision continued to be inapplicable.

The U.S. Troop Readiness, Veterans’ Care, Katrina Recovery, and Iraq Accountability Appropriations Act, 2007 (PL 110-28) removed the loan cancellation prohibitions contained in the 2005 and 2006 Acts. This statutory change now gives FEMA discretionary authority, limited by the language in section 417(c)(1) of the Stafford Act, to cancel SCDLs issued pursuant to either the 2005 or 2006 Acts.

FEMA approved 152 SCDLs totaling \$1,270,501,241 to 109 eligible applicants in Mississippi and Louisiana.

In accordance with the Federal Credit Reform Act of 1990, three accounts are used to record cash flow data for direct loans:

- Disaster Assistance Direct Loan Program Account. This is the budget account into which an appropriation is made to cover the subsidy costs of a direct loan, and from which such costs are disbursed into the financing account.
- Disaster Assistance Loan Liquidating Account. This budget account records all cash flows to and from FEMA for pre-1992 direct loans made under the State Share and Community Disaster loan programs. There is no longer any activity in this account.
- Disaster Assistance Direct Loan Financing Account. The loan financing account is a non-budgetary account that records all cash flows to and from FEMA resulting from CDLs and State Share direct loans obligated in 1992 and beyond. This account holds balances, receives the subsidy cost payment from the program account, and includes all other cash flows resulting from post-1991 direct loans. The funds in this account are a means of financing and are not included in the budget totals. Loans are obligated from this account, using the subsidy budget authority from the Disaster Assistance Direct Loan Program Account and borrowing authority from the Department of the Treasury.

IV. Program Justification of Changes

Not applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Federal Emergency Management Agency
Justification of Proposed Changes in Disaster Assistance Direct Loan Program
Appropriation Language**

For activities under section 319 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5162), [\$295,000] \$295,000 is for the cost of direct loans: *Provided*, That gross obligations for the principal amount of direct loans shall not exceed \$25,000,000: *Provided further*, That the cost of modifying such loans shall be as defined in section 502 of the Congressional Budget Act of 1974 (2 U.S.C. 661a). (*Department of Homeland Security Appropriations Act, 2009*).

Explanation of Changes:

No substantive changes are proposed.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
 Federal Emergency Management Agency
 Disaster Assistance Direct Loan Program
 FY 2009 to FY 2010 Budget Change
 (Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual.....	3	3	11,065
FY 2009 Enacted.....	---	---	295
Adjustments-to-Base			
Total Adjustments-to-Base.....	---	---	---
2010 Current Services.....	---	---	295
 Program Changes			
Program Increases/(Decreases)	---	---	---
Total Program Changes.....	---	---	---
 2010 Request.....	---	---	295
 2009 to 2010 Total Change.....	---	---	---

C. Summary of Requirements

**Department of Homeland Security
Federal Emergency Management Agency
Disaster Assistance Direct Loan Program
Summary of Requirements
(Dollars in Thousands)**

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	3	3	\$11,065
2009 Enacted	---	---	295
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Increases	---	---	---
Total Adjustments-to-Base	---	---	---
2010 Current Services	---	---	295
2010 Total Request	---	---	295
2009 to 2010 Total Change	---	---	---

Estimates by Program/Project Activity	2009 President's Budget			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Loan Limitation Subsidy	---	---	\$295	---	---	\$0	---	---	\$295	---	---	\$295	---	---	\$0
Total	---	---	\$295	---	---	\$0	---	---	\$0	---	---	\$295	---	---	\$0

D. Summary of Reimbursable Resources

Not applicable.

E. Summary of Requirements By Object Class

**Department of Homeland Security
Federal Emergency Management Agency
Disaster Assistance Direct Loan Program
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes		FY 2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1	Total FTE & personnel compensation	\$287	\$0	\$0	\$0
11.3	Other than full-time permanent	---			---
11.5	Other Personnel Compensation	11			---
11.8	Special Service Pay	---			---
12.1	Benefits	80			---
13.0	Benefits - former	---			---
Total, Personnel Comp. & Benefits		\$378	\$0	\$0	\$0
Other Object Classes:					
33.0	Loans	\$10,687	295	295	---
99.0	Other				---
Total, Other Object Classes		\$10,687	\$295	\$295	\$0
Total, Direct Obligations		\$11,065	\$295	\$295	\$0
Unobligated balance, start of year					
		(9,929)	(800)		
Unobligated balance, end of year					
		800			
Rescission per P.L. 110-161					
		128			
Total requirements		\$2,064	(\$505)	\$295	

F. Permanent Positions by Grade

**Department of Homeland Security
Federal Emergency Management Agency
Disaster Assistance Direct Loan Program
Permanent Positions by Grade**

Grades and Salary Ranges	2008	2009	2010	2009 to 2010
	Actual Pos.	Enacted Pos.	Request Pos.	Change Total
Total, SES	---	---	---	---
Total, EX	---	---	---	---
GS-15	---	---	---	---
GS-14	2	---	---	---
GS-13	1	---	---	---
GS-12	---	---	---	---
GS-11	---	---	---	---
GS-10	---	---	---	---
GS-9	---	---	---	---
GS-8	---	---	---	---
GS-7	---	---	---	---
GS-6	---	---	---	---
GS-5	---	---	---	---
GS-4	---	---	---	---
GS-3	---	---	---	---
GS-2	---	---	---	---
Other Graded Positions	---	---	---	---
Ungraded Positions	---	---	---	---
Total Permanent Positions	3	---	---	---
Unfilled Positions EOY	---	---	---	---
Total Perm. Employment EOY	3	---	---	---
FTE	3	---	---	---
Headquarters	3	---	---	---
U.S. Field	---	---	---	---
Foreign Field	---	---	---	---
Total Permanent Positions	3	---	---	---
Average ES Salary	\$ ---	\$ ---	\$ ---	\$ ---
Average GS Salary	\$ 84,242	\$ ---	\$ ---	\$ ---
Average GS Grade	13.33	---	---	---

G. Capital Investment and Construction Initiative Listing

Not applicable.

H. PPA Budget Justifications

**Department of Homeland Security
 Federal Emergency Management Agency
 Disaster Assistance Direct Loan Program
 PPA: Direct Loan Subsidy
 Funding Schedule
 (Dollars in Thousands)**

PPA: Disaster Assistance Direct Loan Program		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$287	\$0	\$0	\$0
11.3	Other than perm	---	---	---	---
11.5	Other per comp	11	---	---	---
11.8	Spec Srvc Pay	---	---	---	---
12.1	Benefits	80	---	---	---
13.0	Benefits-former	---	---	---	---
33.0	Loans	\$10,687	\$295	\$295	\$0
	Total, DADLP	\$11,065	\$295	\$295	\$0
Full Time Equivalents		3	---	---	---

PPA Mission Statement

The Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act) authorizes two types of direct loans: 1) Section 319 (State Share) loans to States for the non-Federal portion of cost-shared Stafford Act Programs and 2) Section 417 (Community Disaster) loans to local governments that incurred substantial losses of tax and other revenues as a result of a major disaster and require financial assistance in order to perform governmental functions. In accordance with the Federal Credit Reform Act of 1990, this account supports subsidy budget authority and authorizes loan levels for the direct loan programs.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$378	\$0	\$0	\$0

FEMA requests no S&B funds for this appropriation for FY 2010. FTEs have been realigned to the Operations, Management, and Administration appropriation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Loans	\$10,687	\$295	\$295	\$0

Loans provide loan subsidies for two types of direct loans: 1) Section 319 (State Share) loans and 2) Section 417 (Community Disaster) loans. The FY 2010 request reflects no change from FY 2009.

I. Changes in FTE

**Department of Homeland Security
Federal Emergency Management Agency
Disaster Assistance Direct Loan Program
Changes in Full-Time Equivalents**

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	3	3	0
INCREASES			
Increase #1:			
Description:			
Sub-Total Increases	0	0	0
DECREASES			
Decrease #1:	0	3	0
FTEs were realigned to the Operations, Management, and Administration appropriation			
Sub-Total Decreases	3	3	0
Year-end Actual/Estimated FTEs	0	0	0
Net Change from prior year base to Budget Year Estimate:			

J. FY 2009 Schedule of Working Capital Fund by Program/Project Activity

Not applicable.

Department of Homeland Security

Federal Emergency Management Agency

Flood Map Modernization Fund



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BUDGET REQUEST AND SUPPORTING INFORMATION

FEDERAL EMERGENCY MANAGEMENT AGENCY (FEMA) **RISK MAPPING, ASSESSMENT, AND PLANNING FUND (FORMERLY FLOOD MAP** **MODERNIZATION FUND)**

I. Appropriation Overview

A. Mission Statement for Flood Map Modernization Fund:

In 2004, FEMA launched a federally funded initiative to implement a technology-based, cost effective, long-term process for updating, maintaining, storing, and distributing the flood hazard and risk information portrayed on Flood Insurance Rate Maps (FIRMs). The Flood Map Modernization Fund (FMMF) provides for updating and maintaining the inventory of over 100,000 flood maps and to modernize the Nation’s flood hazard data records. These flood maps are used to determine appropriate risk-based premium rates for the National Flood Insurance Program (NFIP); to complete flood hazard determinations required of the Nation's lending institutions; and to develop appropriate disaster response plans for Federal, State, and local emergency management personnel.

Part of FEMA’s Risk MAP strategy is to invest more in monitoring the validity of published flood hazard information. The Risk MAP Multi-Year Plan: Fiscal Years 2010-2014 builds on the strong foundation of Map Modernization that is in place. The multiyear plan addresses flood hazard data update needs and preserves the success of the Flood Map Modernization investment.

B. Budget Activities:

FEMA manages several risk analysis programs that assess the impact of natural hazards that lead to effective strategies for reducing risk. These programs support the Department of Homeland Security objective to “strengthen nationwide preparedness and mitigation against natural disasters.” FEMA is beginning Risk Mapping, Assessment, and Planning (Risk MAP) in FY 2009 with funding from the National Flood Insurance Fund and Congressional appropriations for flood hazard mapping. Risk MAP will integrate and align the individual risk analysis programs into a more effective unified strategy. The vision for Risk MAP is to deliver quality data that increases public awareness and leads to action that reduces risk to life and property.

Risk MAP Vision
Through collaboration with State, local, and tribal entities, Risk MAP will deliver quality data that increases public awareness

FEMA’s Risk MAP Multi-Year Plan: FY 2010 – FY 2014 outlines the goals, objectives, and strategies for Risk MAP. The major objectives of Risk MAP are:

- Assess the Nation’s flood risk and use this information to increase public awareness of risk. This consistent, quantitative flood risk assessment will be used to track progress toward reducing flood risk and to target resources.

- Increase public awareness of risk from natural hazards and establish a baseline of local knowledge and understanding of risk management concepts.
- Ensure 80% of the Nation's flood hazards are current – the flood hazard data are new, have been updated, or deemed still valid.
- Provide updated flood hazard data for 100% of the populated coastal areas in the Nation.
- Evaluate levee status information to ensure the appropriate flood hazards are depicted on Digital Flood Insurance Rate Maps for counties with levees, including those impacted by expiring Provisionally Accredited Levee status.

C. Budget Request Summary:

FEMA requests \$220.0 million in FY 2010 for the Flood Map Modernization Fund. Risk MAP will build on the flood hazard data and maps provided in Flood Map Modernization, and provide updated flood hazard data to preserve the Map Mod investment. In FY 2010, FEMA will focus on reviewing and updating flood hazard data and maps to accurately reflect flood hazards. Flood hazard data and mapping efforts will support the goals identified in FEMA's Risk MAP Multi-Year Plan: Fiscal Years 2010-2014 and specifically address gaps in flood hazard data to form a solid foundation for flood risk assessments, floodplain management, and actuarial soundness of the National Flood Insurance Program.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Federal Emergency Management Agency
Flood Map Modernization Fund**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Flood Map Modernization Fund	27	\$219,781	43	\$220,000	43	\$220,000	---	\$0	---	---	---	\$0
Net, Enacted Appropriations and Budget Estimates	27	\$219,781	43	\$220,000	43	\$220,000	---	\$0	---	\$0	---	\$0

III. Current Services Program Description by PPA

Department of Homeland Security
Federal Emergency Management Agency
Flood Map Modernization Fund
Program Performance Justification
 (Dollars in Thousands)

PPA: FLOOD MAP MODERNIZATION FUND

	Perm Pos	FTE	Amount
2008 Actual	36	27	\$219,781
2009 Enacted	43	43	\$220,000
2010 Adjustments-to-Base	0	0	\$0
2010 Current Services	43	43	\$220,000
2010 Program Change	0	0	\$0
2010 Request	43	43	\$220,000
Total Change 2009-2010	0	0	\$0

FEMA requests \$220.0 million, 43 full time permanent positions and 43 FTE for this activity. This request represents no change from FY 2009 levels.

CURRENT SERVICES PROGRAM DESCRIPTION:

Flood Hazard Mapping (FHM)

Flood Map Modernization will produce flood maps in a geographic information system format for areas with high flood risk. Flood Map Modernization was funded from 2004 through 2008 and map production will continue through 2011. In addition, the modernization effort incorporates the latest technology in order to provide the flood hazard data in the most usable format with advanced tools and techniques that will enable FEMA and its State and local partners to produce high-quality data while managing cost and schedule constraints. FEMA's current approach for Flood Map Modernization is to update maps using the most current information so they reflect physical changes that have occurred since the original mapping. In addition, the updated maps will be compliant with the Floodplain Boundary Standard described in the Multi-Year Flood Hazard Identification Plan (MHIP).

The Flood Map Modernization Program will accomplish the following for over 100,000 flood maps by 2011, based on appropriations through FY 2008 (*note that the final flood hazard maps take approximately two to three years to complete after appropriations have been made, to allow due process for communities impacted by changes to flood hazard elevations and designations*):

- Build a digital Geospatial Information System (GIS) platform for flood hazard map production and accessibility.
- Develop flood hazard maps for 92% of the Nation's population available through the new platform.
- Ensure 75% of the flood hazard boundaries meet the standards for horizontal accuracy.
- Refresh 30% of the flood hazard data, ensuring that the maps represent current conditions.

FEMA has created a premier digital flood hazard data platform for the NFIP with floodplain boundaries that are reliable and trusted by stakeholders. The new digital maps are easier to use and provide increased capabilities for automation and analysis. The maps are used an estimated 30 million times each year in making critical decisions by local community officials, emergency managers, homeowners, and financial institutions.

The success of the initial program brought to the forefront a larger need for new flood hazard engineering analyses, improved quality of the flood hazard data, and a level of detail that extends beyond fixing the floodplain boundaries.



Some examples highlighting the utility of modernized maps include:

- **Miles City, Montana** conducted pilot projects with FEMA to demonstrate the value of risk assessment and communication when combined with the use of new technologies (e.g., Map Mod Digital Flood Insurance Rate Maps (DFIRMs), geographic information systems technology, Lidar elevation mapping technology, and FEMA’s risk assessment tool - Hazus). For Miles City, the modernized flood map (preliminary DFIRM data showing the effects of a de-accredited levee) and the Hazus tool were used together to develop and display water depth and loss estimation information. The depth grid overlaid with enhanced site-specific building data and HAZUS loss estimations illustrates the variations in risk across the community. This type of information begins to clearly communicate risk, as well as potential mitigation strategies that are being incorporated into the communities’ planning efforts.
- **Mecklenburg County, North Carolina**, a Cooperating Technical Partner (CTP) with FEMA in Flood Map Modernization, developed revised flood maps that more accurately show the location of areas likely to flood along major streams and creeks throughout the City of Charlotte and Mecklenburg County. Mecklenburg County also mapped floodplain boundaries based on future conditions hydrology. A Hazus pilot study was conducted to measure the losses avoided by using future conditions hydrology and enforcing stricter building restrictions. The results of the study showed that in one watershed alone, an estimated \$16 million in structural damages were avoided by investing \$250,000 in enhanced analyses for mapping future conditions. A complete study was conducted for all watersheds and determined that \$2 million invested in enhanced mapping prevented \$300 million in losses for a single, 100-year flood event.
- **Maricopa County, Arizona** has experienced recent and rapid development. Partnering with FEMA as a CTP, the Flood Control District of Maricopa County converted their FIRM and Flood Insurance Study into digital format using orthophotos for the base map and incorporated Letters of Map Revision into the maps. The District’s efforts have resulted in more accurate mapping of the flood zones in the county, and a reduction in flood insurance premiums for some residents in Special Flood Hazard areas.

Risk Mapping, Assessment, and Planning (Risk MAP)

The Risk MAP Multi-Year Plan (FY 2010-2014) builds on the strong foundation of the Map Modernization program. This plan will significantly improve the integrated flood risk management approach by weaving county-level flood hazard data into watershed-based risk assessments that serve as the basis for local Hazard Mitigation Plans and targeted risk communication activities. Risk assessments systematically analyze the people and property in a community or watershed potentially

impacted by flood hazards to quantify physical, social and economic losses. Targeted risk communication activities include prioritizing flood map updates for highest risk areas and highlighting areas where mitigation activities are most needed based on the results of the watershed risk assessments.

FEMA will build on the benefits of digital flood hazard data by instituting easy web-based access to a powerful data analysis tool that quantifies flood risk in ways that facilitate improved mitigation planning and measure flood risk reduction. The overall goals in the FEMA Risk MAP Multi-Year Plan are:

- 1) Risk MAP Goal 1: Address gaps in flood hazard data to form a solid foundation for flood risk assessments, floodplain management, and actuarial soundness of the National Flood Insurance Program.
- 2) Risk MAP Goal 2: Ensure that a measurable increase of the public's awareness and understanding of risk management results in a measurable reduction of current and future vulnerability to flooding.
- 3) Risk MAP Goal 3: Lead and support States, local and tribal communities to effectively engage in risk-based mitigation planning resulting in sustainable actions that reduce or eliminate risks to life and property from natural hazards.
- 4) Risk MAP Goal 4: Provide an enhanced digital platform that improves management of limited Risk MAP resources, controls information produced by Risk MAP, and enhances communication and sharing of risk data and related products to all levels of government and the public.
- 5) Risk MAP Goal 5: Align Risk Analysis programs and develop synergies to enhance decision-making capabilities through effective risk communication and management.

FY 2009 planned accomplishments include:

- Risk MAP Goal 1: Initiate approximately 400 Risk MAP projects addressing highest priority engineering data needs, including 70 coastal and 120 levee projects which affect over 2,000 communities.
- Risk MAP Goal 2: Produce an average loss study for the one-percent annual chance flood level for the Nation.
- Risk MAP Goal 3: Ensure 70% of the Nation's population (excluding territories) will be covered by local Hazard Mitigation Plans that are approved or approvable pending adoption.
- Risk MAP Goals 1 – 5: Develop a multi-year plan for implementing Risk MAP and addressing the remaining unmet flood hazard data and engineering needs.
- Provide Congress with the "Risk Mapping, Assessment, and Planning Multi-Year Plan: FY 2010-2014" as required under the FY 2009 DHS Appropriations Act (P.L. 110-329).

Funding in FY 2010 for Risk MAP will be used to produce improved flood hazard mapping for the NFIP. FEMA expects that a more fully-informed public coupled with more focused actions will reduce flood risks. The following accomplishments are planned for FY 2010, aligned with each Risk MAP goal:

- Risk MAP Goal 1: Initiate additional 400 - 500 Risk MAP projects affecting up to 2,500 communities and addressing highest priority engineering data needs, including coastal and levee areas.
- Risk MAP Goal 2: Create a baseline of local understanding of flood risk and produce a national annualized flood loss study (for multiple flood levels).
- Risk MAP Goal 3: Ensure 75% of the Nation's population (excluding territories) is covered by local Hazard Mitigation Plans that are approved or approvable pending adoption.

- **Risk MAP Goal 4:** Transition flood hazard data distribution from a paper-map-focused system based on high-volume offset printing, to a nearly all digital distribution with limited paper copies printed as needed for affected local governments.
- **Risk MAP Goal 5:** Develop requirements for new integrated Risk MAP products that augment the Digital Flood Insurance Rate Map delivered in Flood Map Modernization with additional flood risk information to enable broader risk communication.

During the implementation of Risk MAP, sustainable partnerships will continue to be vital. FEMA will maintain and seek out partnerships based on the affiliate's ability to provide additional resources for the Risk MAP program. Resources in the form of "cash match" or new data as identified in FEMA's Bluebook, are highly valued and are the most beneficial contributions. When targeted at known flood risk data needs and included in the Partnership Agreement, FEMA will give its highest investment priority to capable partners who provide a 25% cash match. FEMA typically receives these partner contributions through existing successful partnerships within the Cooperating Technical Partners (CTP) Program. While contributions from multiple sources are valuable, FEMA will consider establishing a partnership under the CTP Program in flood map update prioritization and will support those partnerships that are mutually beneficial.

Furthermore, these investments will produce accurate flood hazard data, integrated watershed flood risk assessments, and stronger hazard mitigation plans. There are three areas of primary focus: coastal flood studies, mapping of levee areas, and other Significant Flood Hazard Engineering and Mapping Needs.

A. Coastal Flood Studies: In FY 2010, FEMA will continue the effort started in 2009 to update the Nation's coastal flood hazard studies.

In FY 2010, FEMA will use \$51.0 million to initiate updated coastal flood hazard studies in those areas determined to be in most need. This investment will fund hazard data updates for 15% of the Nation's populated coastline, representing approximately 3,000 miles of open coast. Future coastal hazard analyses and mapping needs will be selected based on risk, community and State cost share, and cost efficiencies using a consistent hazard study approach.

B. Mapping of Levee Areas: Providing the public with accurate and timely information regarding flood risk enables people to make informed decisions on how best to avoid or mitigate that risk. The identification of current flood hazards in and around the Nation's levee systems, which are located in over one-quarter of the counties for which FEMA is providing new digital flood hazard mapping, is an important element of Risk MAP.

In FY 2010, FEMA will utilize \$31.0 million to continue to review the status of levee systems, ensuring they comply with NFIP regulatory requirements. The funding will allow FEMA to update and preserve the accuracy of existing data within the Mid-Term Levee Inventory for more than 150 counties and continue linking these data to the United States Army Corps of Engineers' (USACE's) National Levee Database. FEMA will also review and initiate the update of the levee-related flood hazard data for maps in more than 275 counties where levees exist. The review and update will include counties impacted by the expiration of Provisionally Accredited Levee status as well as counties facing significant flood hazards impacted by levees.

FEMA does not implement or fund the design, construction, operation, maintenance, or certification of levee systems. Therefore, the funding utilized in FY 2010 will not be used to perform activities related to certification of levee systems, such as structural and geotechnical

analyses. Rather, the funding will be used to update the flood hazard maps to depict the appropriate risk premium rate zone based on whether levee owners provide the necessary technical data needed to determine if they can be accredited. To update the flood hazard maps affected by levees, FEMA will perform hydraulic modeling based on the revised certification status of the levee and issue updated Flood Insurance Rate Maps. Where necessary, funding will be used to analyze and map interior drainage hazards within the levee systems.

Coordination efforts with USACE have intensified and will continue to be important in the future as USACE establishes the National Levee Safety Program.

C. Other Significant Flood Hazard Engineering and Mapping Needs: In FY 2010, FEMA will use \$49.0 million to update hazard engineering analyses beyond those related to levees and coastal areas. The principal factors that drive the need for updated flood hazard analyses are:

- Physical changes: such as manmade influences which may include new bridges, culverts, levees, and development in the floodplain.
- Climate changes: such as recent flood disasters or additional stream gauge data.
- Engineering methodology changes: such as improved computer models and better understanding of the physics of water flow.

Keeping pace with these changes is important and failing to do so could lead to unwise land use decisions and construction standards, thereby putting homeowners at increased risk while providing a false sense of security. Conversely, overstated hazards can result in potentially unnecessary construction costs and incorrect insurance rating decisions. Sound reliable flood hazard information is a necessary component of ensuring the fiscal soundness of the National Flood Insurance Program.

In FY 2010, FEMA will continue to implement a Watershed Validation Evaluation Strategy for reviewing flood hazard engineering data and map update needs. This strategy evaluates FEMA's flood hazard mapping inventory to determine if changes have occurred that will require a flood hazard data update or if the existing flood hazard information is valid. The principal factors that drive the need for updated flood hazard analyses are physical changes, climate changes, and engineering methodology changes. The results of these evaluations and other flood hazard data update needs identified throughout the mapping lifecycle will be managed systematically and allow FEMA to effectively quantify the inventory maintenance required.

IV. Program Justification of Changes

Not applicable.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Federal Emergency Management Agency
Justification of Proposed Changes in Flood Map Modernization Fund
Appropriation Language**

For necessary expenses under section 1360 of the National Flood Insurance Act of 1968 (42 U.S.C. 4101), \$220,000,000 [\$220,000,000,] and such additional sums as may be provided by State and local governments or other political subdivisions for cost-shared mapping activities under section 1360(f)(2) of such Act (42 U.S.C. 4101(f)(2)), to remain available until expended: Provided, That total administrative costs shall not exceed 3 percent of the total amount appropriated under this heading. (Department of Homeland Security Appropriations Act, 2010.)

Explanation of Changes:

No substantive changes are proposed.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
 Federal Emergency Management Agency
 Flood Map Modernization Fund
 FY 2009 to FY 2010 Budget Change
 (Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual.....	36	27	\$219,781
FY 2009 Enacted.....	43	43	220,000
Adjustments-to-Base			
Total Adjustments-to-Base.....	---	---	---
2010 Current Services.....	43	43	220,000
Program Changes			
Total Program Changes.....	---	---	---
2010 Request.....	43	43	220,000
2009 to 2010 Total Change.....	---	---	---

C. Summary of Requirements

**Department of Homeland Security
Federal Emergency Management Agency
Flood Map Modernization Fund
Summary of Requirements
(Dollars in Thousands)**

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	36	27	\$219,781
2009 Enacted	43	43	220,000
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Total Adjustments-to-Base	---	---	---
2010 Current Services	43	43	220,000
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	---	---	---
2010 Total Request	43	43	220,000
2009 to 2010 Total Change	---	---	---

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change			
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	
1 Flood Map Modernization Fund	43	43	220,000	---	---	---	---	---	\$ ---	---	43	43	220,000	---	---	\$0
Total	43	43	\$220,000	---	---	\$0	---	---	\$0	---	43	43	\$220,000	---	---	\$0

D. Summary of Reimbursable Resources

Department of Homeland Security
Federal Emergency Management Agency
Flood Map Modernization Fund
 Summary of Reimbursable Resources
 (Dollars in Thousands)

Collections by Source	FY 2008 Actual			2009 Revised Estimate			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Department of Defense						\$1,000			\$1,000	---	---	---
Total Budgetary Resources	---	---	---	---	---	1,000	---	---	1,000	---	---	---

Obligations by Program/Project Activity	FY 2008 Actual			2009 Revised Estimate			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Flood Map Modernization for the Production of flood Maps						\$1,000			\$1,000	---	---	---
Total Obligations	---	---	---	---	---	1,000	---	---	1,000	---	---	---

E. Summary of Requirements By Object Class

**Department of Homeland Security
Federal Emergency Management Agency
Flood Map Modernization Fund
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2008 Actual	2009 Enacted	FY 2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$2,004	\$2,920	\$2,974	\$54
11.3 Other than full-time permanent		338	345	6
11.5 Other Personnel Compensation	145	178	123	(55)
12.1 Benefits	566	888	905	16
Total, Personnel Comp. & Benefits	\$2,715	\$4,324	\$4,346	\$22
Other Object Classes:				
21.0 Travel	\$439	\$789	\$789	\$0
23.1 GSA rent	648	948	948	---
23.3 Communications, utilities, & other misc. charges		358	358	---
24.0 Printing and reproduction	1,019	3,500	3,500	---
25.1 Advisory and assistance services	76,428	86,211	86,211	---
25.2 Other services	80,468	95,398	95,398	---
25.3 Purchases of goods & svcs. from Gov't accounts	3,669	3,839	3,839	---
25.7 Operation and maintenance of equipment		69	69	---
26.0 Supplies and materials	31	31	31	---
31.0 Equipment	242	81	59	(22)
41.0 Grants/Subsidies/Contributions	54,122	30,580	30,580	---
Total, Other Object Classes	\$217,066	\$221,804	\$221,782	(\$22)
Total, Direct Obligations	\$219,781	\$226,128	\$226,128	(\$0)
Unobligated balance, start of year	(2,912)	(5,128)	(5,128)	
Unobligated balance, end of year	5,128			
Recoveries of prior year obligations	(1,997)			
Reimbursable		(1,000)	(1,000)	
Total requirements	\$220,000	\$220,000	\$220,000	

F. Permanent Positions by Grade

**Department of Homeland Security
Federal Emergency Management Agency
Flood Map Modernization Fund
Permanent Positions by Grade**

Grades and Salary Ranges	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
	Pos.	Pos.	Pos.	Total
Total, SES				---
Total, EX	---	---	---	---
GS-15				---
GS-14	1	1	1	---
GS-13	5	5	5	---
GS-12	33	33	33	---
GS-11	4	4	4	---
Total Permanent Positions	43	43	43	---
Unfilled Positions EOY	7			---
Total Perm. Employment EOY	36	43	43	---
FTE	27	43	43	---
Headquarters	3	3	3	---
U.S. Field	40	40	40	---
Foreign Field				---
Total Permanent Positions	43	43	43	---
Average ES Salary	\$ ---	\$ ---	\$ ---	\$ ---
Average GS Salary	\$ 72,090	\$ 75,537	\$ 77,048	\$ 1,511
Average GS Grade	12.2	12.2	12.2	---

G. Capital Investment and Construction Initiative Listing

INITIATIVE NAME	FY 2010 FUNDING REQUEST (\$000)			FUNDING FROM:	
	Current Services Level	New Initiative	Total	Budget Activity	Program Name
Flood Map Modernization	\$159,562	\$0	\$159,562	Flood Map Modernization Fund	Mitigation
Total of IT Investments	\$0	\$0	\$0		
Total all IT and Non-IT Investments	\$159,562	\$0	\$159,562		

H. PPA Budget Justifications

**Department of Homeland Security
Federal Emergency Management Agency
Flood Map Modernization Fund
PPA: Flood Map Modernization Fund**

Funding Schedule
(Dollars in Thousands)

PPA: Flood Map Modernization Fund		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	\$2,004	\$2,920	\$2,974	\$54
11.3	Other than perm		338	\$345	\$6
11.5	Other per comp	145	178	\$123	(\$55)
12.1	Benefits	566	888	\$905	\$16
Total, Personnel Comp. & Benefits		\$2,715	\$4,324	\$4,346	\$22
Other Object Classes:					
21.0	Travel	\$439	\$789	\$789	\$0
23.1	GSA rent	648	948	948	---
23.3	Communication, Utilities, and misc charges		358	358	---
24.0	Printing	1,019	2,500	2,500	---
25.1	Advisory & Assistance Services	76,428	86,211	86,211	---
25.2	Other Services	80,468	90,270	90,270	---
25.3	Purchase from Govt. Accts.	3,669	3,839	3,839	---
25.7	Operation & maintenance of equipment		69	69	---
26.0	Supplies & materials	31	31	31	---
31.0	Equipment	242	81	59	(22)
41.0	Grants/Subsidies/Contributions	54,122	30,580	30,580	---
Total, Flood Map Modernization Fund		\$219,781	\$220,000	\$220,000	(\$0)
Full Time Equivalents		27	43	43	

PPA Mission Statement

The Flood Map Modernization Fund supports the effort to update and modernize the Nation's flood hazard data inventory. Map Modernization will produce flood maps in geographic information system format for every area where there is flood risk. In addition, the modernization effort is incorporating the latest technology in order to provide the flood hazard data in the most usable format and also to provide modern tools and techniques that will enable FEMA and its State and local partners to produce high-quality data while managing cost and schedule constraints. FEMA's current approach for Flood Map Modernization assumes that a large percentage of the existing flood hazard data is still valid and that revising map information and boundary adjustments are the necessary changes needed to update the flood hazard maps.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$2,715	\$4,324	\$4,346	\$22

Salaries and Benefits support 43 full time permanent positions in FY 2010. The increase above the FY 2009 level will provide for the annualization of the 2009 pay increase and the cost of living adjustment effective January 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$242	\$81	\$59	(\$22)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 reflects a decrease of \$22,000 due to efficiencies and non-recurring costs associated with the initial purchase of equipment.

I. Changes in FTE

**Department of Homeland Security
Federal Emergency Management Agency
Flood Map Modernization Fund
Changes in Full-Time Equivalents**

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	27	27	43
INCREASES			
Increase #1:			
Description: Increase reflects the achievement of full staffing level in FY 2009.	0	16	0
Sub-Total Increases	0	16	0
DECREASES			
Sub-Total Decreases	0	0	0
Year-end Actual/Estimated FTEs	27	43	43
Net Change from prior year base to Budget Year Estimate:	0	16	0

J. FY 2009 Schedule of Working Capital Fund by Program/Project Activity

**Department of Homeland Security
Federal Emergency Management Agency
Flood Map Modernization Fund**

**FY 2010 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)**

Program/Project Activity	FY 2008 Actual	FY 2009 Anticipated	FY 2010 Anticipated	Increase / Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Flood Map Modernization Fund	\$124	\$128	\$161	\$33
Total Working Capital Fund	\$124	\$128	\$161	\$33

Department of Homeland Security

Federal Emergency Management Agency

National Flood Insurance Fund



Fiscal Year 2010
Congressional Budget Submission

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BUDGET REQUEST AND SUPPORTING INFORMATION

FEDERAL EMERGENCY MANAGEMENT AGENCY (FEMA) NATIONAL FLOOD INSURANCE FUND

I. Appropriation Overview

A. Mission Statement for National Flood Insurance Fund:

The National Flood Insurance Fund (NFIF), which was established by the National Flood Insurance Act of 1968 (42 U.S.C. 4001), is a premium revenue and fee-generated fund that supports the National Flood Insurance Program (NFIP). The Act, as amended, authorizes the Federal government to provide flood insurance on a national basis to owners of properties located in vulnerable areas. The National Flood Insurance Reform Act of 1994 (P.L.103-325) made flood insurance mandatory for all federally backed mortgages of properties located in the special flood hazard areas (SFHA). Currently, the NFIP insures more than 5.6 million private commercial and residential policyholders totaling approximately \$1.1 trillion in insurance coverage.

B. Budget Activities:

Flood insurance premiums collected are deposited into the NFIF, which is used to pay out claims as well as the operating and administrative costs associated with maintaining the program.

In return for the availability of flood insurance, communities agree to adopt and enforce floodplain management measures to reduce losses from future flooding. Communities must participate in the program within one year of the time they are identified as flood-prone in order to be eligible for flood insurance and some forms of Federal financial assistance for acquisition or construction purposes. In addition, federally regulated lending institutions cannot provide loans to non-participating communities for properties within an identified special flood hazard area. Certain forms of disaster assistance also are restricted in these non-participating communities.

C. Budget Request Summary:

Offsets from the collection of policy fees provide the discretionary portion of the NFIF. FEMA requests fee authority in the amount of \$159.5 million for the FY 2010 NFIF discretionary. This is an increase of \$2.87 million from the FY 2009 Enacted.

FEMA estimates mandatory premium fee collections of \$3.086 billion in FY 2010. These funds will be used to pay claims of the National Flood Insurance Program (NFIP) in addition to operating expenses. These funds will also support: the Repetitive Flood Claims Program, the Severe Repetitive Loss Program, and the Flood Mitigation Assistance Grants Program. This fee authority represents an adjustment of \$48.0 million above FY 2009 from additional revenue based on estimated incremental increases in the number of flood insurance policies.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Federal Emergency Management Agency
National Flood Insurance Fund**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Salaries and Expenses	238	\$38,189	330	\$49,418	330	\$52,149	---	\$2,731	---	---	---	\$2,731
Floodplain Management	---	58,213	---	107,181	---	107,320	---	\$139	---	---	---	139
NFIF - Mandatory	---	2,552,069	---	2,911,300	---	2,965,000	---	53,700	---	---	---	53,700
Severe Repetitive Loss Mitigation	7	35,764	14	80,000	14	70,000	---	(10,000)	---	---	---	(10,000)
Repetitive Flood Claims	---	9,158	---	10,000	---	10,000	---	---	---	---	---	---
Flood Mitigation Activities*	---	17,450	8	35,700	8	40,000	---	4,300	---	---	---	4,300
Subtotal, Enacted Appropriations and Budget Estimates	245	\$2,710,843	352	\$3,193,599	352	\$3,244,469	0	\$50,870	0	\$0	0	\$50,870
Less: Adjustments for Other Funding Sources:												
Offsetting Collections - Mandatory	---	-\$2,574,842	---	-\$3,037,000	---	-\$3,085,000	---	-\$48,000	---	---	---	-\$48,000
Net, Enacted Appropriations and Budget Estimates	245	\$136,001	352	\$156,599	352	\$159,469	---	\$2,870	---	\$0	---	\$2,870

Note: FY 2008 Subtotal Enacted does not match Budget Appendix. It includes \$17,450 for Flood Mitigation Activities which was funded under a separate appropriation in FY 2008.

III. Current Services Program Description by PPA

Department of Homeland Security
Federal Emergency Management Agency
National Flood Insurance Fund
Program Performance Justification
 (Dollars in thousands)

PPA: SALARIES AND EXPENSES

	Perm Pos	FTE	Amount
2008 Actual	330	238	\$38,188
2009 Enacted	330	330	\$49,418
2010 Adjustments-to-Base	0	0	\$2,731
2010 Current Services	330	330	\$52,149
2010 Program Change	0	0	\$0
2010 Request	330	330	\$52,149
Total Change 2009-2010	0	0	\$2,731

FEMA requests \$52.1 million, 330 full time permanent positions and 330 FTE for this activity. This represents an increase of \$2.7 million from the FY 2009 level.

CURRENT SERVICES PROGRAM DESCRIPTION:

The National Flood Insurance Fund (NFIF) supports numerous functions, programs, and activities, including the salaries and expenses of program management and implementation staff at FEMA’s national and ten regional offices that administer these programs. The responsibilities of these offices include the following:

- Analyzing the impact of flood risk by providing flood hazard map maintenance and distribution activities that complement the Flood Map Modernization Fund activities.
- Reducing flood risk through floodplain management and flood hazard reduction efforts, and through grants and assistance such as Flood Mitigation Assistance, Repetitive Flood Claims, and Severe Repetitive Loss.
- Providing an insurance mechanism for flood risk by supporting various aspects of the flood insurance business, including underwriting, operations, and claims payments.

In FY 2009, FEMA’s Mitigation Directorate will align all four pre-disaster mitigation programs into a unified Hazard Mitigation Assistance (HMA) program guidance and application cycle. This comprehensive approach will accomplish HMA objectives of efficiency and standardization, thus creating a platform for future updates and refinements of program policies and practices to make them more unified and user-friendly.

PPA: FLOODPLAIN MANAGEMENT AND FLOOD MAPPING

	Perm Pos	FTE	Amount
2008 Actual	0	0	\$58,213
2009 Enacted	0	0	\$107,181
2010 Adjustments-to-Base	0	0	\$139
2010 Current Services	0	0	\$107,320
2010 Program Change	0	0	\$0
2010 Request	0	0	\$107,320
Total Change 2009-2010	0	0	\$139

FEMA requests \$107.3 million in FY 2010 for this activity. This represents an increase of \$139,000 from the FY 2009 level.

CURRENT SERVICES PROGRAM DESCRIPTION:

Floodplain Management programs are designed to identify and assess risk and to reduce risk through land use and building code regulations. Through these programs, FEMA encourages communities and their citizens to take informed and effective mitigation actions before a flood in order to reduce the long-term risk to people and property. Structures built to NFIP standards experience 80% less damage than structures not built to these standards, and resulted in over \$1.4 billion in reduced flood losses in 2008 alone.

In addition to various Floodplain Management programs, FEMA also provides operational and administrative support for the Community Rating System. The Community Rating System (CRS) is a voluntary program implemented in 1990 as an incentive-based program designed to recognize and encourage community floodplain management activities that exceed the minimum NFIP standards. Under the CRS, flood insurance premium rates are adjusted to reflect the reduced flood risk resulting from community activities that meet CRS goals, including reduction of flood losses, accurate insurance rating, and promotion of flood insurance awareness. Participating communities are rated by Class from 1 to 10, with Class 1 communities receiving the greatest premium rate reductions. Non-participating communities are rated as Class 10. Credits can be applied toward a community’s CRS classification for various activities under the following floodplain management headings:

- Public Information
- Mapping Regulations
- Flood Damage Reduction
- Flood Preparedness

Significant accomplishments in FY 2008 include:

- Ensured that 97% of communities adopted new flood insurance rate maps by the Flood Insurance Rate Maps (FIRM) effective date, thus avoiding suspension from the NFIP.
- Reviewed over 100 floodplain management related recommendations from the NFIP and developed a plan to implement many of the recommendations.
- Enrolled, reinstated, or converted 406 communities into the NFIP.

- Increased Community Rating System (CRS) participation and class improvements. Total CRS community participation increased from 1,055 communities at the end of FY 2007 to 1,089 at the end of FY 2008.
- Provided technical assistance and an environment at the State and local levels that is conducive to applying those techniques and processes. Mitigation uses the Community Assistance Program-State Support Services Element (CAP-SSSE) Grant program and provides various forms of on-going training.
- Provided financial assistance to States to support State National Flood Insurance Program (NFIP) implementation and compliance activities. Mitigation awards more than \$100.0 million annually to support State NFIP programs.
- Supported development of incentives and disincentives that make application of mitigation techniques and processes a social, political, and economic priority. Risk MAP and other programs provide support grants to communities to initiate and implement the NFIP. The straightforward disincentive is the withholding of Federal flood insurance.

FY 2009 planned accomplishments include:

- Continue to develop a variety of outreach materials to assist all entities of Federal, State, and local governments to effectively maintain sound floodplain management practices, and educate the general public on mitigation actions that may be taken in a pre-disaster environment.
- Provide ongoing map maintenance activities, issue map revisions, and enhance distribution services, including provisions for digital products, subscription services, and links to other hazard data. FEMA will also provide funding to States for the development of the capability and capacity to manage the production of and to maintain flood hazard data. These efforts complement and support the Flood Map Modernization Fund activities.
- Provide technical assistance to the 20,500 plus communities participating in the NFIP and monitor the compliance with program requirements; provide grant funds to States and territories to help furnish this technical assistance and monitoring; and develop policy, guidance, and regulations to improve implementation of floodplain management at the State and community levels, and to enhance compliance by communities with NFIP requirements.
- Reduce potential annual flood losses by nearly \$1.5 billion through NFIP insurance and floodplain management activities.

FY 2010 planned accomplishments include:

- Increase Community Rating System (CRS) participation and class improvements.
- Publish proposed rule-strengthening floodplain management in over 20,800 participating communities.
- Reduce potential annual flood losses by \$1.6 billion through NFIP insurance and floodplain management activities.

PPA: NFIF MANDATORY

	Perm Pos	FTE	Amount
2008 Actual	0	0	\$2,552,069
2009 Enacted	0	0	\$2,911,300
2010 Adjustments-to-Base	0	0	\$53,700
2010 Current Services	0	0	\$2,965,000
2010 Program Change	0	0	\$0
2010 Request	0	0	\$2,965,000
Total Change 2009-2010	0	0	\$53,700

FEMA requests \$2.965 billion in FY 2010 for this activity. This represents an increase of \$53.7 million from FY 2009 levels based on estimated increases in the number of flood insurance policies.

CURRENT SERVICES PROGRAM DESCRIPTION:

The National Flood Insurance Act of 1968 (42 U.S.C. 4001), as amended, authorizes the Federal government to provide flood insurance on a national basis. Flood insurance may be sold or continued in force only in communities that enact and enforce appropriate floodplain management measures. Communities must participate in the program within one year of the time they are identified as flood-prone in order to be eligible for flood insurance and some forms of Federal financial assistance for acquisition or construction purposes. In addition, federally regulated funding institutions cannot provide loans to non-participating communities with an identified flood hazard.

The NFIP limits the impact of disasters by encouraging property owners and others to manage their risk through flood insurance and other hazard insurance mechanisms. More than 20,500 communities in all States and territories participate in the NFIP. Structures built to NFIP criteria experience 80% less damage through reduced frequency and severity of losses. The floodplain management program requirements are estimated to save over \$1.4 billion per year in flood losses avoided.

The American Institutes for Research completed an independent evaluation of the NFIP in October 2006. The 14 evaluation reports addressed the occupancy and use of floodplains, the cost and consequences of flooding, the role of actuarial soundness in the NFIP, compliance with floodplain management requirements, hazard identification in flood-prone areas, insurance market penetration, and the mandatory purchase requirement. In FY 2008, the recommendations arising from the NFIP evaluation were thoroughly reviewed and a plan to implement the recommendations was initiated. The plan includes a comprehensive approach to increase floodplain management compliance and flood hazard reduction nationwide. The following initiatives are underway:

- Revisions to the minimum floodplain management regulations contained in 60.3 of 44 CFR.
- Modifications to floodplain management guidance materials and manuals.

- Changes to the Community Assistance Program-State Support Services Element (CAP-SSSE) grant mechanism to States to emphasize increased enforcement of minimum floodplain management standards nationwide.

The program has continued its growth in policies, exceeding the five million mark. FEMA uses three strategies to increase the number of flood insurance policies in force: lender compliance, program simplification, and expanded marketing. For example, FEMA is educating financial regulators about the mandatory flood insurance requirement for properties that are located in floodplains and have mortgages from federally regulated lenders to strengthen lender compliance which may result in policy growth.

Flood Insurance Operations activities include:

- Actuarial management to analyze insurance risks, claims data, and financial models in order to evaluate and communicate all aspects of the financial solvency of the program and to set the appropriate premium rates.
- Operations management for more than 5.6 million NFIP flood policies with over \$1.1 trillion of insurance in force, to include issuance, renewal, claims, and resolution of claims appeals.
- Underwriting management to set policy and develop regulations regarding insurance coverage eligibility and the classification of risks.
- Claims management to set policy and develop regulations regarding the adjustment and payment of claims.
- Management of the private insurance companies that write flood insurance policies and adjust claims for the NFIP, including conducting periodic operational reviews.
- Education, training, and technical assistance for private insurance company agents and adjusters.
- Management of the vendors that supply services to the NFIP, such as the Bureau and Statistical Agent and the Direct Servicing Agent.
- Management of flood insurance marketing and public communications, including advertising, community outreach programs and publicity.
- Partnering with stakeholders in the private sector and other government agencies, including lenders who require the purchase of flood insurance for certain loans.

FY 2008 significant accomplishments include:

- Saved an estimated \$1.4 billion in annual flood disaster losses.
- Increased flood insurance policies by 1.39 percent.
- Reduced subsidies of pre-Flood Insurance Rate Map (FIRM) properties to 22.7%.
- Implemented new financial audit management controls for the 85 private insurance companies that sell and service NFIP policies.

FY 2009 planned accomplishments include:

- Begin implementation of NFIP modernized systems (NextGen) that build an information technology infrastructure which streamlines the insurance process, provides faster and more accurate access to NFIP data, and provides the capability to increase policy sales and improve responsiveness to customers' claims through the use of a centralized rating engine and online claims module that is available via the Internet.

- Increase the number of NFIP policies by five percent by developing program partnerships and continuing marketing activities.
- Modernize program operations to incorporate state-of-the-art business practices and technologies to assure that operating integrity, cost efficiency, and customer service standards are met or exceeded.
- Develop and manage programs for increasing program participation incentives and improving enforcement where mandatory participation is warranted.
- Expand program management and oversight of the 85 insurance companies and the thousands of insurance agents and claims adjusters who deliver the insurance program to individual customers.

In FY 2010 planned accomplishments include:

- Fine tune the NFIP IT system and incorporate necessary enhancements.
- Increase the number of NFIP policies by five percent with the active assistance of new and existing program partners.
- Reduce subsidies to pre- Flood Insurance Rate Map (FIRM) properties.
- Achieve progress in operating efficiency by improving the NFIP income to combined loss and expense ratio by 1%.

PPA: SEVERE REPETITIVE LOSS MITIGATION

	Perm Pos	FTE	Amount
2008 Actual	14	7	\$35,764
2009 Enacted	14	14	\$80,000
2010 Adjustments-to-Base	0	0	-\$10,000
2010 Current Services	14	14	\$70,000
2010 Program Change	0	0	\$0
2010 Request	14	14	\$70,000
Total Change 2009-2010	0	0	-\$10,000

FEMA requests \$70.0 million, 14 full time permanent positions, and 14 FTE for this activity in FY 2010. Though this reflects a decrease of \$10.0 million from the FY 2009 Enacted, there is no change to the overall program funding level due to the availability of \$10.0 million in carryover.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Severe Repetitive Loss Mitigation (SRL) Program is a mandatory program which provides funding to reduce or eliminate the long-term risk of flood damage to severe repetitive loss residential structures insured under the NFIP. Section 1361A of the National Flood Insurance Act (42 U.S.C. § 4102a) defines an SRL property as a residential property that is covered under an NFIP flood insurance policy and:

- (a) That has at least four NFIP claim payments (including building and contents) over \$5,000 each, and the cumulative amount of such claims payments exceeds \$20,000; or

(b) For which at least two separate claims payments (building payments only) have been made with the cumulative amount of the building portion of such claims exceeding the market value of the building.

For both (a) and (b) above, at least two of the referenced claims must have occurred within any 10-year period, and must be greater than 10 days apart. There are approximately 8,800 properties meeting the legislative definition of severe repetitive loss.

The long-term goal of the SRL program is to reduce or eliminate claims under the NFIP through project activities that will result in the greatest savings to the NFIP in the shortest period of time. FEMA may contribute up to 75% Federal funding for the amount approved under the grant award to implement approved activities. Any State or federally recognized Indian Tribal government that has taken actions to reduce the number of repetitive loss properties, including severe repetitive loss properties, and has a FEMA-approved State Mitigation Plan that specifies how it has and how it intends to reduce the number of such repetitive loss properties, is eligible to receive an increased Federal cost share of up to 90% Federal funding for SRL grants.

FY 2008 significant accomplishments include:

- The initial program application period closed on July 31, 2008, and FEMA obligated \$40.4 million to assist in the mitigation of SRL properties by September 30, 2008. These mitigation efforts are expected to reduce losses to the NFIP by more than \$80 million.

FY 2009 planned accomplishments include:

- In FY 2009, FEMA expects to obligate \$40.0 million to assist in the mitigation of SRL properties by September 30, 2009.

FY 2010 planned accomplishments include:

- In FY 2010, FEMA expects to obligate approximately 50% of its request in the first year to assist in the mitigation of SRL properties by September 30, 2010.

PPA: REPETITIVE FLOOD CLAIMS

	Perm Pos	FTE	Amount
2008 Actual	0	0	\$9,158
2009 Enacted	0	0	\$10,000
2010 Adjustments-to-Base	0	0	\$0
2010 Current Services	0	0	\$10,000
2010 Program Change	0	0	\$0
2010 Request	0	0	\$10,000
Total Change 2009-2010	0	0	\$0

FEMA requests \$10.0 million in FY 2010 for the Repetitive Flood Claims program. This provides no change from the FY 2009 Enacted.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Repetitive Flood Claims (RFC) grant program was established by the Flood Insurance Reform Act of 2004 (P.L. 108-264) as a mandatory program that provides funding to reduce or eliminate the long-term risk of flood damage to structures insured under the NFIP that have had one or more flood claim payments. The long-term goal of the RFC program is to reduce or eliminate claims under the NFIP through mitigation activities that are in the best interest of the NFIP. Residential and commercial properties with one or more claims to the NFIP are eligible to receive RFC funds. RFC funds may only mitigate structures that are within a State or community that cannot meet the cost share or management capacity requirements of the FMA program.

RFC grants are awarded on a national basis without reference to State allocations, quotas, or other formula-based allocations of funds. Funding is restricted to a maximum of \$1.0 million for minor localized flood reduction projects.

FY 2008 significant accomplishments include:

- The RFC program application period for FY 2008 closed on January 31, 2008, and FEMA obligated \$9.1 million to assist in the mitigation of RFC properties by September 30, 2008. These mitigation efforts are expected to reduce losses to the NFIP by more than \$18.0 million.

Repetitive Flood Claims – Award Summary for FY 2008			
		Award	
		Federal Share	Properties
Pennsylvania	Upper Makefield Township	\$483,500	1
State Total		\$483,500	1
Virginia	City of Chesapeake	\$583,650	2
State Total		\$583,650	2
Florida	City of Dunedin	\$405,000	1
	City of Lynn Haven	\$830,742	3
	City of New Port Richey	\$494,079	1
State Total*		\$1,902,803	5
North Carolina	City of Winston-Salem	\$211,709	1
	Craven County	\$106,721	1
	Beaufort County	\$175,746	2
	Edgecombe County	\$223,180	1
	Town of Grifton	\$345,960	1
State Total*		\$1,160,098	6
Ohio	City of Shelby	\$338,600	2
	Village of Valley View	\$59,900	1
State Total*		\$437,107	3
Texas	City of Pearland	\$987,903	7
	City of Lindsay	\$381,776	4
	Ellis County	\$559,642	2
	City of Arlington	\$2,031,107	6
State Total*		\$3,970,980	19
Missouri	City of Fenton	\$71,900	1
State Total		\$71,900	1
Total		\$8,610,039	37

* State total awards include State management costs

FY 2009 planned accomplishments include:

- FEMA will continue efforts to streamline the grant award process for all hazard mitigation assistance program grants, including RFC. Guidance will again be issued early in the fiscal year so as to open and close the application period earlier.
- FEMA expects to make approximately 15 awards to communities for the mitigation of 35 to 40 properties through elevation, acquisition, flood proofing, and minor physical flood reduction projects.
- Efforts to engage partners and coordinate the RFC program with the expanded SRL program will be continued.

FY 2010 planned accomplishments include:

- Provide opportunities for transparency and partnership with State, territory, tribal, and local governments through the HMA Summit, the External Stakeholders Workgroup, focus groups, and training courses.
- Reduce potential annual losses to the NFIP by \$20.0 million through the RFC grants.

PPA: FLOOD MITIGATION ASSISTANCE

	Perm Pos	FTE	Amount
2008 Actual*	0	0	\$17,450
2009 Enacted	8	8	\$35,700
2010 Adjustments-to-Base	0	0	\$4,300
2010 Current Services	8	8	\$40,000
2010 Program Change	0	0	\$0
2010 Request	8	8	\$40,000
Total Change 2009-2010	0	0	\$4,300

**Funded under the National Flood Mitigation Fund in FY 2008.*

FEMA requests \$40.0 million, eight full time permanent positions, and eight FTE in FY 2010 for the Flood Mitigation Assistance program. This amount is \$4.3 million above the FY 2009 Enacted.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Flood Mitigation Assistance (FMA) grant program is a mandatory program which provides funding to States, federally recognized Indian tribal governments, and communities so that cost-effective measures can be taken to reduce or eliminate the long-term risk of flood damage to buildings, manufactured homes, and other structures insured under the NFIP. The goal of FMA is to reduce or eliminate claims under the NFIP through mitigation activities.

The total amount of FMA grant funds provided during any 5-year period will not exceed \$10.0 million to any State agency or \$3.3 million to any community. The total amount of FMA grant funds provided to any State, including all communities located in the State, will not exceed \$20.0 million during any 5-year period. However, the Administrator may waive these limits for any 5-

year period when a major disaster or emergency is declared pursuant to the Robert T. Stafford Disaster Relief and Emergency Assistance Act for flood conditions.

FY 2008 significant accomplishments include:

- The FMA program application period for FY 2008 closed on March 31, 2008, and FEMA obligated \$16.8 million to assist in the mitigation of NFIP insured properties by September 30, 2008. These mitigation efforts are expected to reduce losses to the NFIP by more than \$32.0 million.

FY 2009 planned accomplishments include:

- FEMA's Mitigation Directorate will align all four pre-disaster mitigation programs into a unified Hazard Mitigation Assistance (HMA) program guidance and application cycle. This comprehensive approach will accomplish HMA objectives of efficiency and standardization, thus creating a platform for future updates and refinements of program policies and practices to make them more unified and user-friendly.
- FEMA expects to obligate \$15.0 million to assist in the mitigation of NFIP-insured properties by September 30, 2009. These mitigation efforts are expected to reduce losses to the NFIP by more than \$30.0 million.

FY 2010 planned accomplishments include:

- Provide opportunities for transparency and partnership with State, territory, tribal and local governments through the HMA Summit, the External Stakeholders Workgroup, focus groups, and training courses.
- Reduce potential annual losses to the NFIP by \$80.0 million through the FMA grants.

IV. Program Justification of Changes

No new initiatives are proposed for the FY 2010 President's Request for the programs under National Flood Insurance Fund.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Federal Emergency Management Agency
Justification of Proposed Changes in National Flood Insurance Fund
Appropriation Language**

For activities under the National Flood Insurance Act of 1968 (42 U.S.C. 4001 et seq.), and the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001 et seq.), [\$156,599,000] **\$159,469,000**, which shall *remain available until September 30, 2011 and shall* be derived from offsetting collections assessed and collected under section 1308(b)(3) of the National Flood Insurance Act of 1968 (42 U.S.C. 4015(d)), which is available as follows: (1) not to exceed [\$49,418,000] **\$52,149,000** for salaries and expenses associated with flood mitigation and flood insurance operations; and (2) [no less than \$107,181,000] *up to \$107,320,000* for flood plain management and flood mapping[, which shall remain available until September 30, 2010]: *Provided*, That any additional fees collected pursuant to section 1308(b)(3) of the National Flood Insurance Act of 1968 (42 U.S.C. 4015(d)) shall be credited as an offsetting collection to this account, to be available for flood plain management and flood mapping: *Provided further*, That in fiscal year [2009] **2010**, no funds shall be available from the National Flood Insurance Fund under section 1310 of that Act (42 U.S.C. 4017) in excess of: (1) \$85,000,000 for operating expenses; (2) [\$869,905,000] **\$969,370,000** for commissions and taxes of agents; (3) such sums as are necessary for interest on Treasury borrowings; and (4) [\$125,700,000] **\$120,000,000**, which shall remain available until expended for flood mitigation actions, of which [\$80,000,000] **\$70,000,000** is for severe repetitive loss properties under section 1361A of the National Flood Insurance Act of 1968 (42 U.S.C. 4102a), of which \$10,000,000 is for repetitive insurance claims properties under section 1323 of the National Flood Insurance Act of 1968 (42 U.S.C. 4030), and of which [\$35,700,000] **\$40,000,000** is for flood mitigation assistance under section 1366 of the National Flood Insurance Act of 1968 (42 U.S.C. 4104c) notwithstanding subparagraphs (B) and (C) of subsection (b)(3) and subsection (f) of section 1366 of the National Flood Insurance Act of 1968 (42 U.S.C. 4104c) and notwithstanding subsection (a)(7) of section 1310 of the National Flood Insurance Act of 1968 (42 U.S.C. 4017): *Provided further*, That amounts collected under section 102 of the Flood Disaster Protection Act of 1973 and section 1366(i) of the National Flood Insurance Act of 1968 shall be deposited in the National Flood Insurance Fund to supplement other amounts specified as available for section 1366 of the National Flood Insurance Act of 1968, notwithstanding 42 U.S.C. 4012a(f)(8), 4104c(i), and 4104d(b)(2)-(3): *Provided further*, That total administrative costs shall not exceed 4 percent of the total appropriation. (*Department of Homeland Security Appropriations Act, 2009.*)

Explanation of Changes

The FY 2010 NFIF Request provides an increase for commissions and taxes of agents based on a projected increase in the number of policies in force and the associated increase in premium revenue.

Commissions, Write-Your-Own (WYO) program costs, and taxes are based on the premium revenue generated by the projected number of policies in force. FY 2010 policy growth is predicted to continue at a moderate rate which will determine the increases in WYO program costs. The property and casualty insurance companies including agents that sell and service federally-underwritten flood insurance policies under their own names retain a percentage of the premium for the cost of administration and production. This percentage is based on the average industry expense ratios for selected categories of expenses as published in *Best's Aggregates and Averages*.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
Federal Emergency Management Agency
National Flood Insurance Fund
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual	263	245	\$2,710,843
FY 2009 Enacted	352	352	3,193,599
Adjustments-to-Base			
Increases			
Increase Collection Receipts (policyholder fees) Discretionary.....			2,870
Increase Collection Receipts (premiums) Mandatory.....	---		48,000
Total Increases.....	---	---	50,870
Decreases			
Total Decreases.....	---	---	---
Total Adjustments-to-Base	---	---	50,870
2010 Current Services	352	352	3,244,469
Program Changes			
Total Program Changes	---	---	---
Adjustment for Other Funding Sources	---	---	(3,085,000)
2010 Request	352	352	159,469
2009 to 2010 Total Change	---	---	50,870

C. Summary of Requirements

**Department of Homeland Security
Federal Emergency Management Agency
National Flood Insurance Fund
Summary of Requirements
(Dollars in Thousands)**

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	263	245	\$2,710,843
2009 Enacted	352	352	3,193,599
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	---	---	---
Increases	---	---	50,870
Decreases	---	---	---
Total Adjustments-to-Base	---	---	50,870
2010 Current Services	352	352	3,244,469
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	---	---	---
Adjustment for Other Funding Sources	---	---	(3,085,000)
2010 Total Request	352	352	159,469
2009 to 2010 Total Change	---	---	50,870

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change			
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	
1 Salaries and Expenses (Discretionary)	330	330	\$49,418	---	---	\$2,731	---	---	\$	---	330	330	\$52,149	---	---	\$2,731
2 Floodplain Management (Discretionary)	---	---	107,181	---	---	139	---	---	---	---	---	107,320	---	---	139	---
3 NFIF - Mandatory	---	---	2,911,300	---	---	53,700	---	---	---	---	---	2,965,000	---	---	53,700	---
4 Severe Repetitive Loss Mitigation	14	14	80,000	---	---	(10,000)	---	---	---	---	14	14	70,000	---	---	(10,000)
5 Repetitive Flood Claims	---	---	10,000	---	---	---	---	---	---	---	---	10,000	---	---	---	---
6 Flood Mitigation Activities	8	8	35,700	---	---	4,300	---	---	---	---	8	8	40,000	---	---	4,300
Total	352	352	\$3,193,599	---	---	\$50,870	---	---	\$0	---	352	352	\$3,244,469	---	---	\$50,870

D. Summary of Reimbursable Resources

Not applicable.

E. Summary of Requirements By Object Class

**Department of Homeland Security
Federal Emergency Management Agency
National Flood Insurance Fund
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2008 Actual	2009 Enacted	FY 2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$23,655	\$32,536	\$35,205	\$2,669
11.3 Other than full-time permanent	114	---	---	---
11.5 Other Personnel Compensation	907	847	852	5
12.1 Benefits	6,147	10,237	10,296	60
Total, Personnel Comp. & Benefits	\$30,823	\$43,620	\$46,354	\$2,734
Other Object Classes:				
21.0 Travel	1,435	2,027	2,078	51
23.1 GSA rent	3,678	4,681	4,683	2
23.3 Communications, utilities, & other misc. charges	87	---	---	---
24.0 Printing and reproduction	4,240	3,862	3,890	28
25.1 Advisory and assistance services	361	2,822	2,832	10
25.2 Other services	776,688	907,022	910,967	3,945
25.3 Purchases of goods & svcs. from Gov't accounts	462	1,615	1,721	106
25.7 Operation and maintenance of equipment	3	---	20	20
25.8 Subsistence and support of persons	---	212	212	---
26.0 Supplies and materials	55	85	85	---
31.0 Equipment	220	271	201	(70)
41.0 Grants/Subsidies/Contributions	82,368	150,544	144,817	(5,727)
42.0 Indemnity	1,086,997	2,381,328	3,320,693	939,365
43.0 Interest & dividends	723,426	794,510	816,024	21,514
Total, Other Object Classes	\$2,680,020	\$4,248,979	\$5,208,223	\$959,244
Total, Direct Obligations	\$2,710,843	\$4,292,599	\$5,254,577	\$961,978
Unobligated balance, start of year	(3,015,180)	(3,109,108)	(2,010,108)	
Unobligated balance, end of year*	3,109,108	2,010,108		
Unobligated balances expiring	1,496			
Transfer to NFMF	32,620			
Portion applied to repay debt	225,000			
Transferred from Other Accounts	(1,000)			
Balance moved to Mandatory	137,193			
Adjustment to expired accounts	(1,140)			
Recoveries of prior year obligations	(6,628)			
Offsetting Collections Mandatory	(3,056,311)	(3,037,000)	(3,085,000)	
Total requirements	\$136,001	\$156,599	\$159,469	

**The "Unobligated balance, end of year" for FY 2009 provides the most current projections for indemnities and therefore is not reflected in the FY 2010 Budget Appendix.*

F. Permanent Positions by Grade

F: Permanent Positions by Grade

**Department of Homeland Security
Federal Emergency Management Agency
National Flood Insurance Fund
Permanent Positions by Grade**

Grades and Salary Ranges	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
	Pos.	Pos.	Pos.	Total
Total, SES	2	2	2	---
Total, EX	---	---	---	---
GS-15	37	37	37	---
GS-14	66	66	66	---
GS-13	104	104	104	---
GS-12	93	101	101	---
GS-11	5	5	5	---
GS-9	11	11	11	---
GS-8	5	5	5	---
GS-7	13	13	13	---
GS-6	5	5	5	---
GS-5	2	2	2	---
GS-3	1	1	1	---
Total Permanent Positions	344	352	352	---
Unfilled Positions EOY	81			---
Total Perm. Employment EOY	263	352	352	---
FTE	245	352	352	---
Headquarters	161	163	163	---
U.S. Field	183	189	189	---
Foreign Field				---
Total Permanent Positions	344	352	352	---
Average ES Salary	\$ 145,709	\$ 148,623	\$ 151,595	\$ 2,972
Average GS Salary	\$ 91,259	\$ 95,620	\$ 97,532	\$ 1,912
Average GS Grade	13.40	13.40	13.40	---

G. Capital Investment and Construction Initiative Listing

INITIATIVE NAME	FY 2010 FUNDING REQUEST (\$000)			FUNDING FROM:	
	Current Services Level	New Initiative	Total	Budget Activity	Program Name
RiskMap	\$68,384	\$0	\$68,384	NFIF	Mitigation
Total of IT Investments	\$0	\$0	\$0		
Total all IT and Non-IT Investments	\$68,384	\$0	\$68,384		

H. PPA Budget Justifications

**Department of Homeland Security
Federal Emergency Management Agency
National Flood Insurance Fund
PPA: Salaries and Expenses
Funding Schedule
(Dollars in Thousands)**

PPA: Salaries and Expenses		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$23,052	\$30,491	\$33,119	\$2,628
11.3	Other than perm	114			---
11.5	Other per comp	880	784	788	4
12.1	Benefits	5,897	9,675	9,723	48
21.0	Travel	1,413	1,952	2,002	50
23.1	GSA rent	3,678	3,850	3,850	---
23.3	Communication, Utilities, and misc charges	85			---
24.0	Printing	438			---
25.1	Advisory & Assistance Services	109			---
25.2	Other Services	2,395	2,143	2,143	---
25.3	Purchase from Govt. Accts.	4	100	100	---
25.7	Operation & maintenance of equipment	3			---
25.8	Subsistence & Support of persons		212	212	---
26.0	Supplies & materials	55	85	85	---
31.0	Equipment	66	126	126	0
Total, Salaries and Expenses		\$38,189	\$49,418	\$52,149	\$2,731
Full Time Equivalents		238	330	330	---

PPA Mission Statement

Resources under this activity support the salaries and expenses of FTE managing the National Flood Insurance Program (NFIP) and flood mitigation programs. In FY 2010, FEMA will continue to support the NFIP and to provide operational and administrative support for the Community Rating System and will enhance oversight of the program.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$29,943	\$40,950	\$43,631	\$2,681

Salaries and Benefits includes costs for 330 full time permanent positions. The FY 2010 Request increase provides for the annualization of the 2009 pay increase and the anticipated 2010 pay act.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$1,413	\$1,952	\$2,002	\$50

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 Request includes an increase to fund NFIP Regional Staff to be assistant instructors for NFIP Floodplain Management Courses taught at DHS/FEMA National Emergency Training Center.

Department of Homeland Security
Federal Emergency Management Agency
National Flood Insurance Fund
PPA: Floodplain Management and Flood Mapping
Funding Schedule
(Dollars in Thousands)

		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
PPA: Floodplain Management					
Object Classes:					
23.1	GSA rent		831	833	2
23.3	Communication, Utilities, and misc charges	2			---
24.0	Printing	1,702	1,657	1,663	6
25.1	Advisory & Assistance Services	252	2,822	2,832	10
25.2	Other Services	32,163	70,304	70,319	15
25.3	Purchase from Govt. Accts.	458	1,515	1,621	106
31.0	Equipment	104	52	52	---
41.0	Grants/Subsidies/Contributions	23,532	30,000	30,000	---
Total, Floodplain Management		\$58,213	\$107,181	\$107,320	\$139
Full Time Equivalents					---

PPA Mission Statement

Through Floodplain Management programs, FEMA encourages communities and their citizens to take informed and effective mitigation actions before a flood in order to reduce the long-term risk to people and property. Through the delivery of mitigation programs, FEMA leads a national effort to: identify and improve the understanding of communities' hazards and their risks; develop and improve techniques and planning processes which mitigate those risks; provide an environment at the State and local levels that is conducive to applying those techniques and processes; provide financial and technical assistance to facilitate application of those techniques and processes; and support development of incentives and disincentives which make application of those techniques and processes a social, political and/or economic priority.

The FY 2010 request allows FEMA to: develop a variety of outreach materials to assist all entities of Federal, State, and local governments to effectively maintain sound floodplain management practice, and educate the general public on mitigation actions that may be taken in a pre-disaster environment; provide ongoing map maintenance activities, issue map revisions, and enhance distribution services, including provisions for digital products, subscription services, and links to other hazard data; provide funding to States for the development of the capability and capacity to manage the production of and to maintain flood hazard data (these efforts complement and support the Flood Map Modernization Fund activities); and provide technical assistance to the 20,000 communities participating in the NFIP and monitor the compliance with program requirements

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$0	\$831	\$833	\$2

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 increase is due to inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$1,702	\$1,657	\$1,663	\$6

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 increase is due to inflation and additional reproduction and distribution costs for materials.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$252	\$2,822	\$2,832	\$10

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 increase is due to inflation and adjustments to support additional requirements.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$32,163	\$70,304	\$70,319	\$15

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 increase reflects adjustments for inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$458	\$1,515	\$1,621	\$106

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 increase reflects adjustments for inflation and additional requirements.

**Department of Homeland Security
Federal Emergency Management Agency
National Flood Insurance Fund**

PPA: Mandatory

Funding Schedule

(Dollars in Thousands)

PPA: Mandatory		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
24.0	Printing	2,100	2,205	2,227	22
25.2	Other Services	739,546	832,257	836,164	3,907
42.0	Indemnity	1,086,997	1,282,328	1,310,585	28,257
43.0	Interest and Dividends	723,426	794,510	816,024	21,514
Total, Mandatory		\$2,552,069	\$2,911,300	\$2,965,000	\$53,700
Full Time Equivalents					---

PPA Mission Statement

The National Flood Insurance Act of 1968, as amended, authorizes the Federal Government to provide flood insurance on a national basis. Flood insurance may be sold or continued in force only in communities that enact and enforce appropriate floodplain management measures. Communities must participate in the program within 1 year of the time they are identified as flood-prone in order to be eligible for flood insurance and some forms of Federal financial assistance for acquisition or construction purposes. In addition, Federally regulated funding institutions cannot provide loans to nonparticipating communities with an identified flood hazard.

More than 20,000 communities in all States and Territories participate in the NFIP. Structures built to NFIP criteria experience 80 percent less damage through reduced frequency and severity of losses. The flood mitigation program requirements are estimated to save in excess of \$1 billion per year in flood losses avoided. The NFIP limits the impact of disaster by encouraging property owners and others to manage their risk through flood insurance and other hazard insurance mechanisms.

In FY 2010, FEMA will continue to pay claims, issue policies, pay interest on borrowing from the Treasury, and pay operating expenses of the NFIF.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$2,100	\$2,205	\$2,227	\$22

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 increase is due to inflation and additional reproduction and distribution costs for materials about the flood insurance program.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$739,546	\$832,257	\$836,164	\$3,907

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 increase reflects adjustments for inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Indemnity	\$1,086,997	\$1,282,328	\$1,310,585	\$28,257

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Interest and Dividends	\$723,426	\$794,510	\$816,024	\$21,514

Insurance interest payments from Treasury borrowings to pay claims for Hurricanes Katrina, Rita, and Wilma.

Department of Homeland Security
Federal Emergency Management Agency
National Flood Insurance Fund
PPA: Severe Repetitive Loss Mitigation
Funding Schedule
(Dollars in Thousands)

PPA: Severe Repetitive Loss Mitigation		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	\$603	\$1,233	\$1,258	\$25
11.5	Other per comp	27	63	64	1
12.1	Benefits	250	397	405	8
21.0	Travel	22	25	25	0
25.2	Other Services	1,944	1,645	1,661	16
25.7	Operation & maintenance of equipment			20	20
31.0	Equipment	50	93	22	(71)
41.0	Grants/Subsidies/Contributions	32,868	76,544	66,544	(10,000)
Total, Severe Repetitive Loss Mitigation		\$35,764	\$80,000	\$70,000	(\$10,000)
Full Time Equivalent		7	14	14	---

PPA Mission Statement

The Flood Insurance Reform Act of 2004 introduced several new requirements and program initiatives. This included the establishment of the Severe Repetitive Loss Pilot Program, initially authorized at \$40 million annually. The Program provides technical and financial assistance to State and local governments to mitigate severe repetitive loss properties under the National Flood Insurance Program (NFIP). The Program focuses on a subset of the repetitive loss properties – severe repetitive loss properties - that have the largest impact on claims paid from the NFIP. Mitigating potential damages to these properties will result in savings to the NFIP. This program is funded from mandatory, premium collections.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$880	\$1,693	\$1,727	\$34

Salaries and Benefits includes costs for 14 full time permanent positions. The FY 2010 Request increase provides for the annualization of the 2009 pay increase and the anticipated 2010 pay act.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$1,944	\$1,645	\$1,661	\$16

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 increase is due to inflation and adjustments to support additional requirements.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$0	\$0	\$20	\$20

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 increase provides for routine maintenance and operational integrity for existing equipment.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$50	\$93	\$22	(\$71)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 decrease is due to a reduction in equipment requirements. The funding has been realigned to support the operation and maintenance of existing equipment.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$32,868	\$76,544	\$66,544	(\$10,000)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2010 decrease will be offset by the same amount in FY 2009 carryover funds.

Department of Homeland Security
Federal Emergency Management Agency
National Flood Insurance Fund
PPA: Repetitive Flood Claims
Funding Schedule
(Dollars in Thousands)

PPA: Repetitive Flood Claims		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
41.0	Grants/Subsidies/Contributions	9,158	10,000	10,000	---
Total, Repetitive Flood Claims		\$9,158	\$10,000	\$10,000	\$0
Full Time Equivalents					---

PPA Mission Statement

The Flood Insurance Reform Act of 2004 introduced several new requirements and program initiatives. This included the establishment of a grant program which provides a mechanism to mitigate properties that have experienced repetitive losses where the State or community does not meet eligibility requirements under the Flood Mitigation Assistance program. Although not necessarily focused on Severe Repetitive Loss Properties, the Act does direct FEMA to give priority to "Worst-Case Properties" that would result in the greatest savings to the NFIF. This program will be funded from mandatory, premium collections.

Department of Homeland Security
Federal Emergency Management Agency
National Flood Insurance Fund
PPA: Flood Mitigation Activities
Funding Schedule
(Dollars in Thousands)

PPA: Flood Mitigation Activities		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions		\$812	\$828	\$16
12.1	Benefits		165	168	3
21.0	Travel		50	51	1
25.2	Other Services	640	673	680	7
41.0	Grants/Subsidies/Contributions	16,810	34,000	38,273	4,273
Total, Flood Mitigation Activities		\$17,450	\$35,700	\$40,000	\$4,300
Full Time Equivalents			8	8	---

PPA Mission Statement

The Flood Mitigation Activities (FMA) support activities to eliminate at-risk structures that are repetitively flooded. Through fee-generated discretionary funds transferred from the National Flood Insurance Fund (NFIF), FMA supports activities to eliminate at-risk structures that are repetitively flooded, and provides flood mitigation assistance planning support to States and communities. In FY 2008, these activities were funded from the National Flood Mitigation Fund appropriation.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$0	\$977	\$996	\$20

Salaries and Benefits includes costs for eight full time permanent positions. The FY 2010 Request increase provides for the annualization of the 2009 pay increase and the anticipated 2010 pay act.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$0	\$50	\$51	\$1

Travel includes all cost of persons, subsistence of travelers, and incidental expenses in accordance with Federal travel regulations. Travel is conducted for the purposes of Program coordination meetings with FEMA Regions and to support our partnerships with the States, Territories, and Tribal groups. The FY 2010 increase of \$1,000 provides for inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$640	\$673	\$680	\$7

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Prior to FY 2009, this activity was funded by the NFMF Appropriation. The FY 2010 increase is due to inflation and adjustments to support additional requirements.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$16,810	\$34,000	\$38,273	\$4,273

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. Prior to FY 2009, this activity was funded by the NFMF Appropriation. The increase shown above will provide for additional grant awards as authorized in the National Flood Insurance Reform Act of 2004.

I. Changes in FTE

**Department of Homeland Security
Federal Emergency Management Agency
National Flood Insurance Fund
Changes in Full-Time Equivalents**

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	245	245	352
INCREASES			
Increase #1:			
Description: Strengthen oversight of the National Flood Insurance Program	0	99	0
Increase #2:			
Description: FTE to administer the Flood Mitigation Activities Program	0	8	0
Sub-Total Increases	0	107	0
DECREASES			
Sub-Total Decreases	0	0	0
Year-end Actual/Estimated FTEs	245	352	352
Net Change from prior year base to Budget Year Estimate:	0	107	0

Note: FY 2007 FTE estimate of 245 differs from FY 2009 CJ amount of 270. The 270 represents the number of positions.

J. FY 2009 Schedule of Working Capital Fund by Program/Project Activity

**Department of Homeland Security
Federal Emergency Management Agency
National Flood Insurance Fund**

**FY 2010 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)**

Program/Project Activity	FY 2008 Actual	FY 2009 Anticipated	FY 2010 Anticipated	Increase / Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
National Flood Insurance Fund - D	\$990	\$1,027	\$1,237	\$210
National Flood Insurance Fund - M	\$0	\$0	\$82	\$82
Total Working Capital Fund	\$990	\$1,027	\$1,319	\$292

Department of Homeland Security

Federal Emergency Management Agency

National Pre-Disaster Mitigation Fund



**Fiscal Year 2010
Congressional Budget Submission**

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BUDGET REQUEST AND SUPPORTING INFORMATION

FEDERAL EMERGENCY MANAGEMENT AGENCY (FEMA) **NATIONAL PRE-DISASTER MITIGATION FUND**

I. Appropriation Overview

A. Mission Statement for the National Pre-Disaster Mitigation Fund:

Section 203 (42 U.S.C. 5133) of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (P.L. 93-288) established a federal program that provides “technical and financial assistance to State and local governments to assist in the implementation of pre-disaster hazard mitigation measures that are cost-effective and designed to reduce injuries, loss of life, and damage and destruction of property...” The Pre-Disaster Mitigation Fund (PDM) was created under FEMA as the vehicle for disseminating these grants to State and local governments. Operating independently of the Disaster Relief Fund (DRF), which provides *post*-disaster mitigation funding, the PDM program offers an annual funding source for qualified mitigation activities that are not dependent upon a declaration of disaster activity by the President.

B. Budget Activities:

FEMA’s PDM program provides technical assistance and Federal funding to State, local, and tribal governments to support the development and enhancement of hazard mitigation plans aimed at instituting policies and practices, and mitigation projects that involve physical measures to avoid or reduce damage from natural disasters.

C. Budget Request Summary:

FEMA requests \$150.0 million in FY 2010 for the National Pre-Disaster Mitigation grant program.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Federal Emergency Management Agency
National Pre-Disaster Mitigation Fund**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
National Pre-Disaster Mitigation Fund	6	\$75,337	15	\$90,000	15	\$150,000		\$60,000	---	60,000	---	\$0
Net, Enacted Appropriations and Budget Estimates	6	\$75,337	15	\$90,000	15	\$150,000	---	\$60,000	---	\$60,000	---	\$0

III. Current Services Program Description by PPA

Department of Homeland Security
Federal Emergency Management Agency
National Pre-Disaster Mitigation Fund
Program Performance Justification
(Dollars in Thousands)

PPA: NATIONAL PRE-DISASTER MITIGATION FUND

	Perm Pos	FTE	Amount
2008 Actual	15	15	\$90,000
2009 Enacted	15	15	\$90,000
2010 Adjustments-to-Base	0	0	\$0
2010 Current Services	15	15	\$90,000
2010 Program Change	0	0	\$60,000
2010 Request	15	15	\$150,000
Total Change 2009-2010	0	0	\$60,000

FEMA requests \$150.0 million, 15 full-time permanent positions and 15 FTE for the Pre-Disaster Mitigation Fund in FY 2010. This represents an increase of \$60.0 million from the FY 2009 level. The additional funding will enable the program to further reduce the Nation's vulnerability to future hazard events by increasing the level of technical assistance and the number of grants awarded to State, local, and tribal governments for pre-disaster mitigation planning and project activities.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Pre-Disaster Mitigation Fund (PDM) program assists State, local, and tribal governments in implementing cost-effective hazard mitigation activities that complement a comprehensive mitigation program. This program provides a funding resource for State, local, and tribal governments seeking to initiate or complete plans and projects that ensure immediate risk reduction to the population, to property, and for at-risk structures, including critical facilities. Often, funding is the primary obstacle that States and local governments must overcome in order to be more proactive in the prevention or reduction of the damage caused by natural hazards. PDM Federal cost share is up to 75% for all eligible proposals except for small and impoverished communities which can be up to 90% of the cost.

The PDM fund supports efforts to raise risk awareness and reduce disaster losses before disasters strike. Grants are awarded to States, territories, tribal governments, and communities for the purposes of hazard mitigation planning and hazard mitigation projects. Grants awarded for mitigation planning are limited in funding levels based on whether the application supports a new plan or updates an existing plan. Grants awarded to support mitigation projects must fall within one of the eligible categories.

Grants for mitigation projects vary and include activities such as: retrofitting structures to resist flood, wind, and earthquake; elevating structures above base flood levels; property acquisition and demolition or relocation for the creation of open space; and minor flood reduction and drainage measures.

Communities that participate in the PDM program are able to identify, plan for, and mitigate repetitive loss situations that negatively impact their residents or present a threat to life and property. Approved projects go through an extensive review process to verify cost effectiveness, engineering feasibility, and environmental and historic preservation site reviews. The final approved projects may eliminate the risk of flooding, reinforce critical infrastructure to protect against damage during a seismic event, or mitigate repetitive damage to homes in a flood prone area. PDM projects specifically related to flood mitigation may provide an additional cost savings by reducing future claims on the National Flood Insurance Program for insured structures.

Beginning in FY 2010, FEMA will eliminate the nationally competitive grant program and replace it with a base-plus-risk allocation program to increase the program's effectiveness. The base-plus-risk grant funding approach includes providing a "base" allocation of funding to each State of \$500,000 in accordance with 42 U.S.C. 5133, plus additional funding determined through a national level risk analysis with priorities established based on risk. PDM will also work with State, local, and tribal governments to establish a process to pre-qualify their pre-disaster mitigation proposals for funding. Each State will be able to maintain a portfolio of pre-qualified proposals that are: (1) consistent with State, local, and tribal mitigation plans and priorities; (2) determined technically feasible for reducing losses to identified hazards; and (3) deemed cost-effective. Once a State receives its base-plus-risk allocation each year, these pre-qualified proposals will be finalized to meet other Federal requirements, such as the National Environmental Protection Act (NEPA), so that funds can be obligated and projects initiated soon after the enactment of appropriated funds. This will not only accelerate the obligation of funds, but ensure projects are cost-effective and risk-based.

Hazard mitigation is the most proactive and successful method for reducing the physical, financial, and emotional losses caused by disasters. In December 2005, the Multihazard Mitigation Council (MMC), a part of the National Institute of Building Sciences, released the findings of an independent study commissioned by FEMA to assess future savings from mitigation activities. The results provided Congress with quantitative data to support the long-term benefits of investing Federal dollars to reduce the total costs associated with natural and other related hazards. The study examined grants over a 10-year period (1993-2003) aimed at reducing future damages from earthquake, wind, and flood and determined that mitigation saves society an average of \$4 for every \$1 spent on pre-disaster activities. In September 2007, the Congressional Budget Office (CBO) released a report, "Potential Cost Savings from the Pre-Disaster Mitigation Program," that found the total dollar value of the expected reduction in disaster losses from the projects funded from 2004 through 2007 exceeds the projects costs. Furthermore, CBO indicated that, on average, future losses are reduced by about \$3 for each \$1 spent on those projects, including both federal and non-federal spending.¹

Since FY 2003, FEMA has received \$754.0 million in Enacted appropriations for the Pre-Disaster Mitigation Grant Program. Grant awards from FY 2003 to FY 2006 were determined through a nationally competitive program leveraging the flexibility included in enacted legislation to allocate grant funds based on this competition. Grant proposals were subject to a national technical review process to ensure project applications met technical guidelines, and a national evaluation process to score and rank applications. In addition to FEMA and other Federal employees, staff from States, territories, tribes, and local communities served as peer reviewers in the national evaluation.

In FY 2007, FEMA began allocating grant funds in accordance with Section 203(f) of the Stafford Act (42 U.S.C. 5133) but continued to use the national competition as the mechanism for the awards

¹ CBO also noted that "Significant uncertainty surrounds that estimate, however, and the information available on past projects may not reliably indicate the effectiveness of additional mitigation projects in the future."

program. In addition to the funds appropriated each year, the PDM program reinvests unused funds returned by the grant recipient back into the program to support the next cycle of grant awards.

Pre-Disaster Mitigation Program¹

Report: Project and Planning Subapplications Obligated² To Date (All FY) By Hazard

Focus: Flood, Seismic, Wildfire, and Wind Hazards, including Mitigation Planning

Source: DataWarehouse

TOTALS		
#	\$	
178	\$194,174,030	Flood
78	\$94,182,186	Seismic
18	\$11,550,988	Wildfire
123	\$83,901,894	Wind ³
15	\$12,772,466	Other Project ³
722	\$81,766,739	Planning
1134	\$478,348,302	

Planning and Project Subapplications Obligated to Date by Hazard and Fiscal Year												
	FY 2003		FY 2004	FY 2005		FY 2006		FY 2007		FY 2008		FY 2009
	#	\$		#	\$	#	\$	#	\$	#	\$	
Flood	51	\$50,612,649	FY 2004 subapplications were merged into FY 2005.	78	\$98,730,736	11	\$10,640,522	27	\$25,477,920	11	\$8,712,202	FY 2009 selections for further review are pending as of this report (04/08/2009)
Seismic	7	\$7,856,459		47	\$58,965,662	8	\$11,621,634	14	\$13,365,352	2	\$2,373,079	
Wildfire	3	\$515,722		7	\$5,144,598	1	\$150,168	3	\$2,113,773	4	\$3,626,726	
Wind ³	34	\$10,957,468		44	\$31,227,731	9	\$10,130,916	31	\$26,954,664	5	\$4,631,114	
Other Project ³	4	\$2,836,425		6	\$4,586,107	2	\$4,709,991	3	\$639,943	0	\$0	
Planning	137	\$24,591,079		291	\$31,766,777	30	\$3,854,622	152	\$14,138,813	112	\$7,415,448	
	236	\$97,369,802			473	\$230,421,612	61	\$41,107,853	230	\$82,690,466	134	

¹ This report refers only to awards made under the competitive PDM program, and not to any congressionally-directed or earmarked awards

² Projects identified as "obligated" were selected for further review and completed all pre-award requirements prior to receiving federal funding. Some projects are still under review for eventual award. Dollars represent awarded Federal Share.

³ "Wind" category includes tornado and hurricane hazards. "Other" category includes severe storm, ice, snow, coastal surge, mud/landslide and related projects.

In FY 2008, FEMA accomplished the following risk reduction activities:

- Provided technical assistance through Internet-Based Webinars, instructor led courses, and telephone and email helpdesks.
- Provided training for the E-grants systems for application submissions.
- Launched a SharePoint website to improve communication and collaboration with FEMA Regional Staff in the review, development, and implementation of program efforts.

In FY 2009, FEMA will accomplish the following:

- Align all four pre-disaster mitigation programs into a unified Hazard Mitigation Assistance (HMA) program guidance and application cycle. This comprehensive approach will help FEMA to accomplish the HMA objectives of efficiency and standardization, thus creating a

platform for future updates and refinements of program policies and practices to make them more unified and user-friendly.

- Make available to State and local communities the Benefit Cost Analysis Toolkit 4.1.3.0. This software package uses the most up to date computer and software technology and risk information to calculate benefits of performing specific mitigation activities. The software operates with any Windows based computer system and is made available free of charge. Some of the major software features include on demand help functions, tutorial videos imbedded in the software, and instant access to FEMA's websites for additional information. The software was developed with the assistance of local and State mitigation staff, as well as other government agencies such as the US Army Corp of Engineers, the National Institute of Building Sciences, and the Congressional Budget Office.

In FY 2010, planned accomplishments include:

- Implement a base-plus-risk allocation program that will assist States, territories and tribes to establish and maintain a portfolio of pre-qualified mitigation proposals that are: consistent with State and local mitigation plans and priorities; determined technically-feasible to reduce losses to the identified hazard(s); and cost-effective.
- Provide opportunities for transparency and partnership with States, territories, and tribal and local governments through the HMA Summit, the External Stakeholders Workgroup, focus groups and training courses.
- Use an enhanced Benefit Cost Analysis Ratio tool that streamlines and modifies the benefit cost analysis program to make it easier for State and local communities to meet the benefit cost analysis requirements of the mitigation grant programs and meet the Office of Management and Budget Circular A-94.

IV. Program Justification of Changes

**Department of Homeland Security
Federal Emergency Management Agency
National Pre-Disaster Mitigation Fund
Justification of Program Changes**
(Dollars in Thousands)

Program Increase 1: National Pre-Disaster Mitigation Grant Program (PDM)

Strategic Goal(s) & Objective(s): DHS Goal 4 - Strengthen our nation’s preparedness and emergency response capabilities
Objective 4.1 – Preparedness

PPA: National Pre-Disaster Mitigation Fund

Program Increase: Positions _____ FTE _____ Dollars \$60.0 million

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							15	15	\$90,000
Program Increase									60,000
Total Request	15	6	\$75,337	15	15	\$90,000	15	15	\$150,000

Description of Item

The PDM Grant Program is authorized under Section 203 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act to “provide technical and financial assistance to States and local governments to assist in the implementation of pre-disaster hazard mitigation measures that are cost-effective and are designed to reduce injuries, loss of life, and damage and destruction of property, including damage to critical services and facilities under the jurisdiction of the States or local governments.”

Justification

In recent years, the national grant competition has resulted in a list of eligible “pending” but unfunded PDM projects. To date, FEMA has identified that \$228.9 million in projects were previously determined to be eligible and could be funded once validated. It is anticipated that some of these projects may not require funding due to a variety of reasons, such as they were already funded by the State, local, or tribal government. FEMA proposes that this list of unfunded projects be considered for priority funding in FY 2010 up to \$150.0 million, consistent with the risk-based allocation to the States, so that the funds can be quickly obligated and the work initiated.

These projects will reduce the Nation’s vulnerability to future hazard events by reducing the loss of life and property and reducing the Nation’s costs of responding to and recovering from natural hazard events. FEMA fully expects to add more eligible but unfunded projects to the list in future years.

State	Primary Hazard									Total Eligible	Total Federal Share
	Plan	Flood	Hurricane	Tornado	Wind Storm	Severe Storm	Snow	Earthquake	Fire		
Alabama	1 27,000	2 1,934,325		2 152,743						5	\$2,114,068
Arizona	2 677,601									2	\$677,601
Arizona Tribal	1 105,849									1	\$105,849
Arkansas	4 218,741			8 7,667,315						12	\$7,886,057
California	27 3,258,644	9 15,994,271				3 949,492	10 3,158,794	29 57,435,205	5 5,716,854	83	\$86,513,260
California Tribal	5 269,679									5	\$269,679
Colorado	6 707,088	3 8,972,408		1 101,977					1 509,734	11	\$10,291,206
Florida	13 1,289,827	2 4,590,653	13 17,293,855	2 1,338,672	3 1,919,408	2 598,232				35	\$27,030,648
Georgia		2 3,315,248								2	\$3,315,248
Idaho	4 499,349								1 417,378	5	\$916,726
Illinois	1 437,325	2 4,387,823								3	\$4,825,148
Indiana	1 573,312			4 3,293,955						5	\$3,867,267
Iowa	2 8,910									2	\$8,910
Kentucky	8 1,249,548	4 4,489,093		1 297,236						13	\$6,035,876
Maryland	4 146,799									4	\$146,799
Massachusetts	2 607,489									2	\$607,489
Michigan	1 65,220	4 495,447								5	\$560,667
Minnesota	7 275,141									7	\$275,141
Missouri		2 2,045,028		18 23,600,406				1 1,444,419		21	\$27,089,853
Nevada	2 107,250									2	\$107,250
New Hampshire	1 295,001	1 2,173,688								2	\$2,468,690
New Jersey	2 1,353,943									2	\$1,353,943
New York	1 58,275	1 600,000								2	\$658,275
North Carolina	52 1,793,208	3 754,595	2 164,439							57	\$2,712,241
North Dakota	4 156,000									4	\$156,000
Ohio	1 9,375	3 8,027,294								4	\$8,036,669
Oregon	1 408,873							5 4,776,437		6	\$5,185,310
South Carolina	6 1,234,554	2 6,000,000				1 37,500				9	\$7,272,054
Tennessee	2 150,000			2 203,965						4	\$353,965
Texas	3 85,745	2 2,799,797		1 450,000						6	\$3,335,542
Utah	3 789,867							2 1,764,692		5	\$2,554,559
U.S. Virgin Islands			1 1,169,710							1	\$1,169,710
Washington	5 425,276							4 8,492,222		9	\$8,917,498
Washington Tribal	4 320,972									4	\$320,972
West Virginia		3 1,779,578								3	\$1,779,578
Total Eligible:	176	45	16	39	3	6	10	41	7	343	
Total Federal Share:	17,605,860	68,359,246	18,628,004	37,106,270	1,919,408	1,585,224	3,158,794	73,912,975	6,643,966		\$228,919,746

Impact on Performance (Relationship of Increase to Strategic Goals)

Performance Goal:

Reduce the impact of natural hazards on people and property through the analysis and reduction of risks and the provision of flood insurance.

Performance Plan Measures:

Potential property losses, disasters, and other costs avoided.

Description of Measure:

This measure reports the estimated dollar value of losses to the American public which are avoided or averted through a strategic approach of natural hazard risk management. Losses are avoided to property (buildings and infrastructure) through the provision of: 1) Financial and technical assistance to States, territories, tribes, and communities to implement pre-identified, cost effective mitigation measures (via Hazard Mitigation Assistance grants); 2) Sound floodplain management; and 3) State-of-the-art building science technologies, and guidance and expertise for natural hazards (Disaster Resistant Building Sciences), thus protecting American citizens from disasters through assistance, education, and technology.

Impact on other DHS components or on other agencies outside of DHS:

The impact of this program is that it reduces the disaster losses that lead to requests for Federal assistance which demands a variety of resources across the Federal Government. State and local governments are directly impacted by this program in that it enables them to initiate or complete plans and projects that ensure immediate risk reduction to the population, property, critical facilities, and other at-risk structures.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Federal Emergency Management Agency
Justification of Proposed Changes in National Pre-Disaster Mitigation Fund
Appropriation Language**

For the Pre-Disaster Mitigation Grant Program under section 203 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5133), [\$90,000,000] *\$150,000,000*, to remain available until expended and as detailed in the statement accompanying this Act: *Provided*, That the total administrative costs associated with such grants shall not exceed 3 percent of the total amount made available under this heading. (*Department of Homeland Security Appropriations Act, 2009.*)

Explanation of Changes:

No substantive changes are proposed.

B. FY 2009 to FY 2010 Budget Change

**Federal Emergency Management Agency
National Pre-Disaster Mitigation Fund
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual.....	9	6	\$75,337
FY 2009 Enacted.....	15	15	90,000
Adjustments-to-Base			
Total Adjustments-to-Base.....	---	---	---
2010 Current Services.....	15	15	90,000
 Program Changes			
Pre Disaster Mitigation Grants.....	---	---	60,000
Total Program Changes.....	---	---	60,000
 2010 Request.....	15	15	150,000
 2009 to 2010 Total Change.....	---	---	60,000

C. Summary of Requirements

**Department of Homeland Security
Federal Emergency Management Agency
National Pre-Disaster Mitigation Fund
Summary of Requirements
(Dollars in Thousands)**

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	9	6	\$75,337
2009 Enacted	15	15	90,000
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Total Adjustments-to-Base	---	---	---
2010 Current Services	15	15	90,000
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	---	---	60,000
2010 Total Request	15	15	150,000
2009 to 2010 Total Change	---	---	60,000

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2008 Current Services (Hide these columns)			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 National Pre-Disaster Mitigation Fund	15	15	90,000	---	---	---	15	15	\$90,000	---	---	\$ 60,000	15	15	150,000	---	---	\$60,000
Total	15	15	\$90,000	---	---	\$0	15	15	90,000	---	---	\$60,000	15	15	\$150,000	---	---	\$60,000

D. Summary of Reimbursable Resources

Not applicable.

E. Summary of Requirements By Object Class

**Department of Homeland Security
Federal Emergency Management Agency
National Pre-Disaster Mitigation Fund
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2008 Actual	2009 Enacted	FY 2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$613	\$1,171	\$1,212	\$41
11.3 Other than full-time permanent	---			---
11.5 Other Personnel Compensation	43	61	\$62	1
11.8 Special Service Pay	---			---
12.1 Benefits	154	271	\$276	5
13.0 Benefits - former	---			---
Total, Personnel Comp. & Benefits	\$810	\$1,503	\$1,551	\$48
Other Object Classes:				
21.0 Travel	424	324	324	---
22.0 Transportation of things	1	1	1	---
23.1 GSA rent	84	125	128	3
23.3 Communications, utilities, & other misc. charges	4	4	4	---
24.0 Printing and reproduction	25	20	20	---
25.1 Advisory and assistance services	45	40	40	---
25.2 Other services	6,820	6,943	7,022	79
25.3 Purchases of goods & svcs. from Gov't accounts	---			---
25.4 Operation & maintenance of facilities	---			---
25.5 Research and development contracts	---			---
25.6 Medical care	---			---
25.7 Operation and maintenance of equipment	---			---
25.8 Subsistence and support of persons	---			---
26.0 Supplies and materials	12	13	13	---
31.0 Equipment	84	29	29	---
41.0 Grants/Subsidies/Contributions	67,028	141,110	185,870	44,760
Total, Other Object Classes	\$74,527	\$148,607	\$193,449	\$44,842
Total, Direct Obligations	\$75,337	\$150,110	\$195,000	\$44,890
Unobligated balance, start of year	(63,968)	(105,110)	(45,000)	
Unobligated balance, end of year	105,110	45,000	---	
Recoveries of prior year obligations	(2,479)	---	---	
Total requirements	\$114,000	\$90,000	\$150,000	

F. Permanent Positions by Grade

**Department of Homeland Security
Federal Emergency Management Agency
National Pre-Disaster Mitigation Fund
Permanent Positions by Grade**

Grades and Salary Ranges	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
	Pos.	Pos.	Pos.	Total
Total, SES	---	---	---	---
Total, EX	---	---	---	---
GS-15	2	2	2	---
GS-14	3	3	3	---
GS-13	6	6	6	---
GS-12	1	1	1	---
GS-11	1	1	1	---
GS-9	1	1	1	---
GS-6	1	1	1	---
Total Permanent Positions	15	15	15	---
Unfilled Positions EOY	6			---
Total Perm. Employment EOY	9	15	15	---
FTE	6	15	15	---
Headquarters	15	15	15	---
U.S. Field	---	---	---	---
Foreign Field				---
Total Permanent Positions	15	15	15	---
Average ES Salary	\$ ---	\$ ---	\$ ---	\$ ---
Average GS Salary	\$ 85,727	\$ 89,825	\$ 91,622	\$ 1,797
Average GS Grade	13.20	13.20	13.20	---

G. Capital Investment and Construction Initiative Listing

Not applicable.

H. PPA Budget Justifications

**Department of Homeland Security
Federal Emergency Management Agency
National Pre-Disaster Mitigation Fund
PPA: National Pre-Disaster Mitigation Fund
Funding Schedule
(Dollars in Thousands)**

PPA: National Pre-Disaster Mitigation Fund		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$613	\$1,171	\$1,212	\$41
11.3	Other than perm	---			---
11.5	Other per comp	43	61	62	1
11.8	Spec Srvc Pay	---			---
12.1	Benefits	154	271	276	5
21.0	Travel	395	324	324	---
22.0	Transportation of things	1	1	1	---
23.1	GSA rent	84	125	128	3
23.3	Communication, Utilities, and misc charges	4	4	4	---
24.0	Printing	25	20	20	---
25.1	Advisory & Assistance Services	45	40	40	---
25.2	Other Services	9,025	6,943	7,022	79
26.0	Supplies & materials	12	13	13	---
31.0	Equipment	84	29	29	---
32.0	Land & Structures	---			---
41.0	Grants/Subsidies/Contributions	64,852	81,000	140,870	59,870
Total, National Pre-Disaster Mitigation Fu		\$75,337	\$90,000	\$150,000	\$60,000
Full Time Equivalents		6	15	15	---

PPA Mission Statement

Funding requested through this account is dedicated to competitive grants for pre-disaster mitigation (PDM). Operating independently of the Disaster Relief Fund (DRF) assures that funding remains stable from year to year and is not subject to spikes in disaster activity. FEMA's PDM program provides technical assistance and Federal funding to State, local, and tribal governments to support the development and enhancement of hazard mitigation plans aimed at instituting policies, practices, and mitigation projects that involve physical measures to avoid or reduce damage from disasters.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$810	\$1,503	\$1,551	\$48

Salaries and Benefits support 15 full time permanent positions in FY 2010. The increase above the FY 2009 level will provide for the annualization of the 2009 pay increase and the cost of living adjustment effective January 2010.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
GSA rent	\$84	\$125	\$128	\$3

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 increase of \$3,000 provides for the inflation adjustment to the lease for office space.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$9,025	\$6,943	\$7,022	\$79

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Increase in FY10 is due to an increase in administrative costs associated with grants, inflation, and additional assistance needs for the program.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Grants/Subsidies/Contributions	\$64,852	\$81,000	\$140,870	\$59,870

Grants include cash payments to States, other political subdivisions, corporations, associations, and individuals for projects. The FY 2010 increase from FY 2009 will help meet the demand from State and local governments for financial support of their pre-disaster mitigation activities.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Indemnity	\$0	\$0	\$0	\$0

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Unvouchered	\$0	\$0	\$0	\$0

Unvouchered includes expenditures made lawfully for confidential purposes, including authorized payments made by law enforcement personnel to informants, which are not subject to detailed vouchering or reporting.

I. Changes in FTE

**Department of Homeland Security
Federal Emergency Management Agency
National Pre-Disaster Mitigation Fund
Changes in Full-Time Equivalents**

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	6	6	15
INCREASES			
Increase #1:			
Description: Increase reflects the achievement of full staffing level in FY 2009.		9	0
Sub-Total Increases	0	9	0
DECREASES			
Sub-Total Decreases	0	0	0
Year-end Actual/Estimated FTEs	6	15	15
Net Change from prior year base to Budget Year Estimate:	0	9	0

Note: FY 2007 FTE estimate of 6 differs from FY 2009 CJ amount of 15. The 15 represents the number of positions.

J. FY 2009 Schedule of Working Capital Fund by Program/Project Activity

**Department of Homeland Security
Federal Emergency Management Agency
National Pre-Disaster Mitigation Fund**

FY 2010 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual	FY 2009 Anticipated	FY 2010 Anticipated	Increase / Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
National Pre-Disaster Mitigation Fund	\$43	\$45	\$56	\$11
Total Working Capital Fund	\$43	\$45	\$56	\$11

Department of Homeland Security

Federal Emergency Management Agency

Emergency Food and Shelter



Fiscal Year 2010
Congressional Budget Submission

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BUDGET REQUEST AND SUPPORTING INFORMATION

FEDERAL EMERGENCY MANAGEMENT AGENCY EMERGENCY FOOD AND SHELTER

I. Appropriation Overview

A. Mission Statement for Emergency Food and Shelter (EFS):

The Emergency Food and Shelter Program provides grants to nonprofit and faith-based organizations at the local level through the National Board to supplement their programs for emergency food and shelter.

B. Budget Activities:

EFS funds are used to supplement food, shelter, rent, mortgage, and utility assistance programs for people with non-disaster related emergencies.

The EFS program is administered via a national board of volunteer agencies chaired by FEMA. The National Board qualifies jurisdictions for annual EFS funding awards based on criteria involving current population, unemployment, and poverty levels. Grants are awarded to nonprofit community and government organizations that are chosen by local boards in the qualifying jurisdictions.

C. Budget Request Summary:

The FEMA FY 2010 request for the EFS program is 0 positions, 0 FTE and \$100,000,000. This request represents a decrease of \$100,000,000 from FY 2009. There are no adjustments to base.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
Federal Emergency Management Agency
Emergency Food and Shelter
 Summary of FY 2010 Budget Estimates by Program/Project Activity
 (Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Emergency Food and Shelter	---	\$153,120	---	\$200,000	---	\$100,000		-\$100,000	---	(100,000)	---	\$0
Net, Enacted Appropriations and Budget Estimates	---	\$153,120	---	\$200,000	---	\$100,000	---	(\$100,000)	---	(\$100,000)	---	\$0

American Recovery and Reinvestment Act (ARRA)	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Emergency Food and Shelter			---	\$100,000								
Total			---	\$100,000								

III. Current Services Program Description by PPA

Department of Homeland Security
Federal Emergency Management Agency
Emergency Food and Shelter
Program Performance Justification
 (Dollars in thousands)

PPA: EMERGENCY FOOD AND SHELTER

	Perm Pos	FTE	Amount
2008 Actual	0	0	\$153,120
2009 Enacted	0	0	\$200,000
2010 Adjustments-to-Base	0	0	\$0
2010 Current Services	0	0	\$200,000
2010 Program Change	0	0	-\$100,000
2010 Request	0	0	\$100,000
Total Change 2009-2010	0	0	-\$100,000

*The table above excludes ARRA funding of \$100 million provided in P.L. 111-5. FEMA requests \$100 million for this activity. This is a decrease of \$100 million from FY 2009.

CURRENT SERVICES PROGRAM DESCRIPTION:

The EFS program provides grants to nonprofit and faith-based organizations at the local level to supplement their programs for emergency food and shelter. Nearly 12,000 nonprofit and local government agencies in over 2,500 cities and counties across the United States receive awards.

Funding for this program is distributed by the National Board which consists of designees from six charitable organizations – United Way of America, The Salvation Army, the National Council of Churches of Christ in the USA, Catholic Charities USA, United Jewish Communities, and the American Red Cross. The National Board is chaired by a representative from FEMA.

Local jurisdictions (city or county) are eligible for EFS support when they have the highest need for emergency food and shelter services as determined by unemployment and poverty rates. In FY 2008, the National Board established three measures to determine highest need eligibility: (1) Those with 13,000 or more residents unemployed and an unemployment rate of at least 3.5 percent; (2) Those with between 300 and 12,999 residents unemployed and an unemployment rate of at least 5.5 percent; or (3) Those with 300 or more unemployed and a poverty rate of at least 11 percent.

Funding may also be provided to jurisdictions that do not meet the initial eligibility requirements through a state set-aside. The National Board reserves a portion of appropriated funds and distributes funding to states based on a discretionary determination that allows for a constant level of funding based on a ratio of per capita state set-aside to per capita direct funding. The state set-aside allows states to address pockets of homelessness and poverty or address the immediate needs of a locality that might be going through a high economic impact event, such as a plant closing.

Recent and Planned Accomplishments

FY 2008 funds have provided 66.7 million meals and 4.1 million nights of lodging. The funding was also used to provide 110,588 rent/mortgage payments, and 138,281 utility bills to those in the most desperate need of assistance. All 50 states, the District of Columbia, Puerto Rico, American Samoa, Guam, the Northern Mariana Islands, and the Virgin Islands, received funds in FY 2008.

In FY 2009, the services rendered are estimated to be 43.6 million meals and 2.6 million nights of lodging. In FY 2009, the funds will also be used to provide approximately 72,325 rent/mortgage payments and 90,436 utility bill payments. Due to the reduced budget request in FY 2010, the services rendered will be less than in FY 2009. In FY 2010, the services rendered are estimated to be 21.8 million meals and 1.3 millions nights of lodging. The FY 2010 funds will also support approximately 36,000 rent/mortgage payments, and 45,000 utility bill payments.

IV. Program Justification of Changes

**Department of Homeland Security
Federal Emergency Management Agency
Emergency Food and Shelter
Justification of Program Changes**
(Dollars in Thousands)

Program Decrease 1: Adjustment to Support Greater Focus on Core Mission Activities

Strategic Goal(s) & Objective(s):

DHS Goal 2: Build a nimble, effective emergency response system and promote national resilience.
Objective 2.2

PPA: Emergency Food and Shelter

Program Decrease: Positions 0 FTE 0 Dollars (\$100,000,000)

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level			153,120			200,000	0	0	\$200,000
Program Decrease							0	0	(100,000)
Total Request	0	0	\$153,120	0		\$200,000	0	0	100,000

Description of Item

FEMA requests a reduction of \$100,000,000 in the EFS program for FY 2010.

Justification

The FY 2010 request reflects a refocus of resources on the primary mission of preparing for and coordinating disaster response and recovery efforts while still providing substantial support for the EFS program.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Federal Emergency Management Agency
Justification of Proposed Changes in Emergency Food and Shelter
Appropriation Language**

To carry out an emergency food and shelter program pursuant to Title III of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11331 et seq.), [\$200,000,000] *\$100,000,000*, to remain available until expended: *Provided*, That total administrative costs shall not exceed 3.5 percent of the total amount available under this heading. (*Department of Homeland Security Appropriations Act, 2010*).

Explanation of Changes:

No substantive changes are proposed.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
Federal Emergency Management Agency
Emergency Food and Shelter
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actuals.....	---		\$153,120
2009 Enacted.....			200,000
Adjustments-to-Base			
Total Adjustments-to-Base.....		---	---
2010 Current Services.....			200,000
 Program Changes			
Permanent Reduction to Emergency Food and Shelter			(100,000)
Total Program Changes.....		---	(100,000)
 2010 Request.....		---	100,000
 2009 to 2010 Total Change.....		---	(100,000)

C. Summary of Requirements

**Department of Homeland Security
Federal Emergency Management Agency
Emergency Food and Shelter
Summary of Requirements
(Dollars in Thousands)**

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	---	---	\$153,120
FY 2009 Enacted	---		200,000
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Total Adjustments-to-Base	---	---	200,000
FY 2010 Current Services	---	---	200,000
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	---	---	(100,000)
FY 2010 Total Request	---	---	100,000
2009 to 2010 Total Change	---	---	100,000

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Emergency Food and Shelter	---	---	\$200,000	---	---	\$0	---	---	(\$100,000)	---	---	\$100,000	---	---	(\$100,000)
Total	---	---	\$200,000	---	---	\$0	---	---	(\$100,000)	---	---	\$100,000	---	---	(\$100,000)

D. Summary of Reimbursable Resources

Not applicable.

E. Summary of Requirements by Object Class

**Department of Homeland Security
Federal Emergency Management Agency
Emergency Food and Shelter
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes		FY 2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1	Total FTE & personnel compensation	\$0	\$0	\$0	\$0
	Total, Personnel Comp. & Benefits	\$0	\$0	\$0	\$0
Other Object Classes:					
41.0	Grants/Subsidies/Contributions	\$153,120	200,000	100,000	(100,000)
99.0	Other				---
	Total, Other Object Classes	\$153,120	\$200,000	\$100,000	(\$100,000)
	Total, Direct Obligations	\$153,120	\$200,000	\$100,000	(\$100,000)
	Total requirements	\$153,120	\$200,000	\$100,000	(\$100,000)

F. Permanent Positions by Grade

Not applicable.

G. Capital Investment and Construction Initiative Listing

Not applicable.

H. PPA Budget Justifications

**Department of Homeland Security
 Federal Emergency Management Agency
 Emergency Food and Shelter
 PPA: Emergency Food and Shelter
 Funding Schedule
 (Dollars in Thousands)**

PPA: PPA Name		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$0	\$0	\$0	\$0
41.0	Grants/Subsidies/Contributions	\$153,120	\$200,000	\$100,000	(100,000)
Total, Emergency Food and Shelter		\$153,120	\$200,000	\$100,000	(\$100,000)
Full Time Equivalents		---	---	---	---

PPA Mission Statement

The Emergency Food and Shelter (EFS) Program provides grants to nonprofit and faith-based organizations at the local level through the National Board to supplement their programs for emergency food and shelter.

In FY 2009, the estimated services rendered will provide 43.6 million meals and 2.6 million nights of lodging. The funds will also be used to provide approximately 72,325 rent and mortgage payments and 90,436 utility bill payments.

The FEMA FY 2010 request will continue to provide funding to supplement local efforts to provide meals, shelter, and emergency assistance for mortgage, rent, and utility payments.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$153,120	\$200,000	\$100,000	(100,000)

The FY 2010 request includes a decrease of \$100 million. The FY 2010 request reflects a refocus of resources on the primary mission of preparing for and coordinating disaster response and recovery efforts while still providing substantial support for the EFS program.

I. Changes in FTE

Not applicable.

J. FY 2009 Schedule of Working Capital Fund by Program/Project Activity

Not applicable.

Department of Homeland Security

Federal Emergency Management Agency

Cerro Grande Fire Claims



Fiscal Year 2010
Congressional Budget Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

FEDERAL EMERGENCY MANAGEMENT AGENCY (FEMA) **CERRO GRANDE FIRE CLAIMS**

I. Appropriation Overview

A. Mission Statement for Office of Cerro Grande Fire Claims:

The Office of Cerro Grande Fire Claims was established by Public Law 106-246 to provide consideration and settlement of claims arising from the Cerro Grande Prescribed Fire. Funds for administration of the compensation process and for the payment of claims are available until expended.

B. Budget Request Summary:

Funds for the Cerro Grande Fire Claims are no longer requested for this account

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Federal Emergency Management Agency
Cerro Grande Fire Claims**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Cerro Grande Fire Claims	---	1,531	---	(9,000)	---	---	---	9,000	---	---	---	9,000
Subtotal, Enacted Appropriations and Budget Estimates	---	\$1,531	---	(\$9,000)	---	\$0	---	\$9,000	---	\$0	---	\$9,000
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	---	\$1,531	---	(\$9,000)	---	\$0	---	\$9,000	---	\$0	---	\$9,000

III. Current Services Program Description by PPA

Department of Homeland Security
Federal Emergency Management Agency (FEMA)
Cerro Grande Fire Claims
Program Performance Justification
(Dollars in thousands)

Not applicable.

IV. Program Justification of Changes

**Department of Homeland Security
Federal Emergency Management Agency (FEMA)
Cerro Grande Fire Claims
Justification of Program Changes
(Dollars in Thousands)**

Not applicable.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Federal Emergency Management Agency (FEMA)
Justification of Proposed Changes in Cerro Grande Fire Claims
Appropriation Language**

Explanation of Changes:

No language or funding for the Cerro Grande Fire Claims is requested for FY 2010.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
Federal Emergency Management Agency
Cerro Grande Fire Claims
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual.....	---	---	\$1,531
2009 Enacted.....	---	---	(9,000)
Adjustments-to-Base			
Total Adjustments-to-Base.....	---	---	---
2010 Current Services.....	---	---	(9,000)
Program Changes			
Total Program Changes.....	---	---	---
2010 Request.....	---	---	(9,000)
2009 to 2010 Total Change.....	---	---	---

C. Summary of Requirements

**Department of Homeland Security
Federal Emergency Management Agency
Cerro Grande Fire Claims
Summary of Requirements
(Dollars in Thousands)**

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	---	---	\$1,531
2009 Enacted	---	---	(9,000)
Adjustments-to-Base (See "FY 2008 to FY 2009 Budget Change" for details)			
Total Adjustments-to-Base	---	---	---
2010 Current Services	---	---	(9,000)
Program Changes (See "FY 2008 to FY 2009 Budget Change" for details)	---	---	---
2010 Total Request	---	---	(9,000)
2009 to 2010 Total Change	---	---	---

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Cerro Grande Fire Claims	---	---	\$0	---	---	(\$9,000)	---	---	\$0	---	---	(\$9,000)	---	---	(\$9,000)
Total	---	---	\$0	---	---	(\$9,000)	---	---	\$0	---	---	(\$9,000)	---	---	(\$9,000)

D. Summary of Reimbursable Resources

Not applicable.

E. Summary of Requirements By Object Class

Department of Homeland Security
Federal Emergency Management Agency
Cerro Grande Fire Claims
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$66	\$0	\$0	\$0
11.3 Other than full-time permanent	3	---	---	---
11.5 Other Personnel Compensation	5	---	---	---
11.8 Special Service Pay	---	---	---	---
12.1 Benefits	15	---	---	---
13.0 Benefits - former	---	---	---	---
Total, Personnel Comp. & Benefits	\$89	\$0	\$0	\$0
Other Object Classes:				
21.0 Travel		---	---	---
22.0 Transportation of things	2	---	---	---
23.1 GSA rent	---	---	---	---
23.2 Other rent	2	---	---	---
23.3 Communications, utilities, & other misc. charges	---	---	---	---
24.0 Printing and reproduction	---	---	---	---
25.1 Advisory and assistance services	---	---	---	---
25.7 Operation and maintenance of equipment	2	---	---	---
25.8 Subsistence and support of persons	---	---	---	---
26.0 Supplies and materials	2	---	---	---
42.0 Indemnity	1,434	---	---	---
Total, Other Object Classes	\$1,442	\$0	\$0	\$0
Total, Direct Obligations	\$1,531	\$0	\$0	\$0
Unobligated balance, start of year	(9,241)	---	---	---
Unobligated balance, end of year	7,738	---	---	---
Recoveries of prior year obligations	(48)	---	---	---
Rescission		(9,000)	---	9,000
Total requirements	(\$20)	\$0	\$0	\$0

F. Permanent Positions by Grade

**Department of Homeland Security
Federal Emergency Management Agency
Cerro Grande Fire Claims
Permanent Positions by Grade**

Grades and Salary Ranges	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
	Pos.	Pos.	Pos.	Total
Total, SES	---	---	---	---
Total, EX	---	---	---	---
GS-15	---	---	---	---
GS-14	---	---	---	---
GS-13	---	---	---	---
GS-12	---	---	---	---
GS-11	---	---	---	---
GS-10	---	---	---	---
GS-9	---	---	---	---
GS-8	---	---	---	---
GS-7	---	---	---	---
GS-6	---	---	---	---
GS-5	---	---	---	---
GS-4	---	---	---	---
GS-3	---	---	---	---
GS-2	---	---	---	---
Other Graded Positions	---	---	---	---
Ungraded Positions	---	---	---	---
Total Permanent Positions	---	---	---	---
Unfilled Positions EOY	---	---	---	---
Total Perm. Employment EOY	---	---	---	---
FTE	2	2	---	(2)
Headquarters	2	2	---	(2)
U.S. Field	---	---	---	---
Foreign Field	---	---	---	---
Total Permanent Positions	2	2	---	(2)
Average ES Salary	\$ ---	\$ ---	\$ ---	\$ ---
Average GS Salary	\$ ---	\$ ---	\$ ---	\$ ---
Average GS Grade	---	---	---	---

G. Capital Investment and Construction Initiative Listing

Not applicable.

H. PPA Budget Justifications

**Department of Homeland Security
Federal Emergency Management Agency
Cerro Grande Fire Claims
PPA: Cerro Grande Fire Claims**

Funding Schedule
(Dollars in Thousands)

PPA: Cerro Grande		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$66	\$0	\$0	\$0
11.3	Other than perm	3	---	---	---
11.5	Other per comp	5	---	---	---
11.8	Spec Srvc Pay	---	---	---	---
12.1	Benefits	15	---	---	---
13.0	Benefits-former	---	---	---	---
21.0	Travel	---	---	---	---
22.0	Transportation of things	2	---	---	---
23.1	GSA rent	---	---	---	---
23.2	Other rent	2	---	---	---
23.3	Communication, Utilities, and misc charges	---	---	---	---
24.0	Printing	---	---	---	---
25.1	Advisory & Assistance Services	---	---	---	---
25.2	Other Services	---	---	---	---
25.3	Purchase from Govt. Accts.	---	---	---	---
25.4	Operation & maintenance of facilities	---	---	---	---
25.5	Research & Development	---	---	---	---
25.6	Medical care	---	---	---	---
25.7	Operation & maintenance of equipment	2	---	---	---
25.8	Subsistence & Support of persons	---	---	---	---
26.0	Supplies & materials	2	---	---	---
31.0	Equipment	---	---	---	---
32.0	Land & Structures	---	---	---	---
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	1,434	---	---	---
91.0	Unvouchered	---	---	---	---
Total, Cerro Grande		\$1,531	\$0	\$0	\$0
Full Time Equivalentents		2	---	---	---

PPA Mission Statement

The Office of Cerro Grande Fire Claims was established by Public Law 106-246 to provide consideration and settlement of claims arising from the Cerro Grande Prescribed Fire. Funds for administration of the compensation process and for the payment of claims are available until expended. Carryover funds will be used for administration of the compensation process and for any outstanding claims. No additional funding is requested for FY 2010.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$89	\$0	\$0	\$0

Salaries and Benefits includes regular salaries and wages, and personnel benefits paid to the employees.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$0	\$0	\$0	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Transportation of Things	\$2	\$0	\$0	\$0

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Rent	\$2	\$0	\$0	\$0

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$0	\$0	\$0	\$0

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Indemnity	\$1,434	\$0	\$0	\$0

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act.

I. Changes In FTE

Department of Homeland Security
Federal Emergency Management Agency
Cerro Grande Fire Claims
Changes in Full-Time Equivalents

	FY 2007	FY 2008	FY 2009
Base: Year-end Actual from Prior Year	2	2	2
INCREASES	0	0	0
DECREASES	0	0	2
Year-end Actual/Estimated FTEs	2	2	0
Net Change from prior year base to Budget Year Estimate:	0	0	0

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity

Not applicable.

Department of Homeland Security

Federal Emergency Management Agency



Fiscal Year 2010
Strategic Context
Congressional Justification

FY 2010 PRESIDENT’S BUDGET REQUEST STRATEGIC CONTEXT

FEDERAL EMERGENCY MANAGEMENT AGENCY (FEMA)

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A. Mission and Description of Component

The Federal Emergency Management Agency was created in 1979 by Executive Order of the President and in 2003 became an essential component of the Department of Homeland Security (DHS). FEMA's primary mission is to reduce loss of life and property and protect the Nation from all hazards, including natural disasters, acts of terrorism, and other man-made disasters, by leading and supporting the Nation in a risk-based, comprehensive emergency management system of preparedness, protection, response, recovery, and mitigation.

FEMA manages and coordinates the Federal response to domestic disasters of all types in accordance with the Robert T. Stafford Disaster Relief and Assistance Act, its primary authority. The agency works proactively to anticipate disaster assistance needs that may arise and responds to requests for support from governors of affected states. While many significant emergencies are capably managed with local and state resources alone, FEMA stands ready when greater assistance is needed, prepared to act as both leader and partner to address each community's needs.

In the 30 years since its creation, FEMA has responded to more than a thousand disasters across all fifty states, the District of Columbia, Puerto Rico, Guam, the Pacific Island Trust Territories, and the U.S. Virgin Islands.

FEMA also administers the National Flood Insurance Program (NFIP) in accordance with the National Flood Insurance Act of 1968, as amended, that authorizes the Federal Government to provide flood insurance on a national basis. Currently, there are over 5,300,000 policyholders and over 20,300 communities participating in the program.

In October 2006, the President signed into the law the Post-Katrina Emergency Management Reform Act of 1996 (PKEMRA). The Act brought additional functions into FEMA, including National Preparedness Programs and the U.S. Fire Administration. The Act also called for FEMA to:

- Improve the Agency's core capabilities and strengthen the regions
- Expand FEMA's mission to include preparedness and protection along with the Agency's traditional missions of mitigation, response and recovery
- Engage new constituencies such as the law enforcement community
- Establish a national emergency management system
- Implement a national preparedness system

FEMA's major mission components include Disaster Assistance, Disaster Operations, Logistics Management, National Continuity Programs, Mitigation, National Preparedness, Grant Programs, and the U.S. Fire Administration. In addition to its headquarters in Washington, D.C., FEMA has ten regional offices, three area offices, six Logistics Distribution Centers, five Mobile Emergency Response Support detachments, three National Processing Service Centers, and various disaster-related facilities/sites that carry out the agency's operations throughout the United States and its territories.

B. Major Activities and Key Strategic Goals

The investments made in FEMA in recent years have significantly improved the Agency's ability to fulfill its mission. During FY 2008, the improved operational and response capability of the Agency was clearly revealed. FEMA effectively and aggressively responded to the fourth busiest hurricane season since 1944, with Hurricane Ike alone causing between \$25 billion to \$30 billion in damages. In addition, the Agency responded to record flooding in the Midwest affecting a six-state area. In total, FEMA successfully responded to 90 declared disasters and provided critical assistance to 36 states during FY 2008. The Agency's rapid and effective response to the wide range of disaster requirements in FY 2008 demonstrates the value of the increased investments in the Agency's response capability.

The FY 2010 President's Budget request reflects continued commitment on the actions required by PKEMRA. During FY 2008, the Agency made significant progress in increasing its operational capacity to manage all aspects of disasters and emergencies. In FY 2010, the Agency will continue this effort and expand its emergency preparedness, response, recovery and mitigation capabilities and facilitate a robust coordinated response to all hazards. As part of this effort, FEMA will improve coordination between headquarters and regional offices in all aspects of disaster management, including disaster response. And FEMA is continuing to strengthen its business support elements – acquisition, finance, human capital, technology, and facilities – functions that are an essential component of the Agency's ability to fulfill its disaster management mission.

Disaster Assistance

FEMA's Disaster Assistance Program works to ensure that individuals and communities affected by disasters of all sizes, including catastrophic events and terrorist attacks, receive rapid, situation appropriate, and accurately targeted disaster assistance through FEMA's Individual Assistance and Public Assistance programs. In addition, FEMA leads Federal agencies, state and local governments, and representatives of non-governmental organizations in developing, coordinating, and implementing the National Disaster Recovery Strategy and the National Disaster Housing Strategy.

During FY 2008, FEMA demonstrated its increased operational capacity by managing significant amounts of disaster assistance activity efficiently and effectively. FEMA obligated more than \$1.4 billion in public assistance, and initiated over 40,000 projects to assist state and local governments in their disaster recovery efforts. In addition, FEMA provided more than \$913 million to help repair or replace damaged or destroyed property, and handled more than 1.5 million applications for individual assistance. And as the Agency works to provide timely assistance to families and communities in serious need of assistance, it also has strengthened management controls to improve stewardship of taxpayer funds. Using an identity proofing and occupancy verification process that checks an applicant's name, social security number, and address against commercially available data, FEMA can restrict certain types of non-traditional assistance such as Expedited Assistance (EA) to only those applicants that have verified identity and occupancy.

For FY 2009, FEMA is updating technology systems and improving the key business processes that support the Agency's disaster assistance programs. The Agency is enhancing its capabilities

for managing mass evacuations and displaced populations, including additional state and local plans and improvement of evacuee tracking systems. Through the FEMA National Shelter System (NSS), the Agency will have enhanced data sharing capabilities and provide expanded, accurate data to Federal, state, and local users. The Agency is also enhancing the National Emergency Family Registry Locator System (NEFRLS) to facilitate the reunification process and enable non-U.S. citizens to utilize the system. And FEMA is working to train regional, Federal, state, local, and non-governmental stakeholders on Federal mass care functions and coordination with local mass care efforts. And to improve the intake of applications for individual assistance, FEMA is piloting a new in-person recertification protocol to reduce or eliminate the need for often-confusing and less reliable recertification via the postal system, and increase the reliability and surety of the process.

FEMA will continue to strengthen its disaster assistance management infrastructure in FY 2010. FEMA will implement Emergency Management MIE Version II for Public Assistance, which will allow Public Assistance staff to capture information on damaged facilities quickly and directly input the data into Emergency Management Mission Integrated Environment (EMMIE) for processing. The Agency will also begin development of the Emergency Assistance Information System (EAIS), which will integrate existing mass care software and information systems and enable states to manage mass care information requirements (NSS, NECLC, NEFRLS) through one system. FEMA also will implement electronic (E-mail) correspondence with applicants. And by adding links to view documents through the IAC or sending them through attachments, the Agency will reduce costs and offer a more secure means of communication with applicants.

Disaster Operations

FEMA's Disaster Operations Program provides the core Federal operational capabilities needed to save lives, minimize suffering, and protect property in a timely and effective manner in communities overwhelmed by acts of terrorism, natural disaster, or other emergencies. Disaster Operations offers a unique capability that ensures that Federal emergency response systems and capabilities are properly poised to support Federal decision makers and immediately receive and react to requirements necessary to support states overcome by an emergency or major disaster.

FEMA demonstrated its improved operational response during the disaster activity of FY 2008. The Agency's national and regional Incident Management Assistance Teams (IMAT) were instrumental in providing on-scene situational awareness during last year's hurricane season. During Hurricanes Gustav and Ike, FEMA deployed more than 30 Urban Search and Rescue task forces throughout the Southeast to support the states in critical search and rescue operations. In addition, technology and equipment upgrades in FEMA's national and regional operations centers now allow for seamless connectivity with other Federal agencies and state governments.

In FY 2009, FEMA is improving its operational response capacity in several important ways. First, the Agency is working with its regional offices to implement Incident Management Assistance Teams (IMAT) to improve management and coordination of the National response for catastrophic incidents. FEMA will also continue the effort to improve disaster workforce management by standardizing hiring, training, and credentialing all disaster responders. And to enhance catastrophic disaster response planning, FEMA is updating the National Response Framework (NRF) Catastrophic Incident Supplement based on empirical damage and societal impact data collected for the New Madrid Seismic Zone Planning Initiative, and will complete the five

remaining state Catastrophic Earthquake Annexes and develop the four Federal Regional Earthquake Annexes.

In FY 2010, Disaster Operations will continue efforts to expand the emergency management body of knowledge and strengthen emergency management education to improve FEMA's incident management capability. FEMA will use its enhanced operational planning capacity to develop vertically and horizontally-integrated response plans compliant with the National Incident Management System and the NRF. FEMA will expand its focus on catastrophic disaster planning through Federal plans, both Regionally- and Nationally-focused, that synchronize with Urban Area/regional plans developed from the Homeland Security Grant Program, and preparing for National-level exercise based on the complete suite of New Madrid Seismic Zone Plans.

Logistics Management

FEMA's Logistics Management Directorate (LMD) provides property management, logistics systems, and logistical operations for FEMA and its emergency management partners. LMD provides FEMA with the foundation to re-define disaster logistics and move beyond simply providing commodities to a more comprehensive management approach.

In FY 2008, LMD continued its transformation efforts by recruiting and hiring a permanent workforce and establishing new internal management controls. The impact on this expansion in internal capacity was clear during the 2008 hurricane season. As the single coordinator for all domestic emergency logistics planning, management, and sustainment capabilities, FEMA implemented 75 pre-positioned contracts to prepare for last year's disaster activity. And for Hurricane Gustav, FEMA activated its ground and air ambulance evacuation services contract and its rail evacuation services contract. Moreover, by pre-positioning supplies in three locations in Louisiana, and by establishing three National Logistics Staging Areas (NLSA) in Texas, FEMA quickly provided much needed commodities -- including cots, meals, bottled water, and other essentials -- to families and communities affected by Hurricanes Gustav and Ike.

In FY 2009, FEMA received \$10.3 million in additional funding to help institutionalize command and control of strategic logistics planning, operations, and management while pushing operational control to the most effective level of execution. This includes additional logistics planners at regional offices and at headquarters, logistics operational specialists, and National Emergency Housing Unit Site Managers. Additional resources also support the development of a robust logistics capability by incorporating a comprehensive Third Party Logistics environment into the FEMA logistics structure. In addition, LMD will continue to implement the next phase of the Total Asset Visibility (TAV) system, to develop expanded asset visibility of inventories and requests across all FEMA regions and asset categories.

In FY 2010, the Logistics Management Directorate will continue to improve as the National Logistics Coordinator. The organization will enhance the capability to provide transparent supply chain visibility and accountability by pre-positioning, pre-event procurements through key readiness concepts such as Inter-Agency Agreements (IAA). The organization will also conduct assessments of current logistics core competencies, implement industry best practices in addition to demonstration programs such as the Logistics Capability Calculator (LCC) which helps improve readiness.

National Continuity Programs

FEMA's National Continuity Program (NCP) provides Executive Agent leadership to guarantee the survival of an enduring constitutional government by ensuring continuity of national operations in response to national emergencies. In this role, NCP is responsible for ensuring Federal, state, local, tribal, and territorial governments are capable of performing their essential functions during any situations that may disrupt normal operations.

During FY 2008, FEMA made significant progress in developing Integrated Public Awareness System (IPAWS). FEMA demonstrated the integration of new alert and warning technologies into state emergency operations centers in Alabama, Louisiana and Mississippi. In addition, the Agency tested the Digital Emergency Alert System (DEAS) and awarded a contract to maintain DEAS national implementation through FY 2011. Moreover, the Agency conducted operational testing of the IPAWS Mobile Emergency Alert System (EAS), which further positioned IPAWS to provide emergency communications restoration in the event of a communications disruption.

During FY 2009, FEMA received additional funding to support the modernization of the Emergency Alert System (EAS), including the conversion of EAS to digital capability. As part of the conversion to IPAWS, FEMA has initiated collection of all applicable IPAWS public alert and warning systems data used by Federal, state, territorial, tribal, and local agencies on the inventory and evaluation work at 1,932 Emergency Operations Centers (EOCs). Also, FEMA deployed state DEAS in 8 states and Puerto Rico, to provide Emergency Operation Centers with an alternate means of distributing alerts and warnings

During FY 2009, FEMA also received \$10.4 million in additional funding to support upgrades to the Mount Weather Emergency Operations Center (MWEOC) critical and essential infrastructure. These upgrades include mechanical infrastructure improvements, safety enhancements, information technology site improvements, and utility distribution systems. The increased funding helps support the immediate readiness of facilities that house FEMA disaster response support activities, 24 hour watch centers, centralized automated data processing, protected telecommunications infrastructure as well as national security missions and capabilities.

FEMA has several significant initiatives planned for FY 2010 that continue its efforts to ensure continuity of national operations. As part of the IPAWS implementation plan, the Agency will publish an Inventory Assessment Report of the public alert and warning system capabilities and resources. Moreover, FEMA will make major systems upgrades to the National Radio System (FNARS) to replace logistically unsupportable legacy equipment and improve interoperability. And FEMA will develop, coordinate, and conduct the Eagle Horizon 2010 National Continuity exercise to assess department and agency continuity programs.

Mitigation

FEMA's Mitigation Program works to strengthen mitigation nationwide to reduce the Nation's risk to natural disasters or other emergencies, and to facilitate adoption and enforcement of up-to-date design and construction practices through state and local building codes. Mitigation supports activities that result in sound risk management decisions by individuals, private-sector, and public-sector entities. The Mitigation programs are conducted through three core activities: risk

identification and assessment, risk reduction, and insurance against flood risk. These programs work together to reduce the loss of life and property, to enable individuals to recover more rapidly from floods and other disasters, and to lessen the financial burden on taxpayers.

FEMA helps protect lives and prevent property loss from natural hazard events through activities designed to further sound risk management decisions. In FY 2008, FEMA provided \$114 million to communities through the Pre-Disaster Mitigation (PDM) grant program, which helps grantees implement cost-effective hazard mitigation planning and projects before disasters occur. Under the Flood Map Modernization program, FEMA developed modernized maps for over 70 percent of the Nation's population and refreshed 30 percent of the flood hazard data to meet current conditions. And through the National Flood Insurance Program (NFIP), FEMA saved an estimated \$1.4 billion in annual flood disaster losses; increased flood insurance policies by 1.4 percent, and implemented new financial management controls for the Write-Your-Own insurance companies that sell and service NFIP policies.

FEMA received an additional \$4 million and to expand its mitigation efforts during FY 2009. The additional funding allows FEMA to increase grant funding to support state earthquake mitigation activities. These additional resources support improvements in risk assessment and risk prioritization of our national dam infrastructure, further the development of a web-based repository for mitigation plans, as enhance critical activities within Mitigation's Building Science programs.

In FY 2010, FEMA will continue to transition to a multiyear mapping effort that requires a review of each flood hazards map every five years to update and refine the data. This revitalized effort will provide sound flood hazard data, align flood map updates with flood risk assessments to support stronger hazard mitigation planning, and enable broader flood risk communication crucial to a national reduction in flood risk. And for the NFIP, FEMA will continue the NFIP systems modernization effort (NextGen) to build an information technology infrastructure which streamlines the insurance process, provides faster and more accurate access to NFIP data, and provides the capability to increase policy sales and improve responsiveness to customers' claims through the use of a centralized rating engine and online claims module available via the Internet.

National Preparedness

The National Preparedness Directorate (NPD) works to ensure that the Nation is prepared for disasters of all kinds. The organization's activities reflect FEMA's expanded role in preparedness established by PKEMRA (2006). NPD houses management and administrative support functions associated with training and national exercise programs funded through the state and Local Programs appropriation. It also implements Homeland Security Presidential Directive #8 (HSPD-8) by establishing policies that strengthen national preparedness for terrorist attacks, major disasters, and other emergencies.

During FY 2008, NPD led FEMA's expanded role in National Preparedness. The Center for Domestic Preparedness (CDP) marked its tenth anniversary as a Federal training center, and trained more than 114,000 state, local and tribal emergency responders during the year. During this period, the Emergency Management Institute (EMI), revised its existing curricula to incorporate recent changes to the NRF and NIMS, and also began conducting several exercise-based NRF Integrated Emergency Management Courses (IEMCs) for regions and states to test an integrated approach to the revised NRF. FEMA developed the first set of six capabilities to test the process

and format for updating the entire Target Capabilities List (TCL) based on feedback and lessons learned from the user community to be risk-based, measurable, and user-friendly. The initial six capabilities include: Intelligence, Mass Transit Protection, On-site Incident Command, Emergency Operations Center Management / Multi-Agency Coordination, Weapons of Mass Destruction (WMD)/HazMat Rescue, and Animal Disease Emergencies.

During FY 2009, NPD continues to enhance the Nation's preparedness efforts. For example, CDP is focused on establishing new training partnerships to expand training opportunities—particular focus on the National Emergency Training Center (NETC) for expanded medical and health care professionals training. In addition, as EMI continues to develop and deliver its national-level training program and evaluate the effectiveness and the impact on public and private sector officials, it will review and realign training courses to the target capabilities listing. And Radiological Emergency Preparedness Program (REPP) to provide support and oversight to conduct, evaluate, and report findings to the Nuclear Regulatory Commission on 33 joint exercises and any associated remedial exercises.

In FY 2010, NPD is focused on improving the Nation's ability to plan, train, exercise, evaluate and improve. The nation's planning system took a significant leap forward with the development of the Comprehensive Preparedness Guide 101 for state, tribal, local planning and the Integrated Planning System for Federal planning. NPD is focused on implementing these planning systems in a coordinated manner through the FEMA Regions, and ensuring their effectiveness in the field. NPD is also prioritizing the assessment of Federal, state and local preparedness levels by developing and implementing a Comprehensive Assessment System (CAS) which will use the Target Capabilities List (TCL) to assess the nation's performance through qualitative and quantitative metrics. These assessments will be published in a National Preparedness Report (NPR), which will consolidate several reporting requirements and lessen the burden on Federal, state and local jurisdictions.

Additionally, NPD will contribute to the development of a national strategy that will guide the Nation's approach to recovering from disasters. Finally, NPD will continue to enhance its training, exercise, technological hazards and community preparedness programs to implement the National Preparedness System

Grant Programs

The Grant Programs Directorate (GPD) awards and administers funds to thousands of grant recipients annually. GPD grant programs serve the public by providing support to assist Federal, state, and local governments to prepare, prevent, plan for, and respond to acts of terrorism and major disasters. GPD also serves as the executive agent for development of grant guidance including the formulation of the risk methodology used to support grant allocations. The grant programs administered by GPD include the Homeland Security Grant Program (HSGP), Infrastructure Protection Program (IPP), Public Safety Interoperable Communications (PSIC) Grant Program, Assistance to Firefighters Grant Program (AFG), and Emergency Management Performance Grants (EMPG).

In FY 2008, FEMA awarded over \$3 billion dollars in Homeland Security Grants. This included more than \$844 million in grant funding to protect the nation's ports, rail and mass transit systems, trucking, inter-city bus systems, and other critical infrastructure from acts of terrorism. Grant awards were based on a national homeland security planning process that aligns resources with the national priorities and target capabilities established by the National Preparedness Guidelines.

FEMA also began the Cost-to-Capability (C2C) Grant Assessment process with the goal of providing detailed analysis of selected Target Capabilities across all grant programs to determine their effectiveness.

During FY 2009, FEMA is initiating several important activities to strengthen its partnership with state and local stakeholders. The Agency intends to provide additional feedback to state and local partners through customized risk and effectiveness profiles. Moreover, FEMA is launching the C2C grant assessment and providing detailed analysis of target capabilities across all grant programs to determine their effectiveness and to develop a requirements definition document that establishes a blueprint for an end-to-end system. FEMA is expanding its outreach efforts to engage stakeholders in a dialogue on its Grants Management programs and processes throughout the FY 2009 application cycle.

A significant focus for FY 2010 is the consolidation of the non-disaster grants management system and other DHS grants and financial assistance management systems into a single grants management system. This effort will improve customer service, increase standardization and streamlining of business processes and technologies and reduce overall grants management costs. DHS is completing an integration plan that includes establishing a grants management system Program Management Office (PMO) and preparing an Office of Management and Budget (OMB) Capital Asset Plan and Business Case Summary (Circular A-11, Exhibit 300).

National Capital Region Coordination

The Office of National Capital Region Coordination (NCRC) advances Homeland Security, including all hazards preparedness, in the National Capital Region. NCRC serves as a model for other regions of the country. NCRC focuses on developing and refining a common regional approach to homeland security that result in integrated strategies and interoperability among Federal, state, local, regional and private/non-profit stakeholders. NCRC's primary responsibilities include coordinating and participating in programs and initiatives aimed at enhancing the homeland security posture of the region.

U.S. Fire Administration

The U.S. Fire Administration (USFA) prepares the Nation's first responders training that focuses on evaluating and managing community risk, improving protection of critical infrastructure, and preparing for all-hazard and terrorism emergencies. During FY 2008, USFA delivered more than 4,000 training programs to 121,775 fire and emergency response personnel through its diverse delivery system and network of national training partners. In addition, USFA completed the migration of existing web-based content for NFA Online, the new web-based learning management system for distance learning training. USFA also began development of a new preparedness curriculum (6-day courses and designated 2-week resident courses) and began BETA testing the NFA's new web-based long-term evaluation system. In FY 2009 and FY 2010, USFA programs and activities will capitalize on the NFA online web-based Learning Management System (LMS) distance learning training to maximize the impact of the USFA training funding.

Key Strategic Issues

Recognizing the compelling need to improve the Nation's ability to respond to major disasters and, in particular, those of catastrophic magnitude, FEMA has worked diligently with our Federal, state, and local partners and the voluntary agency community to establish stronger partnerships, a much higher level of preparedness, and improved levels of coordination. The Agency also has reinforced the critical and enduring need for personal preparedness, to encourage individuals to prepare themselves adequately for disaster events, recognizing that better individual preparedness translates into better community preparedness and situational resilience. At the same time, we continue to work with our partners to develop a more sophisticated culture of preparedness in America.

Improved capability and performance does not just happen. It is the product of experienced leaders, necessary investments in resources, engaged and supportive partnerships at every level of government and with the public and private sectors, and the dedicated efforts of thousands of emergency management professionals across the country. It also is the product of a very clear vision and a commitment by FEMA to lead a National effort that will demonstrably enhance the practice of Emergency Management. In support of that mission, the Agency will continue to focus on partnerships across Federal departments and agencies, with states and local communities, with non-governmental and volunteer agencies, with the private sector, and with individual citizens – all to ensure a more effective national response through cooperation and collaboration.

FEMA regions continue to have an expanded role in executing the broad national mission entrusted to FEMA because their operations provide an invaluable perspective to properly shape policy and planning performed at headquarters. Regions are also uniquely situated to facilitate continuous coordination with other Federal counterparts, state and local governments, the public and private sectors, and individual citizens. Together, the enhancement of core functions combined with new missions gained through PKEMRA will enable FEMA and the Federal government to fulfill its emergency management mandate.

FEMA will capitalize on the requirements set forth within PKEMRA to exercise national leadership and provide more complete service to the American people and Federal, state, local, and tribal counterparts. Never before has such a broad scope of homeland security prevention, protection, response, and recovery missions for all hazard events resided within a single component of the Department of Homeland Security. A successfully integrated and supported FEMA will result in a nation that is prepared to reduce the loss of life and property.

C. Resources Requested and Performance Impact

The FY 2010 FEMA budget request reflects the funding required sustaining the improvements in operational response and internal capacity, supporting the Agency's efforts to achieve the mandate of PKEMRA. The FY 2010 budget request reflects \$7.3 billion in net discretionary budget authority, which is an increase of \$300 million (four percent) above the FY 2009 enacted level. These increases strengthen the Agency's ability to fund projected disaster assistance requirements, to provide adequate funding to support state and local emergency management functions, and to enhance internal staffing and systems required to support FEMA's ability to fulfill its emergency management mission.

- **Disaster Relief Fund (DRF): \$600.0M (0 FTE)**

FEMA requests an increase of \$600,000,000 for the DRF. The DRF funds the Federal response to Presidentially declared major disasters and emergencies, enables FEMA to coordinate the Federal response and reimburse agencies for their efforts through mission assignments, and otherwise enables the Federal government to respond to, recover from, and mitigate the results of specific disasters and emergencies. The following grants are awarded from the DRF to mitigate or recover from the damage of a disaster: Individual Assistance; Public Assistance; and Hazard Mitigation. This initiative will allow replenishment of the DRF to funding levels consistent with historical average for non-catastrophic disaster activity.

- **Staffing for Adequate Fire and Emergency Response (SAFER): \$210.0M (0 FTE)**

FEMA requests total funding of \$420 million, which would double the funding devoted to SAFER grants. These grants help fire departments increase the number of frontline firefighters. The goal is for fire departments to increase their staffing and deployment capabilities and ultimately attain 24-hour staffing, thus assuring that these communities have adequate protection from fire and fire-related hazards.

- **Pre-Disaster Mitigation (PDM) Grants: \$60.0M (0 FTE)**

FEMA request an additional \$60 million for the PDM grant program. This program provides technical and financial assistance to state and local governments to help implement pre-disaster hazard mitigation measures designed to reduce injuries, loss of life, damage and destruction of property. Operating independently of DRF (which provides *post*-disaster mitigation funding), the PDM program offers an annual funding source for qualified mitigation activities that are not dependent upon a declaration of disaster activity by the President. The additional funding will implement a base-plus-risk allocation program that will assist states, territories and tribes. FEMA will establish and maintain a portfolio of pre-qualified mitigation proposals that are consistent with state and local mitigation plans and priorities, deemed as technically-feasible to reduce losses to the identified hazard(s), and cost-effectiveness.

- **Underground Storage Tanks: \$10.0M (0 FTE)**

FEMA requests an additional \$10 million for repair, replacement, restoration and remediation of underground storage tanks. FEMA has an inventory of over 1,000 underground storage tanks, above-ground storage tanks, and rolling stock primarily for the storage of petroleum and petroleum based products to ensure operations during a disaster. Many of these tanks have not been properly maintained and are out of regulatory compliance. FY 2009, FEMA is systematically reviewing its entire inventory of storage tanks to determine the extent of the environmental problem, and will remediate the environmental issues as any problems are identified.

- **Data Center Migration: \$7.9 M (0 FTE)**

FEMA requests an additional \$7.9 million for its share of the FY 2010 data center development funding, which will be used for the continuation of system and application migration to the two DHS Enterprise Data Centers for central DHS management in FY 2010. This effort includes

discovery, migration planning, and scheduling activities specifically related to systems/applications that will transition to the DHS Data Centers in FY 2010. It also funds the purchase of new equipment for placement in the DHS Data Centers as part of migration/transition efforts, as well as the transition of disaster recovery/backup/Continuity of Operations (COOP) capability to DHS Data Centers.

- **Environmental Planning and Historic Preservation (EPHP): \$2.3 M (6 FTE)**

FEMA requests an additional \$2.3 million for increased staffing dedicated to EPHP. EPHP ensures that FEMA's activities and programs related to disaster response and recovery, hazard mitigation, and emergency preparedness comply with Federal environmental and historic preservations laws and Executive Orders. EPHP provides environmental and historic preservation technical assistance to FEMA staff, local, state and Federal partners, and grantees and sub-grantees. To continue to meet the program goals for Disaster Assistance, Mitigation, and Preparedness grants, the EPHP Office must increase their capability, particularly at the Regional level for proactive outreach and planning, disaster readiness, and project review.

- **Gap Analysis Program(GAP): \$3.0 M (6 FTE)**

FEMA requests an additional \$3.0 million for the GAP to supplement programs that look at the strengths and weaknesses of each state's emergency plans and evacuation plans and expand beyond earlier focus on hurricane-prone regions and rural and suburban areas.

D. Performance Highlights, Resources, and Alignment to Strategic Goals

For each major program, the performance goal, alignment to DHS goals and objectives, total dollars and FTE, and main performance measure/s are shown below.

Disaster Assistance Program Performance Goal – Help individuals and communities affected by federally declared disasters return to normal function quickly and efficiently, while planning for catastrophic disaster recovery operations.

Goal 4 - Strengthen our nation's preparedness and emergency response capabilities
Objective 4.2 - Response and Recovery

Disaster Operations Program Performance Goal – Ensure the capability and readiness of all FEMA disaster response teams and logistics capabilities to respond quickly and effectively to provide assistance when and where needed.

Goal 4 - Strengthen our nation's preparedness and emergency response capabilities
Objective 4.2 - Response and Recovery

Logistics Management Program Performance Goal – Ensure Logistics Management capabilities to include management of all-source range of assets, teams, equipment and supplies are available to respond to federally declared disasters quickly and efficiently.

Goal 4 - Strengthen our nation's preparedness and emergency response capabilities
Objective 4.2 - Response and Recovery

National Continuity Program Performance Goal - Ensure all Federal Departments and Agencies have fully operational Continuity of Operations (COOP) and Continuity of Government (COG) capabilities.

Goal 3 – Protect critical infrastructure

Objective 3.2 – Ensure continuity of government communications and operations

Mitigation Program Performance Goal - Reduce the impact of natural hazards on people and property through the analysis and reduction of risks and the provision of flood insurance.

Goal 4 - Strengthen our nation’s preparedness and emergency response capabilities

Objective 4.1 – Preparedness

Grants Program Performance Goal – Enhance the Nation's preparedness by increasing the capability of states, territories, and local jurisdictions to prevent, protect against, respond to, and recover from terrorism and all-hazard events through the provision of grants, first responder training, technical assistance, and exercises.

Goal 4 - Strengthen our nation’s preparedness and emergency response capabilities

Objective 4.1 – Ensure preparedness

National Preparedness Performance Goal – Help ensure the nation is ready to respond to and recover from acts of terrorism, natural disasters, or other emergencies through implementation of the National Incident Management System (NIMS) and the provision of emergency management training.

Goal 4 - Strengthen our nation’s preparedness and emergency response capabilities

Objective 4.1 – Ensure Preparedness

Fire and Emergency Assistance Performance Goal – Maximize the health and safety of the public and firefighting personnel against fire and fire-related hazards by providing assistance to fire departments and by training the Nation’s fire responders and health care personnel to prevent, protect against, respond to, and recover from fire-related events.

Goal 4 - Strengthen our nation’s preparedness and emergency response capabilities

Objective 4.1 – Ensure Preparedness

For each major program, the performance goal, main performance measures, indicators, budget, including allocation of non-programmatic overhead, and FTE are shown below. A complete listing of performance measures may be found at Expectmore.gov. In a few instances program names in PARTweb may differ slightly from those used in the Performance Budget.

Program: Disaster Assistance						
Performance Goal: Help individuals and communities affected by federally - declared disasters return to normal function quickly and efficiently, while planning for catastrophic disaster recovery operations.						
DHS strategic objectives supported and % allocation of activities: 4.2 - 100%						
Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$33,812,600	\$20,730,361	\$5,104,310	\$11,595,049	\$1,886,121	\$1,942,724
FTE	4,406	6,995	3,191	3,227	3,520	3,643

Performance Plan Measures

Measure: Percent of customers satisfied with Public Recovery Assistance						
Description: This measure reflects the percent of communities affected by disaster or other emergencies who indicate satisfaction with the Public Disaster Recovery Assistance provided by FEMA on a customer survey. Disaster Recovery Assistance includes debris removal, emergency protective measures, and repair or replacement of damaged infrastructure. FEMA conducts a series of Program Evaluation and Customer Satisfaction Surveys each Fiscal Year to gather data on customer satisfaction with performance in specific program areas, including Public Recovery efforts that are used to track improvement in operations and identify areas in need of attention. These areas surveyed include: Overall Program and Process, Project Worksheet Process, Information Dissemination, Public Assistance Administrative Burden, Timely Service and Staff Performance						
Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	87%	88%	88%	90%	90%	90%
Actual	Data Not Available	88%	88%	90%	N/A	N/A

Measure: Percent of customers satisfied with Individual Recovery Assistance						
Description: This measure indicates the percent of Americans affected by disaster or other emergency who express satisfaction with the Individual Disaster Recovery Assistance provided by FEMA. Recovery assistance helps individuals affected by disasters and emergencies return to normal quickly and efficiently.						
Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	90%	90%	91%	92%	93%	94%
Actual	93%	91%	92.2%	92.7%	N/A	N/A

Program: Disaster Operations						
Performance Goal: Provide the core Federal operational capabilities needed to save lives, minimize suffering, and protect property in a timely and effective manner in communities overwhelmed by acts of terrorism, natural disaster, or other emergencies.						
DHS strategic objectives supported and % allocation of activities: 4.2 - 100%						
Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$9,468,000	\$1,115,945	\$465,967	\$223,181	\$224,199	\$230,927
FTE	1,554	801	986	1,070	1,058	1,100

Performance Plan Measures

Measure: Percent of response teams reported at operational status.						
Description: The percent of FEMA's response teams indicating they are ready to respond quickly and effectively to acts of terrorism, natural disasters, and other emergencies. This measure tracks the readiness of three types of teams: the 28 task forces of Urban Search and Rescue (USR); the five Mobile Emergency Response Support (MERS) detachments; and the two Federal Incident Management Assist Teams (IMATs).						
Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	50%	85%	88%	91%	94%	97%
Actual	50%	85%	88%	93%	N/A	N/A

Program: Logistics Management						
Performance Goal: Improve the response to domestic emergencies and special events by ensuring logistics management capabilities exist to provide the full - range of necessary assets.						
DHS strategic objectives supported and % allocation of activities: 4.2 - 100%						
Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	None	\$4,062,146	\$33,831	\$171,265	\$192,977	\$198,768
FTE	None	1,566	155	168	166	173

Performance Plan Measures

Measure: Percent of complete - site inventories conducted at pre - positioned disaster response storage locations						
Description: This measure demonstrates the percentage of inventories completed annually at the Federal Emergency Management Agency distribution centers and temporary housing unit sites. These inventories are whole - site inventories and include all items at each location. Items to be inventoried include classified, sensitive or consumable items regardless of value that are in storage.						
Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	None	None	None	None	90%	92%
Actual	None	None	None	None	N/A	N/A

Program: National Continuity Programs						
Performance Goal: Ensure all Federal Departments and Agencies have fully operational Continuity of Operations and Continuity of Government capabilities.						
DHS strategic objectives supported and % allocation of activities: 3.2 - 100%						
Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$60,600	\$129,342	\$157,770	\$165,770	\$190,099	\$195,804
FTE	132	227	309	335	332	345

Performance Plan Measures

Measure: Percent of fully operational Continuity of Government (COG) capabilities						
Description: The percentage of federal departments and agencies that have developed and exercised plans to ensure the continuity of government operations and essential functions in the event of crisis or disaster.						
Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	80%	70%	80%	90%	90%	90%
Actual	20%	70%	80%	72%	N/A	N/A

Measure: Percent of Federal departments and agencies with fully operational Continuity of Operations (COOP) capabilities						
Description: The National Continuity Program works with Federal departments and agencies to develop and exercise plans that ensure the continuation of federal operations and the continuity and survival of an enduring constitutional government. COOP capable is being able to perform essential functions from an alternate location. Agencies perform self - assessments of COOP plans using the COOP self - assessment tool. This ensures the agencies are aware of their COOP capability. The program collects the results of exercises and self - assessments to measure the percentage of departments and agencies that have in place the necessary plans and capabilities.						
Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	90%	95%	100%	100%	100%	75%
Actual	90%	95%	100%	100%	N/A	N/A

Program: Mitigation						
Performance Goal: Reduce the impact of natural hazards on people and property through the analysis and reduction of risks and the provision of flood insurance.						
DHS strategic objectives supported and % allocation of activities: 4.1 - 100%						
Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$6,389,315	\$4,648,200	\$3,701,083	\$1,365,069	\$782,655	\$806,143
FTE	936	1,322	962	1,044	1,033	1,073

Performance Plan Measures

Measure: Percent of the national population whose safety is improved through the availability of flood risk data in Geospatial Information System (GIS) format.						
Description: This measure reports the cumulative percent of the national population that has updated digital flood risk data available online for their community. This digital data replaces old - fashioned paper flood maps. There are some communities representing eight percent of the population, with little to no flood risk that will not be mapped.						
Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	50%	50%	60%	70%	80%	92%
Actual	38.6	47.7%	60%	71%	N/A	N/A

Measure: Potential property losses, disasters, and other costs avoided						
Description: This measure reports the estimated dollar value of losses to the American public which are avoided or averted through a strategic approach of natural hazard risk management. Losses are avoided to property (buildings and infrastructure) through the provision of: 1) Financial and technical assistance to States, territories, tribes, and communities to implement pre - identified, cost effective mitigation measures (via Hazard Mitigation Assistance grants); 2) Sound floodplain management; and 3) State-of-the-art building science technologies, guidance and expertise for natural and man - made hazards (Disaster Resistant Building Sciences), thus protecting American citizens from disasters through assistance, education, and technology. A Multi - Hazard Mitigation Council reported that mitigation saves society an average of four dollars for every dollar spent.						
Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	\$1.757	\$2.27B	\$2.40B	\$2.10B	\$2.2B	\$2.3B
Actual	\$1.895	2.30B	2.61B	2.53B	N/A	N/A

Program: National Preparedness						
Performance Goal: Improve the Nations ability to prepare for, respond to, and recover from acts of terrorism, natural disasters, or other emergencies through exercise facilitation, implementation of the National Incident Management System, and the provision of emergency management training.						
DHS strategic objectives supported and % allocation of activities: 4.1 - 100%						
Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$136,300	\$210,551	\$393,238	\$487,152	\$389,568	\$401,259
FTE	620	340	517	561	555	577

Performance Plan Measures

Measure: Percent of respondents reporting they are better prepared to deal with disasters and emergencies as a result of training						
Description: This measure reports the percent of students attending training at the Emergency Management Institute (EMI) and FEMA's Employee Development program who responded to a survey						

indicating that they are better prepared to deal with disasters and emergencies as a result of the training they received. Training is conducted at the EMI dedicated training facility in Emmetsburg, MD, and also at the Noble Training Center in Anniston, AL, as well as online. This training provides Federal, State, local and tribal officials having key emergency responsibilities with the knowledge and skills needed to strengthen nationwide preparedness and respond to, recover from, and mitigate against acts of terrorism, natural disasters, and other emergencies.

Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	None	None	91%	90%	92%	93%
Actual	None	None	89%	92.9	N/A	N/A

Measure: Percent of analyzed capabilities performed acceptably in preparedness and response exercises.

Description: This measure indicates the percent of Federal, State, and local entities that were rated acceptable on Homeland Security Exercise and Evaluation Program (HSEEP) preparedness and response exercises. The Office of Grants and Training (GT) funds and supports national emergency preparedness exercises at the Federal, State, and local levels following HSEEP guidance and processes. During an exercise, a jurisdiction is required to implement its critical capabilities under circumstances as close as possible to an actual emergency. Exercises are evaluated using capabilities as described by the Homeland Security Exercise and Evaluation Program. Exercises expose areas of strength, weaknesses in plans and abilities, and areas of possible improvement, and are the most cost - effective and accessible means of demonstrating whether or not a jurisdiction has attained a desired level of emergency capabilities.

Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	None	None	None	40%	78%	81%
Actual	None	None	None	65.3%	N/A	N/A

Measure: Percent of Radiological Emergency Preparedness Program communities with a nuclear power plant that are fully capable of responding to an accident originating at the site.

Description: This measure reports the percent of U.S. communities surrounding a nuclear power plant that are prepared and capable of responding to and recovering from an accident or terrorist attack. This assessment is based on first responder performance in exercises conducted at the facilities.

Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	89%	100%	100%	100%	100%	100%
Actual	None	100%	100%	100%	N/A	N/A

Measure: Percent of Federal, State, local and tribal governments compliant with the National Incident Management System (NIMS)

Description: This measure tracks the percent of critical partners who are compliant with the National Incident Management System (NIMS). Critical partners include Federal agencies, State, local and tribal governments. Federal Agencies are required to identify a point of contact within their agency to act as a liaison with NIMS Integration Center, create a NIMS Implementation Plan, incorporate NIMS into their respective Emergency operations Plans, and train all appropriate personnel in the NIMS standard training curriculum. States are required to submit self - certification of compliance based on 23 compliance requirements in the NIMCAST system. FEMA's Headquarters office monitors and verifies NIMS compliance for the States and U.S. Territories.

Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	100%	100%	100%	100%	100%	100%
Actual	82%	100%	100%	95%	N/A	N/A

Measure: Percent increase in knowledge, skills, and abilities (KSAs) of State and local homeland security preparedness professionals receiving training

Description: This measure evaluates the gain in knowledge, skills, and abilities (KSA) of students through pre and post course assessments of State and local homeland security professionals after the completion of training, which demonstrates strengthened first responder preparedness and mitigation with

respect to acts of terrorism, natural disasters, and other emergencies. Measuring these improvements indicates the impact of training services on the Nation's preparedness level.						
Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	37%	38%	27%	27%	28%	28%
Actual	38.5%	27%	25%	27%	N/A	N/A

Program: Grants Program						
Performance Goal: Enhance the Nation's preparedness by increasing the capability of States, territories, and local jurisdictions to prevent, protect, respond, and recover from terrorism and all - hazard incidents.						
DHS strategic objectives supported and % allocation of activities: 4.1 - 100%						
Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$2,871,718	\$2,683,809	\$3,354,555	\$3,825,286	\$3,425,412	\$3,573,339
FTE	62	184	216	234	232	241

Performance Plan Measures

Measure: Percent of States and territories accredited by the Emergency Management Accreditation Program						
Description: The Emergency Management Accreditation Program (EMAP) is a voluntary review process for State and local emergency management programs. The goal of EMAP is to provide a meaningful, voluntary accreditation process for State, territorial, and local programs that have the responsibility of preparing for and responding to disasters. By offering consistent standards and a process through which emergency management programs can demonstrate compliance, EMAP will strengthen communities' capabilities in responding to all types of hazards and encourage an examination of jurisdictions strengths and weaknesses, pursuit of corrective measures, and communication and planning among different sectors of government and the community.						
Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	None	None	None	Baseline	40%	45%
Actual	None	None	None	None	N/A	N/A

Measure: Percent of grantees reporting significant progress toward the goals and objectives identified in their State homeland security strategies						
Description: This measure reflects grantees' progress toward the goals and objectives identified in their State homeland security strategies. These strategies detail jurisdictions' plans to strengthen their preparation for and response to acts of terrorism, as well as natural and man - made threats. Grantees can also provide written comments on the program and highlight "best practices" and major initiatives in the State as a result of grant funding. Progress toward homeland security strategies provides an over - arching assessment of grantees' ability to coordinate emergency management efforts.						
Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	None	None	Baseline (25%)	26%	69%	71%
Actual	None	None	67%	26%	N/A	N/A

Measure: Percent of significant progress toward implementation of National Preparedness Priorities.						
Description: Outcome measure which indicates the degree of progress states are making on national priorities set forth in the National Preparedness Goal. States will make progress on different priorities at different rates. An increase indicates improvement and also indicates an improvement in the area of building the culture of preparedness based on progress against a common set of priorities. Implementation is monitored by Preparedness Officers.						
Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	None	None	Baseline	25%	73%	76%

Actual	None	None	77%	51.6%	N/A	N/A
---------------	------	------	-----	-------	-----	-----

Measure: Percent reduction in firefighter injuries in jurisdictions receiving Assistance to Firefighter Grants funding compared to the national average.						
Description: This measure compares the percent reduction in fighter injuries in jurisdictions that receive Assistance to Firefighter Grants (AFG) to the average percent reduction in firefighter injuries nationwide. The measure assesses improvements in firefighter safety in jurisdictions that receive AFG funding. Comparing AFG - funded jurisdictions to the national average shows the impact of AFG awards on reducing firefighter injuries. The measure specifically focuses on line - of - duty firefighter injuries, not any injury that a firefighter may have.						
Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	None	None	15.5%	18%	21%	24%
Actual	None	None	44.3%	18%	N/A	N/A

Program: U.S. Fire Administration						
Performance Goal: Reduce the effect of fire and all hazard emergencies by supporting and enhancing the delivery of state and local fire and emergency services and promoting public preparedness.						
DHS strategic objectives supported and % allocation of activities: 4.1 - 100%						
Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$715,000	\$699,109	\$41,349	\$43,300	\$44,979	\$45,588
FTE	None	148	114	43	43	44

Performance Plan Measures

Measure: The per capita loss of life due to fire in the U.S.						
Description: This measure analyzes the reduction in the rate of loss of life from fire - related events by one percent per year. It examines the fatalities in the U.S. per million population using modified targets based on the review of historical data. The National Fire Protection Association (NFPA) reports data in September for the previous year. NFPA Survey data are analyzed to produce the report on fire related civilian fatalities.						
Fiscal Year	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	None	13.5	13.1	13.0	12.9	12.7
Actual	None	12.4	13.1	11.4	N/A	N/A

E. Digest Tables by Future Year Homeland Security Program (FYHSP) Program

Digest of the FY 2010 Budget Estimates by Activity and FYHSP Program (dollars in thousands)						
FYHSP Program	FY 2008 Revised Enacted*		FY 2009 Enacted		FY 2010 Request	
	FTE	Amount	FTE	Amount	FTE	Amount
Logistics Management	168	171,265	166	192,977	173	198,768
Disaster Assistance	3,227	11,595,049	3,520	1,886,121	3,643	1,942,724
Disaster Operations	1,070	223,181	1,058	224,199	1,100	230,927
Grants Program	234	3,825,286	232	3,425,412	241	3,573,339
National Preparedness	561	487,152	555	389,568	577	401,259
U.S. Fire Administration	43	43,300	43	44,979	44	45,588
National Continuity Programs	335	165,770	332	190,099	345	195,804
Mitigation	1,044	1,365,069	1,033	782,655	1,073	806,143
Total Budget Authority	6,683	17,876,072	6,938	7,136,010	7,196	7,394,552

Department of Homeland Security

U.S. Citizenship & Immigration Services



Fiscal Year 2010

Overview

Congressional Justification

i. Summary of FY 2010 Budget Estimates by Appropriation

Department of Homeland Security
U.S. Citizenship & Immigration Services
 Summary of FY 2010 Budget Estimates by Appropriation
 Total Appropriations
 (Dollars in Thousands)

Budget Activity	FY 2008 Actuals		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010						
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base		
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	
Appropriations:													
Asylum and Refugee Services / Military Naturalizations	---	---	---	---	744	206,000	744	206,000	744	206,000	---	0	
Immigrant Integration	---	---	---	---	2	10,000	2	10,000	2	10,000	---	---	
Data Center Development	---	---	---	---	---	11,000	---	11,000	---	11,000	---	---	
Real-ID	---	---	2	50,000	2	25,000	---	(25,000)	---	---	---	(25,000)	
E-Verify	126	62,480	228	100,000	295	112,000	67	12,000	40	10,000	27	2,000	
Citizenship Education Grants	---	450	---	1,200	---	---	---	(1,200)	---	---	---	(1,200)	
Benefit Parole Programs	5	519	5	540	---	---	(5)	(540)	---	---	(5)	(540)	
Business Transformation	---	21,618	---	---	---	---	---	---	---	---	---	---	
FBI Background Checks	---	23,000	---	---	---	---	---	---	---	---	---	---	
Fee Account:													
Adjudication Services													
Pay & Benefits	7,433	723,262	8,231	816,934	7,719	801,850	(512)	(15,084)	---	---	(512)	(15,084)	
District Operating Expenses	---	636,402	---	541,399	---	536,311	---	(5,088)	---	---	---	(5,088)	
Service Center Operating Expenses	---	299,047	---	321,891	---	317,300	---	(4,591)	---	---	---	(4,591)	
Asylum/Refugee Operating Expenses	---	84,008	---	93,793	---	47,448	---	(46,345)	---	---	---	(46,345)	
Records Operating Expenses	---	99,391	---	85,659	---	76,668	---	(8,991)	---	---	---	(8,991)	
Business Transformation	---	30,156	---	139,000	---	173,264	---	34,264	---	---	---	34,264	
Information and Customer Services													
Pay & Benefits	895	65,731	1,070	78,935	1,070	88,063	---	9,128	---	---	---	9,128	
Customer Service Center Operating Expenses	---	51,216	---	53,110	---	51,755	---	(1,355)	---	---	---	(1,355)	
Information Services Operating Expenses	---	19,095	---	17,013	---	14,370	---	(2,643)	---	---	---	(2,643)	
Administration													
Pay & Benefits	467	61,341	665	90,298	686	98,674	21	8,376	---	---	21	8,376	
Operating Expenses	---	274,350	---	282,336	---	276,182	---	(6,154)	---	---	---	(6,154)	
SAVE	107	13,376	161	18,818	182	21,347	21	2,529	---	---	21	2,529	
Total Enacted Appropriations and Budget Estimates	9,033	\$2,465,443	10,362	\$2,690,926	10,700	2,867,232	338	176,306	786	\$237,000	(448)	(\$60,692)	

1/ FY08 actual FTE for the Immigration Examinations Fee Account (IEFA) includes Surge workhours

2/ FY 2009 enacted excludes additional spending authority approved in the reprogramming: \$170M for IEFA, \$12.5M for Fraud Prevention and Detection, and \$2M for H-1B Nonimmigrant Petitioner.

ii. Homeland and Non-Homeland Allocation

**Department of Homeland Security
U.S. Citizenship & Immigration Services
Homeland and Non-Homeland Allocation by Program/Project Activity
(Dollars in Thousands)**

Budget Activity	2008 Actuals						2009 Enacted						2010 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Salaries and Expenses	---	\$0	131	\$108,068	131	\$108,068	---	\$0	235	\$151,740	235	\$151,740	---	\$0	1,043	\$364,000	1,043	\$364,000
Asylum and Refugee Services / Military Naturalizations	---	---	---	---	---	---	---	---	---	---	---	---	---	---	744	206,000	744	206,000
Immigrant Integration	---	---	---	---	---	---	---	---	---	---	---	---	---	---	2	10,000	2	10,000
Data Center Development	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	11,000	---	11,000
Real-ID	---	---	---	---	---	---	---	2	50,000	2	50,000	---	---	2	25,000	2	25,000	
E-Verify	---	---	126	62,480	126	62,480	---	---	228	100,000	228	100,000	---	---	295	112,000	295	112,000
Citizenship Education Grants	---	---	---	450	---	450	---	---	---	1,200	---	1,200	---	---	---	---	---	---
Benefit Parole Programs	---	---	5	519	5	519	---	---	5	540	5	540	---	---	---	---	---	---
Business Transformation	---	---	---	21,618	---	21,618	---	---	---	---	---	---	---	---	---	---	---	---
FBI Background Checks	---	---	---	23,000	---	23,000	---	---	---	---	---	---	---	---	---	---	---	---
Total Direct Appropriations and Budget Estimates	---	---	131	108,068	131	108,068	---	---	235	151,740	235	151,740	---	---	1,043	364,000	1,043	364,000
Fee Accounts	---	---	8,902	2,357,375	8,902	2,357,375	---	---	10,127	2,539,186	10,127	2,539,186	---	---	9,657	2,503,232	9,657	2,503,232
Immigration Examinations Fee	---	---	8,802	2,325,077	8,802	2,325,077	---	---	9,947	2,495,186	9,947	2,495,186	---	---	9,471	2,451,884	9,471	2,451,884
H-1B Nonimmigrant Petitioner	---	---	---	12,865	---	12,865	---	---	---	13,000	---	13,000	---	---	---	13,000	---	13,000
Fraud Prevention and Detection	---	---	100	19,433	100	19,433	---	---	180	31,000	180	31,000	---	---	186	38,348	186	38,348

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

**Department of Homeland Security
U.S. Citizenship & Immigration Services**

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2009	2/13/2009	PL. 110-161	1st Qtr. - FY 09 Backlog Elimination Status Report: CIS to continue to report quarterly on the status of application processing and the backlog reduction plan.	Final report submitted to Congress on 04/20/2009.

iv. Schedule of Authorized/Unauthorized Appropriations by PPA

**Department of Homeland Security
U.S. Citizenship & Immigration Services**

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

Budget Activity	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2010 Request
	Fiscal Year	Amount	Amount	Amount
Salaries and Expenses		631,745	707,392	364,000
INS Citizenship Services	2002	631,745	707,392	364,000
Total Direct Authorization/Appropriation		\$631,745	\$707,392	\$364,000
Fee Accounts		---	---	2,503,232
Immigration Examinations Fee		---	---	2,451,884
H-1B Nonimmigrant Petitioner		---	---	13,000
Fraud Prevention and Detection		---	---	38,348

v. PPA Restructure

**Department of Homeland Security
U.S. Citizenship & Immigration Services
Revised PPA Crosswalk Proposal**

Current Budget Structure	Revised Enacted /1	Crosswalk to Proposed Revised Structure		
<u>Appropriations:</u>				
E-Verify	\$100,000			
Benefit parole programs	\$540			
Citizenship education grants	\$1,200			
REAL ID Act implementation	\$50,000			
Subtotal:	\$151,740			\$0
<u>Adjudication services (fee account):</u>				
Pay and benefits	\$837,670	District Operations	-\$543,929	
		Service Center Operations	-\$186,250	
		International Operations	-\$81,747	
		Records Operations	-\$25,744	
District operations	\$546,848			
Service center operations	\$347,108			
Asylum, refugee and international operations	\$93,020			
Records operations	\$102,690			
Business transformation	\$252,058			
Subtotal:	\$2,179,394			-\$837,670
<u>Information and customer services (fee account):</u>				
Pay and benefits	\$78,935	Information Services	-\$19,542	
		District Operations	-\$34,990	
		Service Center Operations	-\$21,253	
		International Operations	-\$3,150	
National Customer Service Center	\$53,563			
Information services	\$17,013			
Subtotal:	\$149,511			-\$78,935
<u>Administration (fee account):</u>				
Pay and benefits	\$90,299	Administration	-\$90,299	
Operating expenses	\$285,835			
Subtotal:	\$376,134			-\$90,299
SAVE (fee account):	\$18,818			
TOTAL:	\$2,875,597			-\$1,006,904
		Proposed Revised Budget		
			Revised Enacted /1	FY 2010 Request
		Crosswalk from Current Structure		
<u>Appropriations:</u>				
E-Verify	\$100,000		\$100,000	\$112,000
Data center development				\$11,000
Immigrant integration				\$10,000
REAL ID Act implementation	\$50,000		\$50,000	\$25,000
Asylum/Refugee and Military Naturalizations				\$206,000
Benefit parole programs	\$540		\$540	
Citizenship Education Grants	\$1,200		\$1,200	
Subtotal:	\$151,740		\$151,740	\$364,000
<u>Fee Accounts:</u>				
District operations	\$546,848	Pay & Benefits	\$578,919	\$1,125,767
Service center operations	\$347,108	Pay & Benefits	\$207,503	\$549,623
International operations ^{/2}	\$93,020	Pay & Benefits	\$84,897	\$64,587
Records operations	\$102,690	Pay & Benefits	\$25,744	\$107,113
Business transformation	\$252,058			\$173,264
Information and Customer Service ^{/3}	\$70,576	Pay & Benefits	\$19,542	\$89,050
Administration	\$285,835	Pay & Benefits	\$90,299	\$365,932
SAVE	\$18,818		\$18,818	\$21,346
Subtotal:	\$1,716,953		\$1,006,904	\$2,503,232
		TOTAL:	\$2,875,597	\$2,867,232

1/ FY 2009 revised enacted reflects reprogramming level.

2/ Proposed name change in FY 2010 from Asylum, refugee and international operations to International operations based on proposed fee reform initiative which will fund asylum and refugee operations out of appropriations.

3/ Proposed name change in FY 2010 to combine National Customer Service Center and Information Services to Information and Customer Service.

Justification

The primary purpose of the proposed restructuring is to eliminate the depicted breakout between pay and non-pay line items. Combining pay and benefits lines with general expenses lines will reduce the need to seek reprogrammings for smaller, inconsequential movements of resources. These movements in the recent past related mostly to re-estimates of costs for either category which had virtually no significant effect on program or policy direction such as updated estimates on payroll costs or the reclassification of employees between PPA line items. USCIS fully intends to continue to execute and monitor annual resources with breakouts between pay and non-pay. For changes that have a significant program, resource, or policy implications, USCIS will continue to keep the Committee apprised irrespective of the line item breakout.

In addition to the pay/non-pay change, some of the titles of individual lines are adjusted to reflect current budget proposals. Finally, the restructuring proposes to combine the current "National Customer Service Center" and "Information Services" line items into a single line for "Information and Customer Services", which mirrors the name of the current organization within USCIS which utilizes the funding within both lines.

Department of Homeland Security

U.S. Citizenship & Immigration Services

Salaries and Expenses



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. CITIZENSHIP & IMMIGRATION SERVICES SALARIES AND EXPENSES

I. Appropriation Overview

A. Mission Statement for Salaries and Expenses:

The U.S. Citizenship and Immigration Services (USCIS) will secure America's promise as a nation of immigrants by providing accurate and useful information to our customers, granting immigration and citizenship benefits, promoting an awareness and understanding of citizenship, and ensuring the integrity of the immigration system. USCIS has established six goals: (1) ensure the security and integrity of the immigration system, (2) provide efficient customer-oriented immigration benefits and information services, (3) increase understanding of citizenship and its privileges and responsibilities, (4) ensure flexible and sound immigration policies and programs that meet the needs and obligations of the nation, including our international treaties on humanitarian protection and trade, (5) strengthen the infrastructure necessary to achieve USCIS' mission, and (6) operate as a high-performance organization and position USCIS as an employer of choice.

USCIS is a component of the Department of Homeland Security (DHS) that facilitates legal immigration for people seeking to enter, reside, or work in the United States. USCIS possesses the authority to grant or deny immigration benefits – approving over six million immigration benefits each year. These immigration benefits range from work authorization documents to asylum and refugee applications, to petitions for immediate relatives to immigrate to the United States.

The Salaries and Expenses account encompasses the organization's discretionary funding, including support for the E-Verify program. E-Verify is an automated system that allows U.S. employers to electronically verify names, dates of birth (DOB), and social security numbers (SSN), along with immigration information for non-citizens, against Federal databases to ensure the employment eligibility of both citizen and non-citizen new hires.

Starting in FY 2010, the Budget requests funding in this account for the operations of the Refugee and Asylum Divisions, five percent of the International Operations Division, Military Naturalizations, the cost of processing Adjustment of Status (I-485) applications for refugees, which are exempt from fees by law, the Benefit Parole Program, and an associated share of indirect overhead expenses as determined by the biannual fee review. In FY 2010, USCIS is requesting appropriated resources to eliminate the Asylum/Refugee and Military Naturalization surcharge on non-exempt applications and petitions in the Immigration Examinations Fee Account.

B. Budget Activities:

The salaries and expenses appropriation funds activities related to maintaining operational support of E-Verify as well as expanding staffing levels to monitor and ensure compliance with U.S.

immigration and employment laws. Funding is also requested to support the information sharing and verification requirements of the REAL ID Act, an Immigrant Integration initiative designed to help immigrants adjust to life in the United States, and support for DHS Data Center Development. In FY 2010, USCIS is requesting appropriated resources to fund the Asylum/Refugee surcharge and the cost of Military Naturalizations.

C. Budget Request Summary:

USCIS requests 1,084 positions, 1,043 FTE and \$364,000,000 for the FY 2010 Salaries and Expenses Request. The total change from FY 2009 enacted is an increase of 808 FTE and \$212,260,000. This amount includes one-time decreases of \$25,000,000 to the REAL ID program and \$1,200,000 for the Citizenship Education grants. Program increases include 80 positions, 40 FTE and \$10,000,000 for enhancements to E-Verify. USCIS is also requesting \$206,000,000 in new funding to cover the estimated current services cost for 744 positions/FTE, principally performing asylum, refugee, and humanitarian parole activities, military naturalizations, and five percent of international operations. These activities were previously funded through the Immigration Examinations Fee account. The FY 2010 request also includes 3 positions, 2 FTE, and \$10,000,000 for a new Immigrant Integration initiative. Finally, \$11,000,000 is included in the request to support DHS data center development.

D. Proposed PPA Structure:

The revised PPA structure proposed by USCIS does not impact the Salaries and Expenses account.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
U.S. Citizenship & Immigration Services
Salaries and Expenses
 Summary of FY 2010 Budget Estimates by Program/Project Activity
 (Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 President's Budget		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Asylum and Refugee Services / Military Naturalizations	---	---	---	---	744	206,000	744	206,000	744	206,000	---	---
Immigrant Integration	---	---	---	---	2	10,000	2	10,000	2	10,000	---	---
Data Center Development	---	---	---	---	---	11,000	---	11,000	---	11,000	---	---
REAL-ID	---	---	2	50,000	2	25,000	---	(25,000)	---	---	---	(25,000)
E-Verify	126	62,480	228	100,000	295	112,000	67	12,000	40	10,000	27	2,000
Citizenship Education Grants	---	450	---	1,200	---	---	---	(1,200)	---	---	---	(1,200)
Benefit Parole Programs	5	519	5	540	---	---	(5)	(540)	---	---	(5)	(540)
Business Transformation	---	21,618	---	---	---	---	---	---	---	---	---	---
FBI Background Checks	---	23,000	---	---	---	---	---	---	---	---	---	---
Total, Enacted Appropriations and Budget Estimates	131	108,067	235	\$151,740	1,043	\$364,000	808	212,260	786	\$237,000	22	(\$24,740)

III. Current Services Program Description by PPA

Department of Homeland Security
U.S. Citizenship and Immigration Services
Salaries and Expenses
Program Performance Justification
 (Dollars in thousands)

PPA: E-VERIFY

	Perm. Pos.	FTE	Amount
2008 Actual ^{/1}	255	126	\$62,480
2009 Enacted	255	228	\$100,000
2010 Adjustments-to-Base	0	27	\$2,000
2010 Current Services	255	255	\$102,000
2010 Program Change	80	40	\$10,000
2010 President's Budget	335	295	\$112,000
Total Change 2009-2010	80	40	\$12,000

1/ FY 2008 Actual includes emergency funding of \$60M provided in P.L. 110-161 for this activity.

USCIS requests \$112 million, 335 positions, and 295 FTE for this activity. The adjustment-to-base increase is \$2 million. This reflects the funding necessary to maintain current service levels from the FY 2009 enacted, and includes \$748,000 for pay inflation. In addition, there is an increase of 80 positions, 40 FTE, and \$10 million for enhancements.

CURRENT SERVICES PROGRAM DESCRIPTION:

USCIS re-branded the Employment Eligibility Verification Basic Pilot program in August 2007 and the program is now called E-Verify. E-Verify is a program within USCIS' National Security, Records and Verification Directorate that allows employers to use a free, automated system to run employment authorization checks for newly hired employees against DHS, Social Security Administration (SSA) and Department of State databases.

The E-Verify program was established by the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (IIRIRA) and is based on the Employment Eligibility Verification Form (Form I-9). The Form I-9 was created for employers to use when verifying the identity and employment eligibility of employees in accordance with the Immigration Reform and Control Act of 1986 (IRCA), which mandated that all U.S. employers verify that employees hired after November 6, 1986 are both work-eligible and in possession of valid work authorization documents. With a few exceptions, the Form I-9 must be completed for all newly-hired employees regardless of citizenship or national origin.

E-Verify is the best available means for confirming an employee's authorization to work in the United States. Employers enter information from the Form I-9 into the internet-based E-Verify program and electronically check that information against Federal Government databases. This is accomplished through use of the Verification Information System (VIS) database. VIS consists of an integrated database that both pulls verification data from other related agency systems as well as processes

verification requests. USCIS has added database system capacity to match anticipated future query growth and developed a plan to migrate VIS to a government controlled data center.

In September 2007, E-Verify launched a photo tool feature to combat false positives related to identity theft through immigration document fraud. The tool allows an employer to match the employee-provided document photo (for the Form I-9) to the photo on file with that document's issuing agency. The photo tool prevents counterfeit or photo-substituted documents from being used to verify employment eligibility through E-Verify. The photo tool currently includes Permanent Resident Card ("Green Card") and Employment Authorization Document (EAD) photographs, both DHS-issued identity documents.

Over the last few years, voluntary program use has increased significantly. E-Verify maintains an outreach and advertising campaign to increase the number of employers using the program and developed a customer contact center to provide additional channels of communication for E-Verify users. Employer participation estimates predict 132,000 registered employer MOUs with 528,000 hiring sites using the system with a planning estimate of approximately 12.4 million E-Verify queries in FY 2009.

To detect and deter improper system use E-Verify created a Monitoring and Compliance (M&C) unit. M&C staff identify behaviors that indicate potential system misuse, such as document fraud (multiple social security numbers or A-Numbers in the system), discrimination (prescreening, verifying existing workforce), privacy compromise (password sharing), and procedural non-compliance (failure to complete training). M&C reviews this data to identify pertinent incidences and patterns. In addition, M&C has developed Standard Operating Procedures (SOPs) to conduct compliance through a series of escalating actions ("touches") to include emails, letters, calls, desk audits, site visits, and referrals to enforcement agencies. E-Verify has established relationships with our enforcement partners—U.S. Immigration and Customs Enforcement (ICE) and the Office of Special Counsel for Immigration Related Unfair Employment Practices (OSC) in the Department of Justice—and refers cases of immigration related non-compliance that fall under their jurisdiction. USCIS signed an MOU with ICE in December 2008 formalizing an information exchange for enforcement and partnership assistance involving egregious cases. USCIS drafted an MOU with OSC, but prioritizes building a significant evidentiary case for discrimination case referrals. The E-Verify program has responded to over 50 external data requests from ICE and OSC to date.

While current monitoring and compliance efforts are primarily ad hoc and dependent upon a manual process, E-Verify is actively developing ways to augment this current process by implementing a Compliance Tracking and Management System (CTMS) tool, and establishing business requirements for a Data Analysis System (DAS) capable of automatically detecting discrimination and fraud patterns using data discovery techniques. CTMS will allow M&C staff to assign cases to field staff, group cases by incident, employer and other identifiers, and safely store Personally Identifiable Information (PII) in compliance with the Privacy Act. The DAS tool will employ complex algorithms and statistical techniques to detect incidents of potential misuse, abuse, fraud, discrimination, and other types of non-compliant behavior. DAS will generate initial compliance actions (emails and letters to employers) and record the data in the CTMS to develop cases and maintain auditable data on instances of system misuse.

The E-Verify M&C unit is also leveraging other compliance assistance techniques such as a call center, outreach, and education. These techniques will give employers the tools and information they

need to self-monitor their E-Verify usage. The E-Verify program receives an average of 2,000 calls per week via the toll-free call center. In addition, E-Verify's strategic marketing plan includes advertising and outreach events geared toward educating prospective employers about correct E-Verify usage. The program is also partnering with the DHS Office of Civil Rights and Civil Liberties to develop a bilingual video for employers and employees on proper E-Verify use.

To accommodate E-Verify employer growth, M&C has developed a staffing plan based on the number of non-compliant employers that they project to touch. The staffing formula is also adjustable and determines staffing levels based on the touch rate proportion and types of touches (emails, desk audits, etc.) proposed. The touch rate for FY 2009, benchmarked at 2 percent, is a key E-Verify M&C metric. Presently, there are 18 M&C personnel in the metropolitan Washington, DC area and five in Buffalo, NY. The Buffalo regional office will accommodate 31 M&C personnel once fully staffed by late FY 2009.

FY 2008 Accomplishments

- The E-Verify Operations branch, in cooperation with the Social Security Administration (SSA), developed and implemented a case management system called EV-Star. EV-Star now allows SSA to work field office cases across the country and send responses back to the E-Verify employer electronically. This improvement to the E-Verify system has significantly reduced confusion and the burden on workers and employers.
- Two significant enhancements to E-Verify were:
 - **Natz Phase I:** To reduce the number of SSA tentative non-confirmations (TNC) issued to naturalized citizens, E-Verify implemented an electronic process that checks USCIS naturalization databases before SSA issues a TNC due to a citizenship status mismatch. The databases included in this initial automated check include Computer Linked Application Information Management System (CLAIMS4), Reengineered Naturalization Automated Casework System (RNACS) and Central Index System (CIS). CLAIMS4 and RNACS were added to the VIS on May 5, 2008. This initiative has resulted in an approximated 39 percent decrease in SSA TNC incidence for naturalized citizens.
 - **Natz Phase II:** If a naturalized citizen receives an SSA TNC after the Natz Phase I process is complete, Natz Phase II allows employees to resolve their case by simply calling a toll-free number. This effort, in addition to reducing E-Verify mismatches for naturalized citizens already reduced by Natz Phase I, will reduce SSA field office "walk ins." Of the people that choose to contest their TNC and contact the government, over 50 percent opt to call DHS rather than visit a SSA field office. This enhancement allows employees to resolve their SSA tentative non-confirmations with a simple phone call, reduces the burden on SSA field offices, and therefore decreases costs to SSA to resolve SSA tentative non-confirmations.
- E-Verify also implemented a Pre-TNC check. This new process gives the user an additional opportunity to correct any data input errors seconds before running a query through the E-Verify system that would have otherwise resulted in a TNC. The implementation of this new process has reduced TNCs by 28 percent for such cases.

- A recent study conducted by Westat, an independent social science firm, found that between April and June 2008, approximately 96.1 percent of all cases queried through E-Verify were automatically verified as work authorized. Additionally, about 99.6 percent of all work-authorized employees verified through E-Verify did not receive a TNC or need to take any type of corrective action.
- In August 2007, OMB issued a memo to all Federal Government Agencies requiring them to register with and begin using E-Verify to verify their newly hired citizens by October 1, 2007.
- The Department of Labor strongly encouraged the State Workforce Agencies (SWAs) to use E-Verify for their referred workers. Since the SWAs will use the system prior to employment, this represents a departure from the mandate that only newly hired employees be verified. To accommodate this recommendation, we developed a new enrollment process along with several different instructional materials and letters. The new process and supporting materials were posted on the DHS/E-Verify website.

FY 2009 Planned Activities

E-Verify will develop a plan to implement the Data Analysis System (DAS) that analyzes the Verification Information System (VIS). DAS system implementation and customization will be essential for monitoring activities. Without this automated system, E-Verify estimates that either monitoring personnel would have to be tripled, or the touch rate of the suspected non-compliant employers would have to be dramatically reduced.

The E-Verify program will implement the Compliance Tracking and Management System (CTMS). CTMS will be a key tool in incident communication, case tracking, workflow or operating procedure management, and M&C branch activity results tracking.

The E-Verify program will develop a plan to augment contact center services to support the Verification Division. The contact center contract will provide and manage customer support staff; offer multiple contact methods for program participants; provide telephone and IT infrastructure; provide Interactive Voice Response System (IVR), transaction processing, management information, and decision support systems; and supply the facilities necessary to operate an inbound/outbound contact center. In addition, the funding will allow the E-Verify program to leverage the latest in contact center technologies to maximize the customer's experience.

E-Verify will expand advertising and marketing to increase public and employer awareness of the E-Verify program. Traditional advertising methods, including newspaper/magazine, radio, outdoor (billboard), and direct mail advertisements, as well as online banner advertisements and Internet keyword searches will be used where appropriate. Marketing activities will build upon lessons learned during the test phase, spanning from October 1, 2007 to March 3, 2008, in which E-Verify program enrollment increased by approximately 20,000.

In December 2008, DHS and the Department of State (DOS) signed an MOU allowing passport data to be included in the E-Verify system. As of February 2, 2009, any new hire providing a U.S. passport for Form I-9 documentation who later receives an SSA TNC due to SSA record issues (citizenship, etc.) will have his/her passport records checked to avoid a false negative.

E-Verify will continue to work with DOS to implement a capability that provides U.S. passport photos through the E-Verify photo tool usage. DOS signed an MOU with DHS in late 2008 agreeing to share passport photos with E-Verify for a phased-in photo tool implementation. Passport photo integration will help prevent passport document fraud aimed at obtaining E-Verify employment authorization.

E-Verify is working with the American Association of Motor Vehicle Administrators (AAMVA), an IT resource for nearly all DMVs, to augment its IT system with driver's license data and photograph verification from state DMVs that voluntarily participate. System design and implementation are in progress and will be in place in FY 2010. The E-Verify program is determining which state DMVs are interested in serving as "pilot" states for E-Verify driver's license verification.

In June 2009, E-Verify is planning to introduce a new effort called "JobLock." JobLock will enable identity theft victims to "lock" their social security number from further use in E-Verify. As this effort is assessed, JobLock capability will be considered for expanded use beyond victims of identity theft.

FY 2010 Planned Activities

In FY 2010, the E-Verify program will focus on enhancing the program's monitoring and compliance capability, and continuing to improve program technology and business practices.

E-Verify will build on FY 2009 Data Analytics System (DAS) plans for development, and aim to automate the monitoring and compliance process by the end of FY 2010, thereby improving the ability to detect non-compliance patterns and trends. DAS employs algorithms and statistical techniques to detect incidents of potential misuse, abuse, fraud, discrimination, and other types of non-compliant behavior. DAS implementation will interface with the Case Tracking and Management System (CTMS) and reduce overall monitoring staff requirements, but will not eliminate the need for human monitors to review and intervene in the analytical process.

Other FY 2010 technology enhancements will focus on identity management and identity assurance (for both the employer and the employee), photo tool enhancement and document assurance, data source expansion, and aging hardware replacement.

E-Verify will continue to explore several potential developments aimed at reducing false negatives. One example is the eventual inclusion of data from the updated ICE system that processes student visa data in order to decrease false negatives for foreign students. ICE's current system, SEVIS, is planned for upgrade. SEVIS II is currently being developed and will be available to E-Verify in FY 2010.

To build on the photo tool's success, the E-Verify program plans to access more photos within its functionality. This would prevent one possible avenue of identity theft currently used to "game" the system. Incorporating driver's license photos into the photo tool would represent a significant system enhancement, since new hires most often present a driver's license.

PPA: REAL ID

	Perm. Pos.	FTE	Amount
2008 Actual	0	0	\$0
2009 Enacted	2	2	\$50,000
2010 Adjustments-to-Base	0	0	(25,000)
2010 Current Services	2	2	\$25,000
2010 Program Change	0	0	0
2010 President's Budget	2	2	\$25,000
Total Change 2009-2010	0	0	(25,000)

USCIS requests USCIS requests funds to sustain the 2 positions and 2 FTE provided in FY 2009, for management of the verification system capabilities project, and \$25 million to continue activities, primarily the verification systems capability project, associated with the implementation of REAL ID. This is a total decrease of \$25 million from the FY 2009 request. The project was designed as a \$50 million one-time request with a follow on of \$25 million to develop and build out the verification system capabilities required under current law, to include structured testing and system connectivity for participating states. Some FY 2010 funds will also be used to support establishment of a concept of operations for REAL ID audits of the states after implementation. The concept of operations will be developed in collaboration with the Department of Transportation (DOT) and will consider relevant DHS and DOT assets and interactions with state departments of motor vehicles (DMV).

CURRENT SERVICES PROGRAM DESCRIPTION:

The REAL ID Act requires that a state must first verify the issuance, validity, and completeness of source documents presented by an applicant before it can issue a REAL ID-compliant driver's license or identification card.

The FY 2009 funding and the follow on request for FY 2010 for REAL ID specifically aim to continue the development and build toward initial operations of verification system capabilities allowing states to verify data presented by applicants against other state and federal databases. DHS will work with the states to develop this capability. Once operational, the states will manage the centralized connectivity to support federated querying of federal verification databases and the capability to verify REAL ID driver's licenses and identification cards with the state of issuance. Federal agencies will continue to manage their existing systems and data. Specifically, verification system capabilities will provide connectivity to the following:

- Social Security On-line Verification System (SSOLV) – verifies social security numbers
- Systematic Alien Verification for Entitlement (SAVE) system – verifies evidence of lawful immigration status
- National Association of Public Health Statistics and Information Systems (NAPHSIS) – verifies birth record information
- U.S. Department of State data such as those tied to passports, Consular Report of Birth Abroad, and visas – verifies citizenship, birth records, and/or lawful immigration status

USCIS plays a key operational role in driver's license security by supporting state DMVs in verification of immigration status through SAVE. Its program management capacity is essential to moving this project forward. DHS Policy continues to provide operational guidance and support in assisting the states toward more secure identification and managing compliance with REAL ID. In addition, grant funds to assist states in improving the overall security of their driver's licenses and identification cards has been requested within the Federal Emergency Management Agency.

PPA: CITIZENSHIP EDUCATION GRANTS

	Perm. Pos.	FTE	Amount
2008 Actual	0	0	\$450
2009 Enacted	0	0	\$1,200
2010 Adjustments-to-Base	0	0	(1,200)
2010 Current Services	0	0	\$0
2010 Program Change	0	0	\$0
2010 President's Budget	0	0	\$0
Total Change 2009-2010	0	0	(\$1,200)

FY 2009 funding levels provided for citizenship grants were one-time and will not recur in FY 2010.

CURRENT SERVICES PROGRAM DESCRIPTION:

The \$450,000 in FY 2008 provided funding to support citizenship education and training between the Department of Homeland Security and two organizations: the Citizens Advice Bureau and the Northern Manhattan Coalition for Immigration Rights. The purpose of this opportunity was to provide services to immigrants with legal status in the United States. These services included but were not limited to English and Citizenship/Civics instruction, training sessions, educational resources (books, language software, and computers for use in providing services), case management, volunteer outreach and tutoring.

In FY 2009, \$1.2 million made available through the Citizenship Grant Program being offered through the Office of Citizenship, will provide monetary support to community-based organizations (CBOs) that serve immigrant populations. The funds shall be used to support citizenship preparation programs incorporating activities to assist naturalization applicants (or potential naturalization applicants) to improve English language skills, gain knowledge of U.S. history and government (civics), prepare for the naturalization application and interview process, and expand awareness of available information and resources related to U.S. citizenship and the naturalization process. The funds may only be used to provide direct services to immigrants with legal status in the United States. Specific services to be provided may include but are not limited to, English as a Second Language (ESL), English Language/Civics/Citizenship instruction, educational resources (textbooks, language software, computers, etc), assistance with preparing and completing the naturalization application process (including case management), citizenship-focused community outreach, and staff and volunteer training.

PPA: BENEFIT PAROLE PROGRAMS

	Perm. Pos.	FTE	Amount
2008 Actual	5	5	\$519
2009 Enacted	5	5	\$540
2010 Adjustments-to-Base	(5)	(5)	(540)
2010 Current Services	0	0	\$0
2010 Program Change	0	0	\$0
2010 President's Budget	0	0	\$0
Total Change 2009-2010	(5)	(5)	(\$540)

Funding provided in FY 2009 for Benefit Parole Programs was intended to be funded through the Immigration Examinations Fee Account in FY 2010. However, as a result of the proposed fee reform, costs for these programs are now included under the new appropriation request in FY 2010 for Asylum and Refugee Services and Military Naturalizations.

CURRENT SERVICES PROGRAM DESCRIPTION:

In FY 2008 the Humanitarian Affairs Branch (HAB) previously located at ICE was transferred into the USCIS Refugee, Asylum and International Operations Directorate. HAB is responsible for the adjudication of approximately 1,500 requests for humanitarian parole and significant public benefit paroles each year, as well as for management of the Cuban Haitian Entrant Program (CHEP) that provides reception, processing, and resettlement assistance to Cuban and Haitian parolees. To date, CHEP has processed over 9,000 Cuban and Haitian Parolees and HAB has processed over 1,250 parole requests.

In FY 2010, the HAB will be funded through the new appropriation request for Asylum and Refugee Services and Military Naturalizations. Resources will continue to support current operations, including five positions for management and administration of these programs.

IV. Program Justification of Changes

**Department of Homeland Security
U.S. Citizenship and Immigration Services
Salaries and Expenses
Justification of Program Changes
(Dollars in Thousands)**

Program Increase 1: **E-Verify**

Strategic Goal & Objective: Protect our nation from dangerous people
 Strengthen screening of travelers and workers

PPA: E-Verify

Program Increase: Positions 80 FTE 40 Dollars \$10,000

	FY 2008 Actual			FY 2009 Enacted			FY 2010 President's Budget		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							255	255	\$102,000
Program Increase							80	40	\$10,000
Total Request	255	126	\$62,480	255	228	\$100,000	335	295	\$112,000

Description of Item

USCIS requests 80 additional positions, 40 FTE, and \$10 million in new funding to support continued expansion of the employment eligibility verification system, E-Verify in FY 2010. The resources will principally be used to detect and deter improper system use that is not compliant with E-Verify program guidance and to detect and prevent employer misuse of the system that discriminates against and/or harms work-authorized individuals.

Additional Staffing. Funding will provide for 40 additional Monitoring and Compliance (M&C) positions, 16 Status Verification Operations (SVO) support positions, 18 Customer Relations and Learning Management (CRLM) positions, and 6 Mission Support positions.

- The M&C positions (21 for Monitoring and 19 for Compliance), will directly support an estimated 192,000 E-Verify registered employers by FY 2010 (an increase of 60,000 from FY 2009) as well 14,900,000 queries (an increase of 2,500,000 from FY 2009). The 19 Compliance positions are based on 192,000 registered employers covering 576,000 hiring sites in FY 2010, and a 2 percent touch rate of those sites. The additional 19 positions plus the 31 existing positions will total 50 Compliance staff positions in FY 2010. The 21 additional Monitoring positions, also based on 192,000 registered employers, were derived using estimated compliance rates and percentage of manual versus automated analysis. These enhancements will bring the M&C staffing level to 89 total positions.

- The staffing increase for SVO adds 16 positions to the current 19 on-board, for a total of 35 positions in FY 2010. Based on the projected queries of 14,900,000 for FY 2010, a total of 21 positions overall will be required for secondary verification, 10 positions for quality assurance and case resolution duties, and 4 positions for other related activities.
- The additional 18 positions within CRLM will be for outreach to employers and employees on proper system usage, and the remaining 6 positions will provide mission support.

In addition to increased funding for staffing, there are several IT-related business initiatives under consideration, including:

- Redesign of Status Verification Workflow Management Tool: Includes developing business requirements for a workflow management tool to replace the current Status Verification System (SVS). The SVS is used by status verifiers to resolve E-Verify and SAVE cases not confirmed immediately after submission. SVS is a web-based application developed in the mid-1990s for the Immigration and Naturalization Service and is used by Status Verifiers to route and process second and third step verification referrals for both SAVE and E-Verify. The new tool will increase the Status Verifiers' ability to analyze caseloads and improve internal processes and production training. The new system will benefit E-Verify and SAVE by significantly reducing processing times.
- Temporary Protected Status (TPS) Verification Initiative: This initiative will enable most TPS applicants to be immediately verified rather than requiring secondary verification. TPS is granted to citizens of several countries who are possibly benefit and employment eligible. However, the current Verification Information System (VIS) lacks the capability to verify TPS status during the initial verification process and TPS applicants need to have their employment authorization renewed periodically. The solution will include automatic system updates to confirm employment for anyone from Honduras, El Salvador, or Nicaragua who has an expired EAD and is within the auto-extension time period.
- Electronic I-9: E-Verify plans to offer an "Electronic I-9" option to participating employers that will allow employees to enter biographical information electronically and populate the fields necessary to generate an E-Verify query. This new feature reduces employer paperwork and data entry requirements/input errors. The proposed Electronic I-9 will allow employees to enter online the biographic information requested in Section 1 of the form. Once the biographic information is entered, the employee uses a "Click to Accept" signature feature to sign the form. The employer will then enter the employment eligibility and identity verification information found in Section 2 of the form. Afterwards, the employer representative uses the "Click to Accept" signature feature to certify the information. The E-Verify system will then provide the employer with electronic confirmation, which the employer can save as paper copy or as a computer file.

Justification

Employer compliance is essential to E-Verify's ability to effectively reduce unauthorized employment. Prior E-Verify program evaluations have recommended monitoring and compliance efforts to increase program efficacy, particularly in light of legislative or regulatory proposals in which E-Verify participation is mandatory.

The growth of the E-Verify program and the anticipated increase in registered employers increases the need for monitoring, protecting employees from discriminatory practices, and safeguarding privacy information. M&C will prevent discrimination and violations of civil liberties and personal privacy through growth in four key areas: data analysis (rigorous monitoring and evaluation of E-Verify activity to detect potential misuse), audit activities (including visits to employer hiring sites to identify misuse), communication (with customers to correct administrative misuse), and referral activities (to coordinate investigation and enforcement with ICE and the Department of Justice).

Business enhancements are essential to E-Verify's growth and the ability to effectively reduce unauthorized employment and mismatches. Previous E-Verify program evaluations have recommended increased technical functionality to enhance program efficacy, particularly if E-Verify becomes mandatory. These investments will help ensure that E-Verify data is accurate, trustworthy, consistent and reliable.

Impact on Performance (Relationship of Increase to Strategic Goals)

The E-Verify program's mission is to provide employers with tools and technologies to verify that their new employees are authorized to work in the United States. Increased funding for staffing, system and process improvements will support continued improvement in the employment eligibility verification program that promotes compliance with U.S. immigration and employment laws.

Program Increase 2: **Asylum, Refugee, Humanitarian Parole, and Military Naturalizations**

Strategic Goal & Objective: Protect our nation from dangerous people
Improve security through enhanced immigration services

PPA: Asylum, Refugee, Humanitarian Parole, and Military Naturalizations

Program Increase: Positions 744 FTE 744 Dollars \$206,000,000

	FY 2008 Actual			FY 2009 Enacted			FY 2010 President's Budget		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							---	---	\$---
Program Increase							744	744	\$206,000
Total Request	---	---	\$---	---	---	\$---	744	744	\$206,000

Description of Item

USCIS is requesting a total of 744 positions/FTE and \$206 million. The appropriation will cover the estimated current service cost of carrying out international programs, principally asylum, refugee, humanitarian parole, and a small percentage of international activities that support these programs, as well as funding the cost of military naturalizations and an associated share of indirect overhead expenses. These activities for FY 2009 were funded through the Immigration Examinations Fee Account as a surcharge on the fees that USCIS charges to process immigrant benefit applications and petitions. Approximately half of this funding is associated with pay and benefits, and the other half non-pay general expenses.

The total funding level was determined using an activity-based cost model (“ABC model”) which divides costs among activities and helps USCIS develop its fee structure. The ABC model not only allocates direct budgetary costs for each activity, but also an appropriate share of administration and agency overhead which are allocated to all activities.

Based on the ABC model, an estimated \$200 million and 744 positions are necessary to fully support the Refugee, Asylum, Humanitarian Parole and a small percentage of International Operations along with a share of administration and overhead. The largest portion of staff includes both a Refugee Corps responsible for adjudicating refugee claims overseas to determine eligibility for U.S. resettlement, and an Asylum Officer Corps which determines eligibility for asylum and conducts protection screenings for certain individuals either in, or subject to, removal proceedings.

An estimated \$5 million is necessary to support the cost of military naturalizations. USCIS currently charges a fee of \$595 to fully adjudicate a naturalization applicant, which is based on allocated costs for naturalization adjudication under the ABC model. Estimated workload for FY 2010 is between 8,600 and 9,500 applications.

An additional \$1 million is requested to implement a case management tracking capability to track workloads, backlogs, and productivity for USCIS offices overseas.

Justification

These activities are currently funded within the Immigration Examinations Fee Account (IEFA), the account which finances the majority of USCIS fee-based activities. However, persons receiving services and benefits through these programs are exempt under law from paying fees. As a result, costs for the activities are added to the fees of non-exempt applicants receiving other immigration benefits as a surcharge. Under the FY 2007 fee rule, the asylum-refugee surcharge alone totaled \$40 per application. While USCIS has the authority to charge other applicants the cost of providing benefits which are exempt from fees, this cost unduly burdens such applicants; particularly as the fees for the services and benefits they do receive rises.

The Fee Reform proposal is an essential first step in providing greater linkage between fees and the actual costs necessary to adjudicate a specific application and petition. Near term and future business process and system improvements through Transformation will further support this goal by improving operational efficiency leading to refinements in operational costs. Over time, the USCIS fee structure will closely match a focused and more efficient operational structure.

Impact on Performance (Relationship of Increase to Strategic Goals)

This request reflects the full cost of current services. Key workload measures include serving at least 80,000 refugees and as many as 9,500 military naturalizations. The additional funding will also help to improve security through enhanced immigration services. We will increase security by denying immigration benefits to persons wishing to do us harm and integrating our information with that of other Federal agencies with an aim of keeping out dangerous individuals.

Program Increase 3: Immigrant Integration

Strategic Goal & Objective: Protect our nation from dangerous people
Improve security through enhanced immigration services

PPA: Immigrant Integration

Program Increase: Positions 3 FTE 2 Dollars \$10,000,000

	FY 2008 Actual			FY 2009 Enacted			FY 2010 President's Budget		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$0
Program Increase							3	2	\$10,000
Total Request	---	---	\$---	---	---	\$---	3	2	\$10,000

Description of Item

Resources are requested for 3 positions, 2 FTE and \$10 million to fund activities associated with improving the integration of immigrants into the United States. The proposed initiative will build in large part on promising efforts at the state and local level, including:

- o Providing grants to community-based organizations for citizenship preparation;
- o Expanding English language learning aids;
- o Supporting a training framework for local literacy organizations to prepare volunteers to teach English and citizenship to immigrants; and,
- o Promoting citizenship through targeted integration messages.

Key to the success of this new program is establishing partnerships with state and local governments, U.S. businesses, non-profits, faith-based organizations, and academia as all have important roles to play in improving integration. USCIS will also work with other federal agencies to coordinate efforts aimed at integration.

Justification

The proposed Integration Program allows USCIS and the Office of Citizenship to impact targeted sectors of society with grant-making and outreach programs.

Impact on Performance (Relationship of Increase to Strategic Goals)

The integration program will help us achieve our goals to promote education and training on fundamental civic principles and the rights and responsibilities of citizenship, provide federal leadership and support collaboration on civic integration issues, and celebrate the meaning of citizenship.

Program Increase 4: **Data Center Development: Consolidate to Secure Data Center Environment**

Strategic Goal & Objective: Protect our nation from dangerous people
Improve security through enhanced immigration services

PPA: Data Center Development

Program Increase: Positions 0 FTE 0 Dollars \$11,000,000

	FY 2008 Actual			FY 2009 Enacted			FY 2010 President's Budget		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$0
Program Increase							0	0	\$11,000
Total Request	---	---	\$---	---	---	\$---	0	0	\$11,000

Description of Item

FY 2010 data center development funding, to be managed through the DHS Working Capital Fund (WCF), will be used for the continuation of system and application migration to the two DHS Enterprise Data Centers for central DHS management in FY 2010. This includes:

- Discovery, migration planning, and scheduling activities specifically related to systems/applications that will transition to the DHS Data Centers in FY 2010
- Purchase of new equipment for placement in the DHS Data Centers as part of migration/transition efforts
- Installation of equipment racks at the DHS Data Centers
- Migration-related build-out of DHS Data Center infrastructure
- Transition of disaster recovery/backup/COOP (Continuity of Operations) capability to DHS Data Centers
- Installation of infrastructure support as part of system migrations at the DHS Data Centers
- Migration of USCIS hardware, systems/applications to occupy rack space at the DHS Data Centers.

Justification

The Data Center consolidation efforts will standardize IT resource acquisitions across DHS Components, and streamline maintenance and support contracts, allowing for less complex vendor support and expediting response times in the event of an emergency. Benefits derived from consolidation are enhanced DHS IT security posture, improved information sharing with stakeholders, and increased operational efficiencies over time.

Impact on Performance (Relationship of Increase to Strategic Goals)

If funding is not provided, USCIS will not have the additional capability to operate critical systems in multiple geographic locations, replicate and perform maintenance without impacting the mission,

reduce our dependency on legacy architectures, or make our data more readily available to DHS and our intelligence partners.

Migration of USCIS systems will enable DHS to fulfill its mission, strategic goals and business objectives to create “One Network, One Infrastructure, and One DHS.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

For necessary expenses for citizenship and immigration services, [\$101,740,000]**\$364,000,000**, of which [\$100,000,000]**\$112,000,000** is for the E-Verify program to assist United States employers with maintaining a legal workforce: Provided, **That of the amount provided for the E-Verify program, \$10,000,000 is available until expended for E-Verify process and system enhancements: Provided further,** That notwithstanding any other provision of law, funds available to United States Citizenship and Immigration Services may be used to acquire, operate, equip, dispose of and replace up to five vehicles[, of which two are for replacement only,] for areas where the Administrator of General Services does not provide vehicles for lease: Provided further, That the Director of United States Citizenship and Immigration Services may authorize employees who are assigned to those areas to use such vehicles between the employees' residences and places of employment. (Department of Homeland Security Appropriations Act, [2008]**2009**.)

Sec. 534. Sections 143 and 144 of division A of the Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009 (Public Law 110329; 122 Stat. 3580 et seq.), as amended by section 101 of Division J of Public Law 111-5, are further amended by striking “September 30, 2009” and inserting “September 30, 2012”.

Explanation of Changes:

A new General Provisions proposal (Sec. 534) extends both the authorization for the Basic Pilot program, currently called “E-Verify”, and the EB- 5 Immigrant Investor Pilot Program for three years beyond the current expiration date of September 30, 2009.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
U.S. Citizenship & Immigration Services
Salaries and Expenses
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actuals	260	131	\$108,067
2009 Enacted	262	235	151,740
Adjustments-to-Base			
Transfers to and from other accounts:			
Benefit Parole Programs.....	(5)	(5)	---
OSEM to support Secretary travel.....	---	---	(8)
Total Transfers.....	<u>(5)</u>	<u>(5)</u>	<u>(8)</u>
Increases			
Annualization of prior year part year funding.....	---	27	3,438
Annualization of 2009 pay raise.....	---	---	296
2010 pay increase.....	---	---	458
Total Increases.....	<u>---</u>	<u>27</u>	<u>4,193</u>
Decreases			
Termination of one-time costs.....	---	---	(26,747)
Realignment of pay and non-pay.....	---	---	(2,178)
Total Decreases.....	<u>---</u>	<u>---</u>	<u>(28,925)</u>
Total Adjustments-to-Base	<u>(5)</u>	<u>22</u>	<u>(24,740)</u>
2010 Current Services	257	257	127,000
Program Changes			
Program Increases/(Decreases)			
E-Verify Staffing and Technology Enhancements	80	40	10,000
Immigrant Integration	3	2	10,000
Asylum and Refugee Services/Military Naturalization	744	744	206,000
Data Center Development	---	---	11,000
Total Program Changes	827	786	237,000
2010 Request	1,084	1,043	364,000
2009 to 2010 Total Change	822	808	212,260

C. Summary of Requirements

Department of Homeland Security
U.S. Citizenship & Immigration Services
Salaries and Expenses
Summary of Requirements
(Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	260	131	\$108,067
2009 Enacted	262	235	\$151,740
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	(5)	(5)	(\$8)
Increases	---	27	\$4,193
Decreases	---	---	(\$28,925)
Total Adjustments-to-Base	(5)	22	(\$24,740)
2010 Current Services	257	257	\$127,000
Program Changes (See "FY 2008 to FY 2009 Budget Change" for details)	827	786	\$237,000
2010 Total Request	1,084	1,043	\$364,000
2009 to 2010 Total Change	822	808	\$212,260

Estimates by Program/Project Activity	2009 President's Budget			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Asylum and Refugee Services / Military Natz	---	---	\$0	---	---	\$0	744	744	\$206,000	744	744	\$206,000	744	744	\$206,000
2 Immigrant Integration	---	---	\$0	---	---	\$0	3	2	\$10,000	3	2	\$10,000	3	2	\$10,000
3 Data Center Development	---	---	\$0	---	---	\$0	---	---	\$11,000	---	---	\$11,000	---	---	\$11,000
4 REAL-ID	2	2	\$50,000	---	---	(\$25,000)	---	---	\$0	2	2	\$25,000	---	---	(\$25,000)
5 E-Verify	255	228	\$100,000	---	27	\$2,000	80	40	\$10,000	335	295	\$112,000	80	67	\$12,000
6 Citizenship Education Grants	---	---	\$1,200	---	---	(\$1,200)	---	---	\$0	---	---	\$0	---	---	(\$1,200)
7 Benefit Parole Programs	5	5	\$540	(5)	(5)	(\$540)	---	---	\$0	---	---	\$0	(5)	(5)	(\$540)
Total	262	235	\$151,740	(5)	22	(\$24,740)	827	786	\$237,000	1,084	1,043	\$364,000	822	808	\$212,260

D. Summary of Reimbursable Resources

**Department of Homeland Security
U.S. Citizenship & Immigration Services
Salaries and Expenses
Summary of Reimbursable Resources
(Dollars in Thousands)**

Collections by Source	FY 2008 Actual			2009 Enacted			2010 Request			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Department of State	---	---	\$8,943	---	---	\$0	---	---	\$0	---	---	---
Department of State	---	---	---	1	1	200	1	1	200	---	---	---
Total Budgetary Resources	---	---	8,943	1	1	200	1	1	200	---	---	---

Obligations by Program/Project Activity	FY 2008 Actual			2009 Enacted			2010 Request			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Adjudication Services - Service Center Operations	---	---	\$8,943	---	---	\$0	---	---	\$0	---	---	---
E-Verify	---	---	---	1	1	200	1	1	200	---	---	---
Total Obligations	---	---	8,943	1	1	200	1	1	200	---	---	---

Explanation of Increase/Decrease.

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Citizenship & Immigration Services
Salaries and Expenses
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$10,767	\$21,032	\$82,929	\$61,897
11.3 Other than full-time permanent	\$197	\$382	\$2,705	2,323
11.5 Other Personnel Compensation	\$377	\$638	\$3,436	2,798
12.1 Benefits	\$2,806	\$5,577	\$24,738	19,161
13.0 Benefits - former	\$0	\$0	\$35	35
Total, Personnel Comp. & Benefits	\$14,148	\$27,629	\$113,843	\$86,214
Other Object Classes:				
21.0 Travel	292	914	13,774	12,860
22.0 Transportation of things	---	37	278	241
23.1 GSA rent	2,331	4,000	15,250	11,250
23.2 Other rent	50	150	150	---
23.3 Communications, utilities, & other misc. charges	605	616	849	233
24.0 Printing and reproduction	19	---	115	115
25.1 Advisory and assistance services	53,604	32,761	80,538	47,777
25.2 Other services	19,543	29,536	54,015	24,479
25.3 Purchases of goods & svcs. from Gov't accounts	4,977	4,581	5,038	457
25.4 Operation & maintenance of facilities	675	---	---	---
25.6 Medical care	---	---	11	11
25.7 Operation and maintenance of equipment	9,053	50,330	43,905	(6,425)
26.0 Supplies and materials	592	1,725	3,363	1,638
31.0 Equipment	1,728	6,400	7,825	1,425
32.0 Land & structures	---	2,300	2,300	---
41.0 Grants/Subsidies/Contributions	450	45,657	36,449	(9,208)
Total, Other Object Classes	\$93,920	\$179,006	\$263,860	\$84,853
Total, Direct Obligations	\$108,068	\$206,635	\$377,703	\$171,068
Unobligated balance, start of year	(98,993)	(68,598)	(13,703)	54,895
Anticipated accounting adjustment	---	---	---	---
Unobligated balance, end of year	68,598	13,703	---	(13,703)
Recoveries of prior year obligations	(2,206)	---	---	---
Total requirements	\$75,466	\$151,740	\$364,000	212,260

F. Permanent Positions by Grade

**Department of Homeland Security
U.S. Citizenship & Immigration Services
Salaries and Expenses
Permanent Positions by Grade**

Grades and Salary Ranges	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
	Pos.	Pos.	Pos.	Total
Total, SES	1	1	6	5
Total, EX	2	2	2	---
	---	---	---	
GS-15	43	44	70	26
GS-14	97	90	174	84
GS-13	28	41	134	93
GS-12	23	22	296	274
GS-11	29	29	113	84
GS-10	---	---	1	1
GS-9	18	18	147	129
GS-8	---	---	5	5
GS-7	14	7	49	42
GS-6	---	---	20	20
GS-5	5	8	67	59
GS-4	---	---	---	---
GS-3	---	---	---	---
GS-2	---	---	---	---
Other Graded Positions	---	---	---	---
Ungraded Positions	---	---	---	---
Total Permanent Positions	260	262	1,084	822
Unfilled Positions EOY	104	---	---	---
Total Perm. Employment EOY	156	262	1,084	822
FTE	131	235	1,043	808
Headquarters	200	202	401	199
U.S. Field	60	60	683	623
Foreign Field	---	---	---	---
Total Permanent Positions	260	262	1,084	822
Average ES Salary	\$ ---	\$ ---	\$ ---	\$ ---
Average GS Salary	\$ 88,688	\$ 91,889	\$ 80,486	\$ (11,403)
Average GS Grade	12.49	12.55	11.25	(1.30)

G. Capital Investment and Construction Initiative Listing

Not applicable.

H. PPA Budget Justifications

**Department of Homeland Security
U.S. Citizenship & Immigration Services
Salaries and Expenses
Employment Eligibility Verification (E-Verify)
Funding Schedule
(Dollars in Thousands)**

PPA: E-Verify		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	\$10,316	\$20,366	\$ 26,270	\$5,904
11.3	Other than perm	189	373	432	59
11.5	Other per comp	375	632	812	180
12.1	Benefits	2,748	5,425	7,118	1,693
21.0	Travel	292	764	939	175
22.0	Transportation of things	---	37	40	3
23.1	GSA rent	2,331	4,000	4,000	---
23.2	Other rent	50	150	150	---
23.3	Communication, Utilities, and misc charges	605	616	378	(238)
24.0	Printing	19	---	---	---
25.1	Advisory & Assistance Services	35,603	30,761	29,678	(1,083)
25.2	Other Services	2,152	4,154	4,728	574
25.3	Purchase from Govt. Accts.	4,823	4,581	5,034	453
25.4	Operation & maintenance of facilities	675	---	---	---
25.6	Medical care	---	---	11	11
25.7	Operation & maintenance of equipment	714	50,330	40,610	(9,720)
26.0	Supplies & materials	592	1,725	2,347	622
31.0	Equipment	995	3,300	856	(2,444)
32.0	Land & Structures	---	2,300	2,300	---
Total, E-Verify		\$62,480	\$129,514	\$125,703	(\$3,811)
Full Time Equivalents		126	228	295	67

PPA Mission Statement

The E-Verify Program, a key component of the Department's Secure Border Initiative, involves electronic verification checks of the Social Security Administration and DHS databases, using an automated system to verify employment authorization.

The potential for system abuse grows with an increase in registered employers. By increasing and expanding aggressive monitoring and compliance initiatives fraudulent, discriminatory or misinformed use of E-Verify will be minimized, specifically, fraudulent use of Social Security numbers or Alien numbers. Aggressive monitoring and compliance will also deter prescreening of job applicants and adverse action against employees who receive tentative non-confirmation notices.

The requested amount will allow E-Verify to continue to support and operate a comprehensive electronic employment verification program, and initiate a phased-in expansion and improvement of existing employment verification systems, to ensure compliance with U.S. immigration and employment laws.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$13,628	\$26,796	\$34,632	\$7,836

Salaries and Benefits includes costs for 295 FTEs. The FY 2010 request includes an increase of \$454,000 for the proposed January 2010 2.0 percent increase in personnel compensation, \$293,000 for annualization of the FY 2009 pay raise, \$3,438,000 for annualization of prior year part year funding (partially offset through a realignment of funds from non-pay), and \$3,650,000 in program increases for for the increased staff to expand the E-Verify monitoring and compliance program.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$292	\$764	\$939	\$175

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request reflects a net increase of \$175,000, which includes an increase \$89,000 based on a realignment of resources, a decrease of \$8,000 to be transferred to the Office of the Secretary and Executive Management in support of the Secretary's travel, and \$94,000 in related expenses for the increased staff to expand the E-Verify monitoring and compliance program.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$0	\$37	\$40	\$3

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request reflects an increase of \$3,000 based on a realignment of resources.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$605	\$616	\$378	(\$238)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request reflects a net decrease of \$238,000, which includes a reduction of \$289,000 based on a realignment of resources, and an increase of \$51,000 in related expenses for the increased staff to expand the E-Verify monitoring and compliance program.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$35,603	\$30,761	\$29,678	(\$1,083)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request reflects a net decrease of \$1,083,000, which includes a reduction of \$7,049,000 based on a realignment of resources, and an increase of \$5,966,000 in carryover anticipated for obligation in FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$2,152	\$4,154	\$4,728	\$574

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request includes an increase \$43,000 based on a realignment of resources and \$471,000 in related expenses for the increased staff to expand the E-Verify monitoring and compliance program.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$4,823	\$4,581	\$5,034	\$453

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request includes an net increase of \$453,000, which includes a net adjustment of \$345,000 based on a realignment of resources and adjustment for carryover, and \$108,000 in related expenses for the increased staff to expand the E-Verify monitoring and compliance program.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Medical Care	\$0	\$0	\$11	\$11

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2010 request includes \$11,000 for the increased staff to expand the E-Verify monitoring and compliance program.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$714	\$50,330	\$40,610	(\$9,720)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request reflects a net decrease of \$9,720,000, which includes a net adjustment of \$22,380,000 based on a realignment of resources and adjustment for carryover, an increase of \$4,923,000 in IT system enhancements, and \$7,737,000 in carryover anticipated for obligation in FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$592	\$1,725	\$2,347	\$622

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request reflects increases of \$486,000 based on a realignment of resources, and \$136,000 in related expenses for the increased staff to expand the E-Verify monitoring and compliance program.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$995	\$3,300	\$856	(\$2,444)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request reflects a net decrease of \$2,444,000, which includes a reduction of \$3,000,000 based on a realignment of resources, and \$556,000 in related expenses for the increased staff to expand the E-Verify monitoring and compliance program.

Department of Homeland Security
U.S. Citizenship & Immigration Services
Salaries and Expenses
Asylum and Refugee Services / Military Naturalizations
Funding Schedule
(Dollars in Thousands)

PPA: Asylum & Refugee Services/Military Natz		2008 Actual	2009 Enacted	2010 /¹ Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$0	\$0	56,350	\$56,350
11.3	Other than perm	---	---	2,273	2,273
11.5	Other per comp	---	---	2,613	2,613
12.1	Benefits	---	---	17,493	17,493
13.0	Benefits-former	---	---	35	35
21.0	Travel	---	---	12,451	12,451
22.0	Transportation of things	---	---	238	238
23.1	GSA rent	---	---	11,250	11,250
23.3	Communication, Utilities, and misc charges	---	---	469	469
24.0	Printing	---	---	47	47
25.1	Advisory & Assistance Services	---	---	34,360	34,360
25.2	Other Services	---	---	49,269	49,269
25.7	Operation & maintenance of equipment	---	---	3,295	3,295
26.0	Supplies & materials	---	---	1,011	1,011
31.0	Equipment	---	---	3,848	3,848
41.0	Grants/Subsidies/Contributions	---	---	10,999	10,999
Total, Asylum, Refugee, Military Natz		\$0	\$0	206,000	\$206,000
Full Time Equivalents		---	---	744	744

1/ FY10 President's Budget levels for Asylum/Refugee and Military Naturalization includes costs for the CHEP program previously funded through appropriations under Benefit Parole Programs in FY 2008 and FY 2009.

PPA Mission Statement

The Asylum/Refugee Operating Expenses program within the Salaries & Expenses account includes funding for the Refugee and Asylum Divisions of the Refugee, Asylum, and International Operations (RAIO) Directorate; administrative costs associated with Asylum/Refugee projects; and the Cuban-Haitian Entrant and Humanitarian Parole programs.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$0	\$0	\$78,764	\$78,764

Salaries and Benefits includes costs for 744 FTEs. The FY 2010 request includes \$70,546,000 for current services, \$1,099,000 for the proposed January 2010 2.0 percent increase in personnel compensation, \$1,125,000 for within-grade and step adjustments, \$717,000 for annualization of the FY 2009 pay raise, and \$5,271,000 for annualization of prior year part year funding, and \$6,000 in benefits funded through general expenses.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$0	\$0	\$12,451	\$12,451

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes \$12,389,000 for current services and \$62,000 for non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$0	\$0	\$238	\$238

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request includes \$237,000 for current services and \$1,000 for non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$0	\$0	\$11,250	\$11,250

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request includes \$11,194,000 for current services and \$56,000 for non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charge	\$0	\$0	\$469	\$469

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes \$467,000 for current services and \$2,000 for non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Printing	\$0	\$0	\$47	\$47

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 request includes \$47,000 for current services.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$0	\$0	\$34,360	\$34,360

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request includes \$34,189,000 for current services and \$171,000 for non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$0	\$0	\$49,269	\$49,269

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request includes \$48,029,000 for current services, \$240,000 for non-pay inflation, and \$1,000,000 in enhancements to develop a case management system for International Operations.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$0	\$0	\$3,295	\$3,295

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request includes \$3,279,000 for current services and \$16,000 for non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$0	\$0	\$1,011	\$1,011

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes \$1,006,000 for current services and \$5,000 for non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$0	\$0	\$3,848	\$3,848

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes \$3,829,000 for current services and \$19,000 for non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$0	\$0	\$10,999	\$10,999

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2010 request includes \$10,944,000 for current services and \$55,000 for non-pay inflation.

Department of Homeland Security
U.S. Citizenship & Immigration Services
Salaries and Expenses
Immigrant Integration
Funding Schedule
(Dollars in Thousands)

		2008	2009	2010	2009 to 2010
PPA: Immigrant Integration		Actual	Enacted	Request	Change
Object Classes:					
11.1	Perm Positions	\$0	\$0	108	\$108
11.5	Other per comp	---	---	6	6
12.1	Benefits	---	---	34	34
21.0	Travel	---	---	234	234
23.3	Communication, Utilities, and misc charges	---	---	2	2
24.0	Printing	---	---	68	68
25.1	Advisory & Assistance Services	---	---	3,500	3,500
25.2	Other Services	---	---	18	18
25.3	Purchase from Govt. Accts.	---	---	4	4
26.0	Supplies & materials	---	---	5	5
31.0	Equipment	---	---	21	21
41.0	Grants/Subsidies/Contributions	---	---	6,000	6,000
Total, Immigrant Integration		\$0	\$0	\$10,000	\$10,000
Full Time Equivalents		---	---	2	2

PPA Mission Statement

This program will fund activities associated with improving the integration of immigrants into the United States including: grants to community-based organizations for citizenship preparation; expanding English language learning aids; supporting a training framework for local literacy organizations to prepare volunteers to teach English and citizenship to immigrants; and, promoting citizenship through targeted integration messages. Key to the success of this new program is establishing partnerships with state and local governments, U.S. businesses, non-profits, faith-based organizations, and academia as all have important roles to play in improving integration. USCIS will also work with other federal agencies to coordinate efforts aimed at integration.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$0	\$0	\$148	\$148

Salaries and Benefits includes \$148,000 for 3 positions and 2 FTEs in FY 2010.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$0	\$0	\$234	\$234

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes \$234,000 for this new initiative.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous charges	\$0	\$0	\$2	\$2

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes \$2,000 for this new initiative.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Printing	\$0	\$0	\$68	\$68

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 request includes \$68,000 for this new initiative.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$0	\$0	\$3,500	\$3,500

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request includes \$3,500,000 for this new initiative.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$0	\$0	\$18	\$18

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request includes \$18,000 for this new initiative.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Purchase from Government Accounts	\$0	\$0	\$4	\$4

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request includes \$4,000 for this new initiative.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$0	\$0	\$5	\$5

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes \$5,000 for this new initiative.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$0	\$0	\$21	\$21

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes \$21,000 for this new initiative.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$0	\$0	\$6,000	\$6,000

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2010 request includes \$6,000 for this new initiative.

Department of Homeland Security
U.S. Citizenship & Immigration Services
Salaries and Expenses
Data Center Development
Funding Schedule
(Dollars in Thousands)

PPA: Data Center Development		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
25.1	Advisory & Assistance Services	---	---	11,000	11,000
Total, Data Center Development		\$0	\$0	\$11,000	\$11,000
Full Time Equivalents		---	---	---	---

PPA Mission Statement

Data center development funding will be used for the continuation of system and application migration to the two DHS Enterprise Data Centers for central DHS management in FY 2010.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$0	\$0	\$11,000	\$11,000

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request includes \$11,000,000 for this new initiative.

Department of Homeland Security
U.S. Citizenship & Immigration Services
Salaries and Expenses
Citizenship Education Grants
Funding Schedule
(Dollars in Thousands)

PPA: Citizenship Education Grants		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
41.0	Grants/Subsidies/Contributions	450	1,200	---	(1,200)
Total, Citizenship Education Grants		\$450	\$1,200	---	(\$1,200)
Full Time Equivalents		---	---	---	---

PPA Mission Statement

The Citizenship Education Grats are competitive grants to community-based organizations located in areas of the country with the highest concentrations of immigrants.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Grants/Subsidies/Contributions	\$450	\$1,200	\$0	(\$1,200)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. Funds provided in FY 2009 were one-time and non-recur in FY 2010.

Department of Homeland Security
U.S. Citizenship & Immigration Services
Salaries and Expenses
Benefit Parole Programs
Funding Schedule
(Dollars in Thousands)

PPA: Benefit Parole Programs		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$451	\$470	---	(\$470)
11.3	Other than perm	8	9	---	(9)
11.5	Other per comp	2	---	---	---
12.1	Benefits	58	61	---	(61)
Total, Benefit Parole Programs		\$519	\$540	---	(\$540)
Full Time Equivalents		5	5	---	(5)

PPA Mission Statement

In FY 2008, the Refugee, Asylum and International Operations Directorate incorporated into USCIS the Humanitarian Affairs Branch (HAB) previously located in ICE. HAB is responsible for the adjudication of approximately 1,500 requests for humanitarian parole and significant public benefit paroles each year, as well as for management of the Cuban Haitian Entrant Program (CHEP) that provides reception, processing, and resettlement assistance to Cuban and Haitian parolees.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$519	\$540	\$0	(\$540)

Salaries and Benefits in FY 2009 Enacted reflect costs for 5 FTEs to support the Cuban-Haitian Entrant Program, the Moscow Refugee Program, and the Humanitarian Parole Program which were transferred from ICE in FY 2008. In FY 2010 these programs are funded through appropriated funds requested for Asylum and Refugee Services and Military Naturalizations.

Department of Homeland Security
U.S. Citizenship & Immigration Services
Salaries and Expenses
Business Transformation
Funding Schedule
(Dollars in Thousands)

PPA: Business Transformation		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
25.1	Advisory & Assistance Services	18,001	---	---	---
25.2	Other Services	2,391	25,382	---	(25,382)
25.3	Purchase from Govt. Accts.	155	---	---	---
25.7	Operation & maintenance of equipment	339	---	---	---
31.0	Equipment	732	---	---	---
Total, Business Transformation		\$21,618	\$25,382	---	(\$25,382)
Full Time Equivalents		---	---	---	---

PPA Mission Statement

The Business Transformation Program which is a multi-year effort to modernize USCIS business processes and supporting systems. In FY 2008, USCIS received \$47 million in no-year appropriated funding to support this initiative.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$2,391	\$25,382	\$0	(\$25,382)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. FY 2009 Enacted reflects \$25,382,000 in Transformation funding carried forward from FY 2007. All funds are anticipated to be obligated in FY 2009.

Department of Homeland Security
U.S. Citizenship & Immigration Services
Salaries and Expenses
FBI Background Checks
Funding Schedule
(Dollars in Thousands)

PPA: FBI Background Check		2008 ^{/1}	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
25.2	Other Services	15,000	---	---	---
25.7	Operation & maintenance of equipment	8,000	---	---	---
Total, FBI Background Check		\$23,000	\$0	\$0	\$0
Full Time Equivalents		---	---	---	---

1/ The FY 2008 Actual includes \$20M from emergency funding provided in P.L. 110-161 for FBI Name Check backlog, and \$8M from the FY07 supplemental funding for FBI Name Check backlog.

PPA Mission Statement

FBI Background Check funds were provided to address backlogs of security checks associated with pending applications and petitions.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$15,000	\$0	\$0	\$0

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$8,000	\$0	\$0	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account.

Department of Homeland Security
U.S. Citizenship & Immigration Services
Salaries and Expenses
REAL ID
Funding Schedule
(Dollars in Thousands)

PPA: REAL ID		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$0	\$196	\$201	\$5
11.5	Other per comp	---	6	6	---
12.1	Benefits	---	91	93	2
21.0	Travel	---	150	150	---
25.1	Advisory & Assistance Services	---	2,000	2,000	---
31.0	Equipment	---	3,100	3,100	---
41.0	Grants/Subsidies/Contributions	---	44,457	19,450	(25,007)
Total, REAL ID		\$0	\$50,000	\$25,000	(\$25,000)
Full Time Equivalents		---	2	2	---

PPA Mission Statement

The REAL ID Act requires a State to verify the issuance, validity, and completeness of each document required to be presented by the person seeking to obtain a REAL ID compliant driver's license or identification card before issuing a driver's license or identification card to the person.

The funding provided through USCIS is aimed specifically at the development of an information sharing and verification hub that will allow States to verify data against Federal and other State databases as well as improve state-to-state information sharing. USCIS is the core operating agency within DHS that will facilitate through its verification systems State compliance with the REAL ID Act. Operational guidance and support will be provided by DHS Policy.

The integrity of the immigration system is facilitated if State efforts through REAL ID discourage the use of false immigration information to unlawfully obtain benefits.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$0	\$293	\$300	\$7

Salaries and Benefits includes costs for 2 FTEs. The FY 2010 request includes an increase of \$4,000 for the proposed January 2010 2.0 percent increase in personnel compensation, and \$3,000 for annualization of the FY 2009 3.9% pay raise.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$0	\$44,457	\$19,450	(\$25,007)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2010 request reflects a one-time program decrease of \$25,007,000.

I. Changes in FTE

**Department of Homeland Security
U.S. Citizenship & Immigration Services
Salaries and Expenses
Changes in Full-Time Equivalents**

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	146	131	235
INCREASES			
Increase #1: E-Verify Description: The increase reflects the annualization of authorized FTEs in line with requested budget levels.	90	102	27
Description: Increased staff to expand the monitoring and compliance program.			40
Increase #2: CHEP & Parole Programs Description: Transfer from Immigration Examinations Fee Account.	3		
Increase #3: REAL ID Act Implementation Description: Increased FTE to support program implementation.		2	
Increase #4: Asylum and Refugee Services/Military Naturalizations Description: Fee reform proposal to fund these activities out of Salaries and Expenses instead of the Immigration Examinations Fee Account			744
Increase #5: Immigration Integration Description: Increased FTE to support program implementation.			2
Sub-Total Increases	93	104	813
DECREASES			
Decrease #1: SAVE Program Description: The SAVE Program is entirely fee-funded program in FY 2008.	108		
Decrease #2: Parole and Human Assistance Programs (CHEP) 2010. FTE are transferred back to the Immigration Examinations Fee Account.			5
Sub-Total Decreases	108	0	5
Year-end Actual/Estimated FTEs	131	235	1043
Net Change from prior year base to Budget Year Estimate:	(15)	104	808

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity

**Department of Homeland Security
U.S. Citizenship & Immigration Services
Salaries and Expenses**

FY 2009 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

	FY 2008 Actual	FY 2009 Enacted ¹	FY 2010 Anticipated ²	Increase / Decrease for FY 2010
Program/Project Activity	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Headquarters Personnel Compensation	\$2,022	\$2,013	\$21,500	\$19,487

Total Working Capital Fund	\$2,022	\$2,013	\$21,500	\$19,487

1/ WCF control total reflects the DHS reprogramming increase, not initial enacted FY 2009 estimate.

2/ FY 2010 reflects shift in funding of WCF activities from the IEFA to the Salaries and Expenses account based on the proposed fee reform, and the \$11M program increase for Data Center Development.

Department of Homeland Security

U.S. Citizenship & Immigration Services

Immigration Examinations Fee Account



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. CITIZENSHIP & IMMIGRATION SERVICES IMMIGRATION EXAMINATIONS FEE ACCOUNT

I. Appropriation Overview

A. Mission Statement for Immigration Examinations Fee Account:

The Immigration Examinations Fee Account (IEFA) is the primary program funding source for USCIS, comprising approximately 95 percent of the total USCIS budget. Fees collected from the filing of immigration benefit applications are deposited into the IEFA and used to fund the cost of processing immigration benefit applications and associated support benefits and the cost of similar benefits provided to other immigrants where fees are waived.

B. Budget Activities:

Adjudication Services

Through a network of 230 local offices, Application Support Centers, Service Centers, and Asylum Offices, USCIS is responsible for the timely and quality processing of:

- *Family-based petitions* - facilitating the process for close relatives of U.S. citizens and permanent residents to immigrate, gain permanent residency, work, etc.
- *Employment-based petitions* - facilitating the process for current and prospective employees to immigrate or work in the U.S. temporarily
- *Asylum and Refugee petitions* - adjudicating asylum applications and processing refugees
- *Naturalization petitions* - processing applications of those who wish to become U.S. citizens

Premium processing revenues collected into this account also fund the Business Transformation Program which is a multi-year effort to modernize USCIS business processes and supporting systems.

Information and Customer Services

Through multiple channels of available assistance, including the USCIS website, toll-free call centers (National Customer Service Call Centers), and face-to-face appointments, these services make it easier for customers to get the information they need, when they need it. On an annual basis, USCIS:

- Serves more than 16 million customers via the National Customer Service Call Centers
- Serves approximately 3 million customers through information counters at local offices

Administration

The Administration activity supports a variety of headquarters offices including Administration, Chief Financial Officer, Chief Counsel, Communications, Congressional Relations, Policy and Strategy, Chief Human Capital Officer, and Security and Integrity.

Systematic Alien Verification for Entitlements (SAVE)

The SAVE program assists organizations by providing a non-citizen applicant's immigration status, in order to determine eligibility for federal, state, or local public benefits. SAVE also supports implementation of the requirements of the REAL ID Act of 2005 by making it easier for states to verify immigration status for the issuance of driver's licenses and identification cards.

C. Budget Request Summary:

USCIS is committed to conducting a fee study every two years in order to ensure that immigration fees are set at a level to recover costs and these fees reflect productivity improvements resulting from process changes and technology upgrades. A fee review for FY 2010 and FY 2011 was initiated and USCIS plans to update this study to account for decisions made in this Budget.

USCIS requests 9,471 positions, 9,471 FTE, and \$2,451,884,000 for FY 2010. The total adjustments-to-base is a net decrease of 739 positions, 476 FTE, and \$43,302,000. This includes \$36,614,000 for pay inflation, \$25,733,000 for annualization of prior year part year funding, an upward adjustment of 243 FTE and a net increase of \$58,808,000 for annualization and non-recurring costs of prior year part-year funding. In addition, \$34,264,000 in premium processing fees is assumed to be collected above current levels through a Consumer Price Index (CPI) adjustment permitted under current law.

The reduction resulting from the fee reform proposal is 739 positions, 719 FTE and \$199M and is based on the FY 2009 enacted level. The FTE and associated costs are annualized and inflated in building to FY 2010 total requirements. After applying the annualization and inflationary adjustments, the reduction to IEFA in FY 2010 associated with the fee reform proposal would be 739 positions, 739 FTE and \$205M. In addition, 5 positions and 5 FTE funded under the Salaries and Expenses account in FY 2009 were planned to be funded through IEFA in FY 2010. However, these positions and FTE were incorporated into the fee reform proposal. As a result, the total FY 2010 requirements funded through appropriations is 744 positions, 744 FTE and \$205M.

To address resource needs and improve the equity and fairness of the USCIS fee system, the budget requests appropriated funding for costs associated with Refugee and Asylum, Humanitarian Parole, the cost of processing Adjustment of Status (I-485) applications for refugees, which are exempt from fees by law, and Military Naturalizations. These costs are currently recovered as a surcharge on the fees that USCIS charges on unrelated immigrant applications and petitions and the costs are included within the IEFA budget. Costs include both direct and indirect costs of these activities and the associated share of indirect overhead costs.

The Fee Reform proposal is an essential first step in providing greater linkage between fees and the actual costs necessary to adjudicate a specific application and petition. Near term and future business process and system improvements through Transformation will further support this goal by

improving operational efficiency leading to refinements in operational costs. Over time, the USCIS fee structure will closely match a focused and more efficient operational structure.

D. Proposed PPA Structure:

The primary purpose of the proposed restructuring is to eliminate the depicted breakout between pay and non-pay line items. Combining pay and benefits lines with general expenses lines will reduce the need to seek reprogrammings for smaller, inconsequential movements of resources. These movements in the recent past related mostly to re-estimates of costs for either category which had virtually no significant effect on program or policy direction such as updated estimates on payroll costs or the reclassification of employees between PPA line items. USCIS fully intends to continue to execute and monitor annual resources with breakouts between pay and non-pay. For changes that have a significant program, resource, or policy implications, USCIS will continue to keep the Committee apprised irrespective of the line item breakout.

In addition to the pay/non-pay change, some of the titles of individual lines are adjusted to reflect current budget proposals. Finally, the restructuring proposes to combine the current “National Customer Service Center” and “Information Services” line items into a single line for “Information and Customer Services”, which mirrors the name of the current organization within USCIS which utilizes the funding within both lines.

Revised PPA Crosswalk Proposal

	FY 2009		
Current Budget Structure	Revised Enacted ^{1/}	Crosswalk to Proposed Revised Structure	
<u>Adjudication services (fee account):</u>			
Pay and benefits	\$817,325	District Operations	-\$530,774
		Service Center Operations	-\$179,060
		International Operations	-\$81,747
		Records Operations	-\$25,744
District operations	\$532,199		
Service center operations	\$325,265		
Asylum, refugee and international operations	\$91,337		
Records operations	\$102,690		
Business transformation	\$252,058		
Subtotal:	\$2,120,874		-\$817,325
<u>Information and customer services (fee account):</u>			
Pay and benefits	\$78,935	Information Services	-\$19,542
		District Operations	-\$34,990
		Service Center Operations	-\$21,253
		International Operations	-\$3,150
National Customer Service Center	\$53,563		
Information services	\$17,013		
Subtotal:	\$149,511		-\$78,935
<u>Administration (fee account):</u>			
Pay and benefits	\$90,299	Administration	-\$90,299
Operating expenses	\$285,835		
Subtotal:	\$376,134		-\$90,299
<u>SAVE (fee account):</u>			
	\$18,818		
TOTAL:	\$2,665,337		-\$986,559

		Crosswalk from Current Structure	Proposed Revised Budget Structure	
			FY 2009	FY 2010
			Revised Enacted ^{1/}	Request
<u>Fee Accounts:</u>				
District operations	\$532,199	Pay & Benefits	\$565,764	\$1,097,963
Service center operations	\$325,265	Pay & Benefits	\$200,313	\$525,578
International operations ^{2/}	\$91,337	Pay & Benefits	\$84,897	\$176,234
Records operations	\$102,690	Pay & Benefits	\$25,744	\$128,434
Business transformation	\$252,058			\$252,058
Information and Customer Service ^{3/}	\$70,576	Pay & Benefits	\$19,542	\$90,118
Administration	\$285,835	Pay & Benefits	\$90,299	\$376,134
SAVE	\$18,818			\$18,818
Subtotal:	\$1,678,778		\$986,559	\$2,665,337
TOTAL:			\$2,665,337	\$2,451,884

1/ FY 2009 revised enacted reflects reprogramming level.

2/ Proposed name change in FY 2010 from Asylum, refugee and international operations to International operations based on proposed fee reform initiative which will fund asylum and refugee operations out of appropriations.

3/ Proposed name change in FY 2010 to combine National Customer Service Center and Information Services to Information and Customer Service.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
U.S. Citizenship & Immigration Services
Immigration Examinations Fee Account
 Summary of FY 2010 Budget Estimates by Program/Project Activity
 (Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted ^{2/2}		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE ^{1/1}	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Adjudication Services												
Pay & Benefits	7,333	712,224	8,051	800,731	7,533	779,557	(518)	(21,174)	---	---	(518)	(21,174)
District Operating Expenses	---	629,859	---	531,959	---	527,618	---	(4,341)	---	---	---	(4,341)
Service Center Operating Expenses	---	284,330	---	305,989	---	298,629	---	(7,360)	---	---	---	(7,360)
Asylum/Refugee Operating Expenses	---	84,008	---	91,338	---	45,757	---	(45,581)	---	---	---	(45,581)
Records Operating Expenses	---	99,391	---	85,659	---	76,668	---	(8,991)	---	---	---	(8,991)
Business Transformation	---	30,156	---	139,000	---	173,264	---	34,264	---	---	---	34,264
Information and Customer Services												
Pay & Benefits	895	65,731	1,070	78,935	1,070	88,063	---	9,128	---	---	---	9,128
Customer Service Center Operating Expenses	---	51,216	---	53,110	---	51,755	---	(1,355)	---	---	---	(1,355)
Information Services Operating Expenses	---	19,095	---	17,013	---	14,370	---	(2,643)	---	---	---	(2,643)
Administration												
Pay & Benefits	467	61,341	665	90,298	686	98,674	21	8,376	---	---	21	8,376
Operating Expenses	---	274,350	---	282,336	---	276,182	---	(6,154)	---	---	---	(6,154)
SAVE	107	13,376	161	18,818	182	21,347	21	2,529	---	---	21	2,529
Total, Enacted Appropriations and Budget Estimates	8,802	\$2,325,077	9,947	\$2,495,186	9,471	\$2,451,884	(476)	(\$43,302)	---	\$0	(476)	(\$43,302)

1/ FY08 Actual FTE includes Surge workhours

2/ FY 2009 enacted excludes \$170M in additional spending authority approved in the reprogramming.

III. Current Services Program Description by PPA

**Department of Homeland Security
U.S. Citizenship and Immigration Services
Immigration Examinations Fee Account
Program Performance Justification
(Dollars in thousands)**

PPA: ADJUDICATION SERVICES

	Perm. Pos.	FTE	Amount
2008 Actual	8,303	7,333	\$1,839,968
2009 Enacted	8,224	8,051	\$1,954,676
2010 Adjustments-to-Base	(691)	(518)	(\$53,183)
2010 Current Services	7,533	7,533	\$1,901,493
2010 Program Change	0	0	\$0
2010 Request	7,533	7,533	\$1,901,493
Total Change 2009-2010	(691)	(518)	(\$53,183)

USCIS requests 7,533 positions, 7,533 FTE and \$1.901 billion to process millions of immigration benefit applications while maintaining backlog goals, and ensuring the security and integrity of the immigration system. The adjustments-to-base include 156 FTE and \$46.2 million in pay adjustments/annualizations, \$4.1 million for annualization of prior year part year funding, and \$11 million for GSA rent. The requested level also includes adjustments for one-time non-recurring decrease related to Freedom of Information Act (FOIA) Backlog (\$5.7 million), an increase of \$30 million for information technology upgrades related to USCIS transformation, and an upward adjustment of \$34.3 million for CPI inflationary adjustments to the premium processing fee.

In addition, 691 positions, 674 FTE, and \$173 million previously funded within this area will be funded through an appropriation within the Salaries and Expenses Account. The positions and funding are associated with a Fee Reform proposal that will remove the cost of Military Naturalizations and Refugee and Asylum Operations from USCIS fees. Currently, the costs for Military Naturalizations and Refugee and Asylum Operations are being funded within IEFA, the account which finances the majority of USCIS fee-based activities. However, persons receiving services and benefits through these programs are exempt by law from paying fees. As a result, costs for the activities are added to the fees of non-exempt applicants as a surcharge. The asylum-refugee surcharge on each application and petition was estimated in 2007 to be \$40. While USCIS has the authority to charge other applicants the cost of providing benefits which are exempt from fees, this cost unduly burdens such applicants particularly as costs rise for these services.

CURRENT SERVICES PROGRAM DESCRIPTION:

FY 2010 planned funding for Adjudication Services includes \$779.6 million for payroll, \$527.6 million for District Operations, \$298.6 million for Service Center Operations, \$45.7 million for Refugee, Asylum, and International Operations, \$76.7 million for Records Operations, and \$173.3 million for Business Transformation.

Each year, millions of people apply for various types of immigration benefits from the U.S. Government. Immigration Services Officers (ISO) determine eligibility for a wide variety of benefits. They review applications and often conduct interviews of the applicants. ISOs have the dual responsibility of providing courteous service to the public while being alert to the possibility of fraud and misrepresentation and national security concerns. ISOs are assigned to one of 60 field offices located in 26 Districts nationwide; in one of four Service Centers located in St. Albans, VT, Lincoln, NE, Dallas, TX, and Laguna Niguel, CA; or in the National Benefits Center located in Lees Summit, MS.

In coordination with DHS and other federal agencies, USCIS combats immigration benefit fraud through the Office of Fraud Detection and National Security (FDNS). FDNS staff analyze and identify fraud patterns and trends, and document evidence of fraud for administrative action. USCIS will continue to implement fraud detection measures in Service Centers, field offices, and Refugee and Asylum programs and train adjudications staff to proactively identify fraud/security profiles while considering an application. Also, USCIS works in coordination with other components of DHS, and with agencies such as the Departments of Labor and State, and the Federal Bureau of Investigation (FBI) to conduct background checks.

Adjudication Services also includes funding for business transformation efforts and the Office of Information Technology. The Office of Transformation Coordination (OTC), and its primary component, the Transformation Program Office (TPO), oversee a multi-year effort to transform USCIS' current paper-based data systems into a modern, world-class digital processing resource that will enhance customer service, better prevent future backlogs, and improve USCIS efficiency while also strengthening security.

OTC coordinates transformation initiatives across USCIS and with other immigration enterprise partners at DHS and other federal agencies. TPO manages multiple contracts including pilot projects in support of USCIS' transformation, along with a Solutions Architect (SA) contract to assist with acquiring, integrating, and delivering the services to transform business processes; a Program Management Office support contract; a Federally Funded Research and Development Center contract to assist in program oversight functions; and other specialized contracts as needed to assist in overall implementation.

The Transformation Program will simplify, improve, and automate end to end USCIS business processes. An initial SA task order was awarded on November 3, 2008 to International Business Machines, Inc. (IBM) and publicly announced on November 6,

2008. The solution includes two increments spanning seven releases to be deployed over five years. The transformed USCIS processes will address security/integrity gaps of the immigration system by effectively collecting, analyzing, and sharing information used to verify identity, eligibility, and status. These processes will address service gaps by providing timely and accurate information online to customers 24 hours a day.

The Office of Information Technology supports USCIS operations with technology services and solutions to transform our Nation's immigration system. To create a disciplined organization focused on delivering strategic business value and high quality IT service through our people, processes, and technology.

Significant accomplishments in FY 2008 include:

- Revised the naturalization exam to improve civic content and to make the test an instrument of civic learning for immigrants. Naturalization applicants will now have a uniform, consistent experience nationwide.
- Implemented a pilot in July 2008, of the Secure Mail Initiative (SMI) at the Nebraska Service Center where Travel Documents are personalized. All re-entry permits and refugee travel documents are now being mailed using U.S. Postal Service Priority Mail with delivery confirmation.
- The Domestic Operations Directorate:
 - Processed 1.4 million employment authorization applications.
 - Processed 740,000 adjust status applications.
 - Processed over 1.1 million naturalization applications.
 - Processed 447,000 applications to replace permanent resident cards.
 - Processed 460,000 nonimmigrant worker petitions.
 - Processed nearly 30,000 orphan petitions.
 - Personalized 1.76 million Permanent Resident Cards, 1.36 million Employment Authorization Documents, and 126,085 Travel Documents.
- The Transformation Program Office:
 - Awarded an SA contract to IBM who will develop and in coordination with OIT, implement USCIS' Business Transformation.
 - Integrated Digitization Document Management Program (IDDMP) – Records Digitization Facility (RDF) and Enterprise Document Management System (EDMS) capabilities are operational. USCIS is able to scan, store, and view immigration paper files and related documents making electronic information available to USCIS and other partners.
 - EDMS successfully digitized and captured nearly 500,000 files.
 - With version 2.1 and 3.0 deployed in 2008, the user base increased to 12,000 bringing total capacity to 15,000, and the system now has the capability to watermark documents printed from the system along with enhanced search and editing capabilities.
 - Release 4.0 is scheduled for deployment in August 2009 and will deliver lockbox receipt functionality and provide multi-domain authentication.
- The Refugee, Asylum and International Operations Directorate:

- Adjudicated more than 99,000 I-590 refugee applications worldwide.
 - Note: Approximately 50 percent of the workload was accomplished by temporary duty assignments of permanent staff.
- Interviewed more than 23,000 Iraqi refugee applicants, which supported the admission of 13,823 Iraqi refugees; this exceeded the Administration's goal of 12,000 admissions.
- Launched the Cuban Family Reunification Parole Program, which permits Cuban beneficiaries of I-130 petitions to be paroled into the U.S. without the need for a current visa number.
- Coordinated the largest overseas military naturalization ceremonies since the implementation of the National Defense Authorization Act of 2004: 252 military service members naturalized in Balad, Iraq, on November 11, 2007; and 259 military service members naturalized in Baghdad, Iraq, on April 12, 2008; and 44 military service members naturalized in Bagram, Afghanistan on May 26, 2008.
- Fraud Detection and National Security (FDNS):
 - Hired over 150 new immigration officers and analysts, primarily in the field, to expand anti-fraud efforts.
 - Awarded the Administrative Site Visit Program (ASVVP) contract to provide a comprehensive and flexible verification tool for FDNS officers.
 - Reengineered and delivered a four-week FDNS Officer Basic Training Program to 185 FDNS personnel.
 - Enhanced the FDNS Data System (FDNS-DS) to support better data collection and reporting capabilities for both Fraud and National Security work.
 - Implemented a centralized Law Enforcement Support Operations Unit (LESO) to support law enforcement and intelligence organizations who need specialized assistance in sensitive immigration cases or operations.
- Office of Information Technology
 - Achieved a Federal Information Security Management Act (FISMA) score of 91 (exceeded DHS goal of 90).
 - Based on an independent assessment, USCIS achieved Federal Enterprise Architecture (FEA) level III compliance with USCIS Enterprise Architecture pending TPO alignment. Based on a zero to five scale, level III compliance indicates an agency has a well defined Enterprise Architecture.
 - Completed deployment of National File Transfer System (NFTS) to the last three USCIS sites (California, Nebraska and Vermont), resulting in global tracking and file accountability.
 - Initiated technology improvements to the naturalization business process.

Planned activities for FY 2009 include:

- Work with GSA to complete construction and/or build-out of space at the site selected for the second full service card production facility.

- Send all Permanent Resident Cards, Employment Authorization Documents and Travel Documents via the new secure mail process.
- Complete 100,000 refugee I-590 applications to support 75,000 admissions worldwide.
- Implement a comprehensive refugee standard operating procedure and expand and improve capacity to capture and check biometrics to all applicants for refugee resettlement.
- Achieve a six-month cycle time measured in real time for affirmative asylum.
- Begin executing the ASVVP with up to 1,600 site visits.
- Deploy FDNS Regional Special Operations Teams targeting fraud trends and emergent migration trends posing a threat to the national security.
- Establish an overseas presence of FDNS Officers in an effort to enhance verification processes as well as target fraud perpetrated by persons exploiting vulnerabilities in the immigration system at American Embassies and Consulates worldwide.
- Continue to work with the FBI to reach the goal of processing all name checks within a six month timeframe.
- Improve ability to collect, maintain, analyze, and report data and use that information to inform or refine program direction.
- Continue to support the development of the National Immigration Information Sharing Operation (NIISO) at the National Records Center, working jointly with DHS and its various components.
- Mature Federal Enterprise Architecture (FEA) Level III compliance with USCIS Enterprise Architecture and incorporate into the USCIS Transformation.
- Successfully deploy technology solution for H-1B pre-registration lottery.
- Initiate DHS data center migration.

During FY 2010, USCIS plans to:

- Identify any additional U.S. Government and non-government databases that can be used for security screening purposes.
- Increase the number of ASVVP site visits with a target goal of 5,000.
- Achieve FEA level IV compliance with USCIS Enterprise Architecture.
- Successfully re-host CLAIMS3 LAN.
- Continue migration of USCIS Department of Justice (DOJ)-hosted applications (E-Verify from Rockville and all mainframe applications from Dallas) from the DOJ data centers to DHS data centers.
- Begin migration of production systems in the Technology Engineering Consolidation Center (TECC), including CLAIMS 4, National File Tracking System (NFTS), Federal Information Processing Standards (FIPS) and Microfilm Digitization Application System (MIDAS) to one of the DHS data centers.
- Begin development of the first increment of Transformation – Citizenship – and the associated releases. Release 1 and 2 are anticipated to be completed prior to the end of FY 2010. Services will begin to encompass end-to-end adjudication and will include web-based account setup and electronic filing by customers;

identity management; a new case management system; electronic workflow; and expansion of on demand scanning.

PPA: INFORMATION AND CUSTOMER SERVICES

	Perm. Pos.	FTE	Amount
2008 Actual	1,115	895	\$136,042
2009 Enacted	1,117	1,070	\$149,058
2010 Adjustments-to-Base	47	0	\$5,130
2010 Current Services	1,070	1,070	\$172,266
2010 Program Change	0	0	\$0
2010 Request	1,070	1,070	\$154,188
Total Change 2009-2010	47	0	\$5,130

USCIS requests \$154.2 million to provide timely, consistent, and accurate information to our customers. The net adjustment-to-bases include increases of 45 FTE and \$12.3 million for pay adjustments/annualizations, \$330 thousand for annualization of prior year part year funding, and \$29 thousand for GSA rent.

In addition, decreases of 47 positions, 45 FTE, and \$7.5 million previously funded in this area will be funded through an appropriation within the Salaries and Expenses Account for FY 2010 under the Fee Reform proposal. The positions and funding are associated with agency-wide overhead allocated through an activity-based cost system to this category of funding.

CURRENT SERVICES PROGRAM DESCRIPTION:

FY 2010 planned funding for Information and Customer Services (ICS) includes \$88.1 million for payroll, and \$51.7 million for National Customer Service Centers, and \$14.4 million for Information Services.

Through ICS, USCIS reduces the frequency of repeated, redundant applicant contact with USCIS employees, thus improving agency efficiency. USCIS makes it easier for our customers to get the information they need, when they need it, through multiple channels of available assistance, including the USCIS website, toll-free call centers (National Customer Service Call Centers), and face-to-face appointments.

On an annual basis, USCIS:

- Serves more than 16 million customers via the National Customer Service Call Centers
- Serves approximately 3 million customers through information counters at local offices

Each year millions of people apply for various types of benefits under the Immigration and Nationality Act. Immigration Services Officers (ISOs) provide information about immigration and nationality law and regulations. They assist with a wide variety of requests, including questions on how to complete required forms, and explain the

administrative procedures and normal processing times for each application. ISOs offer a range of service activities from providing information on applicant cases to problem resolution assistance on applications and petitions. ISOs also review and make decisions on a limited array of applications and petitions. ISO positions are located throughout the country in Districts, Field Offices, and Service Centers.

Through the National Customer Service Center's six telephone centers, USCIS provides toll-free nationwide assistance to customers calling from within the U.S. Customers can access live assistance from 8:00 AM until 6:00 PM local time, Monday through Friday. They can also access recorded information (including information about the status of their specific case) 24 hours a day/7 days a week. Both live and recorded service is available in English and Spanish.

USCIS receives about 1.4 million direct information and customer service related contacts each month, or more than 16 million contacts per year. Today, over 72 percent of all information and customer service interactions are self-service. The self-service options give customers new choices that are simpler and more effective to both customers and USCIS. This option also results in significant cost avoidance when compared to what it would cost USCIS to provide live assistance to all these customers.

In-person service continues to be a critical component of the USCIS service model. To improve service levels, USCIS shifted to offering most in-person service by appointments scheduled via website. This has helped mitigate long lines and wait times, while addressing customer concerns and inquiries.

Accomplishments for FY 2008 include:

- Completed customer queuing systems in remaining 14 local offices.
- Upgraded customer queuing system to allow interface with appointment scheduling software, created a knowledge management system, and displayed presentations geared to educating customers in the information waiting rooms.
- Introduced a pilot program to initiate adjudication appointment customers into the customer queuing system to enable the capture of adjudicator performance metrics.
- Reviewed and revised Inter-Active Voice Response (IVR) system to improve efficiency of the system and the effectiveness of the information provided.
- Developed strategies and launched "How Do I" information on the web for external customer use.
- Improved Customer Processing Times Matrix.

Planned activities for FY 2009 include:

- Enhance self-service through improved online scripts, continue enhancements with the automated appointment scheduler, and enhance call center efficiencies and improve customer service
- Deploy Service Request Management Tool (SRMT) online for external customer use, thereby improving self-service

PPA: ADMINISTRATION

	Perm. Pos.	FTE	Amount
2008 Actual	661	467	\$335,691
2009 Enacted	686	665	\$372,634
2010 Adjustments-to-Base	0	21	\$2,222
2010 Current Services	686	686	\$382,442
2010 Program Change	0	0	\$0
2010 Request	686	686	\$374,856
Total Change 2009-2010	0	21	\$2,222

USCIS requests \$374.9 million to strengthen key management processes, systems, and administrative support activities; and to facilitate mission success and enhance the timeliness, accountability, efficiency and effectiveness of service delivery. The adjustment-to-base increase includes 21 FTE and \$8.4 million for pay adjustments/annualizations, \$1 million for annualization of prior year part year funding, and \$9.3 million for GSA rent. The requested level also includes a decrease of \$1 million for one-time non-recurring costs.

In addition, a decrease of \$15 million previously funded in this area will be funded through an appropriation within the Salaries and Expenses Account in FY 2010 under the Fee Reform proposal. The positions and funding are associated with agency-wide overhead allocated through an activity-based cost system to this category of funding.

CURRENT SERVICES PROGRAM DESCRIPTION:

FY 2010 funding for Administration is comprised of \$98.7 million for payroll and \$276.2 million for operating expenses. Outside of the offices of the Director and the Deputy Director, core offices include the following:

Office of Administration plans, develops, implements, and evaluates agency-wide policies, procedures, and programs for Acquisition, Asset, and Facilities Management, for the operation of centrally managed, agency-wide support activities, and for the direct delivery of administrative support to Headquarters.

Office of Chief Counsel (OCC) consists of dedicated legal divisions advising and representing USCIS Operations both at Headquarters and in the field. Divisions include Adjudications Law, Refugee and Asylum Law, Commercial and Administrative Law, Ethics, Field Operations, Training, and Liaison. Each division is responsible for reviewing, interpreting, and providing legal advice and guidance to USCIS operational components and OCC field staff.

Office of Communications oversees and coordinates communication to both internal and external stakeholders to empower employees with the tools needed to perform their jobs,

educate the public regarding USCIS benefits and services, and facilitate consistent messaging and imaging for USCIS.

Office of Congressional Relations (OCR) maintains communication with Congress through responding to constituent concerns, promoting USCIS' priorities, proactive outreach on issues of interest, and ongoing educational activities for Members of Congress and their staff.

Office of Ombudsman Liaison serves as the Director's representative to the DHS CIS Ombudsman and provides customer relationship management oversight and evaluation.

Office of Equal Opportunity and Inclusion (OEOI) ensures individuals are not denied opportunities in employment or program-services delivery because of their race, color, religion, sex, national origin, age, disability, sexual orientation, status as a parent, genetic information or reprisal.

Office of Policy and Strategy directs, prioritizes, and sets the agenda for agency-wide policy, strategy, and long-term planning activities, as well as for the conduct of research and analysis on immigration services issues.

Office of Security and Integrity (OSI) leads a multi-disciplined security and integrity program to protect and safeguard USCIS personnel, facilities, information and assets. OSI manages the personnel and industrial security, administrative/special security, communications security, and physical security programs and oversees the security awareness training program. OSI also manages a comprehensive internal management review program of USCIS functions and protects the integrity of USCIS programs by investigating allegations of employee misconduct related to waste, fraud, abuse or mismanagement.

Office of the Chief Human Capital Officer (CHCO) leads the strategic management of human capital in organizationally aligning and integrating workforce planning, recruiting, orientation, training, leadership and career development, and performance standards in achieving USCIS' mission. CHCO is responsible for establishing an enterprise-wide environment for continuous learning and a culture of professional excellence and includes the Human Capital Management Division and the Training and Career Development Division.

Office of Emergency Management and Safety (EMS) develops, maintains and enhances USCIS' Emergency Preparedness and Continuity of Operations, and Occupational Safety and Health programs to protect our employees, ensure a safe and healthy work environment, mitigate and minimize damage or destruction of property and vital records, and ensure the continued performance of USCIS' essential functions during unexpected emergencies and/or catastrophic events.

PPA: SYSTEMATIC ALIEN VERIFICATION FOR ENTITLEMENTS (SAVE)

	Perm. Pos.	FTE	Amount
2008 Actual	182	107	\$13,376
2009 Enacted	182	161	\$18,818
2010 Adjustments-to-Base	0	21	\$2,529
2010 Current Services	182	182	\$21,347
2010 Program Change	0	0	\$0
2010 Request	182	182	\$21,347
Total Change 2009-2010	0	21	\$2,529

USCIS requests \$21.3 million to fund existing operations. The SAVE program assists organizations by providing a non-citizen applicant's immigration status, in order to determine eligibility for federal, state, or local public benefits. The adjustment-to-base increase includes \$2.6 million for pay adjustments, and \$18 thousand for annualization of prior year part year funding.

In addition, a decrease of \$92 thousand previously funded in this area will be funded through an appropriation within the Salaries and Expenses Account in FY 2010 under the Fee Reform proposal. The positions and funding are associated with agency-wide overhead allocated through an activity-based cost system to this category of funding.

CURRENT SERVICES PROGRAM DESCRIPTION:

The SAVE program helps state, local, or federal agencies determine a non-citizen's eligibility for public benefits by checking their immigration status. In total, about 269 agencies use SAVE services. Large agency customers include the Social Security Administration, the U.S. Department of Housing and Urban Development, the U.S. Department of Education, and the California Department of Motor Vehicles.

REAL ID is a nationwide effort intended to prevent terrorism, reduce fraud, and improve the reliability and accuracy of identification documents that state governments issue. The SAVE program helps support implementation of the requirements of the REAL ID Act of 2005. Specifically, the Act requires routine verification of lawful status through the SAVE program of all non-citizen applicants for a driver's license or state-issued identification card.

Planned activities for FY 2009 include:

As of February 21, 2009, the SAVE program had a total 269 registered agencies. This included 155 state agencies, 29 DMVs, 59 local agencies, and 26 federal agencies.

The planning estimate for SAVE queries in FY 2009 is approximately 10.9 million and the planning estimate for agencies enrolled in the SAVE program in FY 2009 is 277.

The FY 2009 SAVE program budget includes status verification operations, monitoring and compliance, and program management staffing costs. Funding is split between status verification monitoring/compliance staff, and program management.

In FY 2009, the SAVE program plans to provide a training DVD to its user community; the DVD would include SAVE basic and advanced training. The training would also be available on the SAVE public website. Currently, training is provided by government employees traveling to various sites performing demonstrations and hands-on training. Additionally, the SAVE program plans to partner with the American Association of Motor Vehicle Administrators (AAMVA) to continue in-state the operations and maintenance of the connectivity built over the last year. The AAMVA connectivity allows DMVs another avenue to connect to the SAVE program and facilitate REAL ID requirements.

Planned activities for FY 2010 include:

In FY 2010, USCIS will also reduce SAVE secondary verifications through technological enhancements to the Verification Information System (VIS) and improvements to the database's accuracy. SAVE secondary verification reduction would reduce usage costs of using SAVE for participating entities. The planning estimate for SAVE queries in FY 2010 is approximately 13.3 million and the planning estimate for the number of agencies enrolled in the SAVE program in FY 2010 is 303.

IV. Program Justification of Changes

Not applicable.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Sec. 536. Temporary Protected Status Fee Clarification.

(a) In general. Section 244 of the Immigration and Nationality Act (8 U.S.C. 1254a), as amended, is further amended in subsection (c)(1)(B) by:

(1) striking the second sentence ; and

(2) striking in the third sentence "a separate, additional fee" and inserting in lieu thereof: "separate, additional fees for reregistration, for fingerprinting or other biometric services regardless of whether such services may relate to an initial or renewed registration for temporary protected status, and".

(b) Effective date. The amendment made by this section is effective as of the date of enactment of Pub. L. No. 102-232.

Explanation

The provision removes the current statutorily-set registration fee of \$50 on Temporary Protected Status (TPS) applicants to permit USCIS to match future fees to estimated actual cost. The provision also clarifies the law on biometric fees assessed on past and current applicants. It also supports the Administration's overall goal to reform immigration fees and ensure that fees are set at the level to recover costs for providing a specific benefit.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
U.S. Citizenship & Immigration Services
Immigration Examinations Fee Account
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actuals ^{1/}	10,261	8,802	\$2,325,077
2009 Enacted ^{2/}	10,210	9,947	2,495,186
Adjustments-to-Base			
Increases			
Annualization of prior year part year funding	---	243	70,841
Annualization of 2009 pay raise	---	---	8,922
2010 pay increase	---	---	27,692
GSA Rent	---	---	20,318
CPI Adjustment for Premium Processing	---	---	34,264
Total Increases	---	243	162,037
Decreases			
Termination of one-time costs	---	---	(6,618)
Fee Reform Adjustment ^{3/}	(739)	(719)	(198,721)
Total Decreases	(739)	(719)	(205,339)
Total Adjustments-to-Base	(739)	(476)	(43,302)
2009 Current Services	9,471	9,471	2,451,884
 2010 Request	 9,471	 9,471	 2,451,884
 2009 to 2010 Total Change	 (739)	 (476)	 (43,302)

1/ FY08 Actual FTE includes Surge workhours

2/ FY 2009 enacted excludes \$170M in additional spending authority approved in the reprogramming.

3/ The Fee Reform reduction of 739 positions, 719 FTE and \$199M is based on the FY 2009 enacted level. The FTE and associated costs are annualized and inflated in building to FY 2010 total requirements. After applying the annualization and inflationary adjustments, the reduction to IEFA in FY 2010 associated with fee reform would be 739 positions, 739 FTE and \$205M. In addition, 5 positions and 5 FTE funded under the Salaries and Expenses account in FY 2009 were planned to be funded through IEFA in FY 2010. However, these positions and FTE were incorporated into the fee reform proposal. As a result, the total FY 2010 requirements funded through appropriations is 744 positions, 744 FTE and \$205M.

C. Summary of Requirements

**Department of Homeland Security
U.S. Citizenship & Immigration Services
Immigration Examinations Fee Account
Summary of Requirements
(Dollars in Thousands)**

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual ^{1/}	10,261	8,802	\$2,325,077
2009 Enacted ^{2/}	10,210	9,947	2,495,186
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	---	---	---
Increases	---	243	162,037
Decreases	(739)	(719)	(205,339)
Total Adjustments-to-Base	(739)	(476)	(43,302)
2010 Current Services	9,471	9,471	2,451,884
2010 Total Request	9,471	9,471	2,451,884
2009 to 2010 Total Change	(739)	(476)	(43,302)

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Adjudication Services- Pay and Benefits	8,225	8,051	\$800,731	(692)	(518)	(\$21,174)	---	---	---	7,533	7,533	\$779,557	(692)	(518)	(\$21,174)
2 Adjudication Services- District Operating Expenses	---	---	531,959	---	---	(4,341)	---	---	---	---	---	527,618	---	---	(4,341)
3 Adjudication Services- Service Center Operating Expenses	---	---	305,989	---	---	(7,360)	---	---	---	---	---	298,629	---	---	(7,360)
4 Adjudication Services- Asylum/Refugee Operating Expenses	---	---	91,338	---	---	(45,581)	---	---	---	---	---	45,757	---	---	(45,581)
5 Adjudication Services- Records Operating Expenses	---	---	85,659	---	---	(8,991)	---	---	---	---	---	76,668	---	---	(8,991)
6 Adjudication Services- Business Transformation	---	---	139,000	---	---	34,264	---	---	---	---	---	173,264	---	---	34,264
7 Information & Customer Services- Pay and Benefits	1,117	1,070	78,935	(47)	---	9,128	---	---	---	1,070	1,070	88,063	(47)	---	9,128
8 Information & Customer Services- NCSC Operating Expenses	---	---	53,110	---	---	(1,355)	---	---	---	---	---	51,755	---	---	(1,355)
9 Information & Customer Services- Operating Expenses	---	---	17,013	---	---	(2,643)	---	---	---	---	---	14,370	---	---	(2,643)
10 Administration- Pay & Benefits	686	665	90,298	---	21	8,376	---	---	---	686	686	98,674	---	21	8,376
11 Administration- Operating Expenses	---	---	282,336	---	---	(6,154)	---	---	---	---	---	276,182	---	---	(6,154)
12 SAVE	182	161	18,818	---	21	2,529	---	---	---	182	182	21,347	---	21	2,529
Total	10,210	9,947	\$2,495,186	(739)	(476)	(\$43,302)	---	---	---	9,471	9,471	\$2,451,884	(739)	(476)	(\$43,302)

Note:

1/ FY08 Actual FTE includes Surge workhours

2/ FY 2009 enacted excludes \$170M in additional spending authority approved in the reprogramming.

D. Summary of Reimbursable Resources

**Department of Homeland Security
U.S. Citizenship & Immigration Services
Immigration Examinations Fee Account
Summary of Reimbursable Resources
(Dollars in Thousands)**

Collections by Source	FY 2008 Actuals			2009 Enacted			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Department of Justice	---	---	\$1,500	---	---	\$0	---	---	\$0	---	---	---
Department of the Interior	---	---	---	---	---	100	---	---	100	---	---	---
Department of Homeland Security	---	---	---	---	---	300	---	---	300	---	---	---
Transportation Security Administration	---	---	1,681	---	---	500	---	---	500	---	---	---
U.S. Customs & Border Protection	---	---	5,181	---	---	6,927	---	---	6,927	---	---	---
U.S. Department of Transportation	2	0	14	2	0	14	2	0	14	---	---	---
U.S. Immigration & Customs Enforcement	---	---	9,567	---	---	9,950	---	---	9,950	---	---	---
U.S. Visit	---	---	---	---	---	400	---	---	400	---	---	---
Federal Emergency Management Administration	---	---	126	---	---	130	---	---	130	---	---	---
Total Budgetary Resources	2	0	18,069	2	0	18,321	2	0	18,321	---	---	---

Obligations by Program/Project Activity	FY 2008 Actuals			2009 Enacted			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Adjudication Services	2	0	\$16,350	2	0	\$16,598	2	0	\$16,598	---	---	---
Administration	---	---	1,719	---	---	1,723	---	---	1,723	---	---	---
Total Obligations	2	0	18,069	2	0	18,321	2	0	18,321	---	---	---

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Citizenship & Immigration Services
Immigration Examinations Fee Account
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2008 Actuals ^{1/}	2009 Enacted ^{2/}	2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$599,775	\$692,295	\$703,009	\$10,714
11.3 Other than full-time permanent	\$23,164	\$26,819	\$27,123	304
11.5 Other Personnel Compensation	\$52,376	\$49,963	\$34,486	(15,477)
12.1 Benefits	\$185,938	\$214,558	\$217,834	3,276
13.0 Benefits - former	\$1,164	\$1,559	\$1,669	110
Total, Personnel Comp. & Benefits	\$862,417	\$985,194	\$984,121	(\$1,073)
Other Object Classes:				
21.0 Travel	34,673	46,291	33,667	(12,624)
22.0 Transportation of things	5,841	1,393	1,162	(231)
23.1 GSA rent	162,879	167,505	176,629	9,124
23.2 Other rent	3,770	1,715	1,724	9
23.3 Communications, utilities, & other misc. charges	42,860	22,968	22,614	(354)
24.0 Printing and reproduction	21,068	8,470	8,466	(4)
25.1 Advisory and assistance services	452,089	289,665	256,672	(32,993)
25.2 Other services	384,541	843,297	857,141	13,844
25.3 Purchases of goods & svcs. from Gov't accounts	221,869	18,888	18,497	(391)
25.4 Operation & maintenance of facilities	124	178	178	---
25.5 Research and development contracts	5	---	---	---
25.6 Medical care	25	---	---	---
25.7 Operation and maintenance of equipment	38,461	33,737	30,611	(3,126)
25.8 Subsistence and support of persons	---	6	6	---
26.0 Supplies and materials	24,304	37,485	36,659	(826)
31.0 Equipment	68,252	26,203	22,483	(3,720)
32.0 Land & structures	459	---	---	---
41.0 Grants/Subsidies/Contributions	30	10,976	32	(10,944)
42.0 Indemnity	1,779	1,216	1,222	6
43.0 Interest & dividends	1	---	---	---
99.5 Below Reporting Threshold	(370)	---	---	---
Total, Other Object Classes	1,462,659	\$1,509,992	\$1,467,763	(\$42,229)
Total, Direct Obligations	\$2,325,077	\$2,495,186	\$2,451,884	(\$43,302)
Unobligated balance, start of year	(668,126)	(802,768)	(798,768)	4,000
Additional receipts, +/- obligations	(89,883)	---	---	---
Transfers	4,000	4,000	---	(4,000)
Unobligated balance, end of year	802,768	798,768	802,768	4,000
Recoveries of prior year obligations	(41,967)	---	---	---
Total requirements	\$2,331,869	\$2,495,186	\$2,455,884	(39,302)

1/ FY 2008 actuals by object class do not tie to the object class breakout in MAX, but are properly depicted above.

2/ FY 2009 enacted excludes \$170M in additional spending authority approved in the reprogramming.

F. Permanent Positions by Grade

**Department of Homeland Security
U.S. Citizenship & Immigration Services
Immigration Examinations Fee Account**

Permanent Positions by Grade

Grades and Salary Ranges	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
	Pos.	Pos.	Pos.	Total
Total, SES	50	49	44	(5)
Total, EX	4	2	2	---
GS-15	526	519	517	(2)
GS-14	888	884	819	(65)
GS-13	1,159	1,208	1,137	(71)
GS-12	2,699	2,664	2,405	(259)
GS-11	726	697	616	(81)
GS-10	79	25	24	(1)
GS-9	1,012	1,421	1,280	(141)
GS-8	511	124	120	(4)
GS-7	1,354	1,369	1,338	(31)
GS-6	268	187	156	(31)
GS-5	939	1,023	972	(51)
GS-4	43	35	38	3
GS-3	3	3	3	---
GS-2	---	---	---	---
Other Graded Positions	---	---	---	---
Ungraded Positions	---	---	---	---
Total Permanent Positions	10,261	10,210	9,471	(739)
Unfilled Positions EOY	2,000	---	---	---
Total Perm. Employment EOY	8,261	10,210	9,471	(739)
FTE	8,802	9,947	9,471	(476)
Headquarters	1,786	1,725	1,459	(266)
U.S. Field	8,390	8,399	7,916	(483)
Foreign Field	85	86	96	11
Total Permanent Positions	10,261	10,210	9,471	(739)
Average ES Salary	\$ ---	\$ ---	\$ ---	\$ ---
Average GS Salary	\$ 69,481	\$ 72,952	\$ 74,636	\$ 1,684
Average GS Grade	10.36	10.38	10.36	(0.02)

G. Capital Investment and Construction Initiative Listing

Not applicable.

H. PPA Budget Justifications

**Department of Homeland Security
U.S. Citizenship & Immigration Services
Immigration Examinations Fee Account
Adjudication Services
Funding Schedule
(Dollars in Thousands)**

PPA: Adjudication Services		2008 Actuals^{/1}	2009 Enacted^{/2}	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$501,218	\$565,135	\$558,143	(\$6,992)
11.3	Other than perm	20,221	22,800	22,518	(282)
11.5	Other per comp	46,005	37,067	25,339	(11,728)
12.1	Benefits	155,547	175,388	173,214	(2,174)
13.0	Benefits-former	308	373	369	(4)
21.0	Travel	23,415	28,181	15,924	(12,257)
22.0	Transportation of things	5,447	1,160	939	(221)
23.1	GSA rent	86,403	98,599	100,817	2,218
23.2	Other rent	3,742	1,513	1,521	8
23.3	Communication, Utilities, and misc charges	28,317	22,958	22,604	(354)
24.0	Printing	14,478	7,082	7,078	(4)
25.1	Advisory & Assistance Services	394,933	267,916	236,025	(31,891)
25.2	Other Services	298,327	616,442	645,516	29,074
25.3	Purchase from Govt. Accts.	142,678	11,376	11,432	56
25.4	Operation & maintenance of facilities	124	---	---	---
25.5	Research & Development	5	---	---	---
25.6	Medical care	25	---	---	---
25.7	Operation & maintenance of equipment	36,881	32,062	28,927	(3,135)
26.0	Supplies & materials	19,174	33,325	32,507	(818)
31.0	Equipment	62,765	22,324	18,588	(3,736)
32.0	Land & Structures	294	---	---	---
41.0	Grants/Subsidies/Contributions	30	10,976	32	(10,944)
43.0	Interest	1	---	---	---
99.5	Below Reporting Threshold	(370)	---	---	---
Total, Adjudication Services		\$1,839,968	\$1,954,676	\$1,901,493	(\$53,183)
Full Time Equivalents		7,333	8,051	7,533	(518)

1/ FY 2008 actuals by object class do not tie to the object class breakout in MAX, but are properly depicted above. Actual FTE include workhours for Surge.

2/ FY 2009 enacted excludes \$170M in additional spending authority approved in the reprogramming.

PPA Mission Statement

The funds from the Immigration Examinations Fee Account (IEFA), Adjudication Services Program, is the primary funding source and Program supporting USCIS' mission. USCIS requests \$2 billion to process millions of immigration benefit applications; maintaining backlog goals achieved at the end of FY 2006, and ensuring the security and integrity of the immigration system. \$174 million will also be used for the Business Transformation Program.

Summary Justification and Explanation of Changes

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$723,299	\$800,763	\$779,583	(\$21,180)

Salaries and Benefits includes costs for 7,533 FTEs. The FY 2010 request includes an increase of \$10,878,000 for the proposed January 2010 2.0 percent increase in personnel compensation, \$11,139,000 for within-grade and step adjustments, \$7,092,000 in annualization of the FY 2009 pay raise, plus 156 FTE and \$17,110,000 for annualization of prior year part-year funding. There is also a reduction of 674 FTE and \$67,394,000 for pay adjustments related to the fee reform proposal, and a reduction of \$5,000 in non-pay funding for benefits associated with the fee reform adjustments.

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$23,415	\$28,083	\$15,826	(\$12,257)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes a decrease of \$12,336,000 for costs related to the fee reform adjustments, and an increase of \$79,000 for annualization of prior year part-year funding.

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Transportation of Things	\$5,447	\$1,160	\$939	(\$221)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request includes a decrease of \$226,000 for costs related to the fee reform adjustments, and an increase of \$5,000 for annualization of prior year part-year funding.

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
GSA rent	\$86,403	\$98,599	\$100,817	\$2,218

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request includes a decrease of \$8,811,000 for costs related to the fee reform adjustments, and an increase of \$11,029,000 for annualization of prior year part-year funding.

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Other Rent	\$3,742	\$1,513	\$1,521	\$8

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request includes an increase of \$8,000 for annualization of prior year part-year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$28,317	\$22,958	\$22,604	(\$354)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes a decrease of \$466,000 for costs related to the fee reform adjustments, and an increase of \$112,000 for annualization of prior year part-year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Printing	\$14,478	\$7,082	\$7,078	(\$4)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 request includes a decrease of \$39,000 for costs related to the fee reform adjustments, and an increase of \$35,000 for annualization of prior year part-year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Advisory and Assistance Services	\$394,933	\$267,916	\$236,025	(\$31,891)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request includes a decrease of \$32,982,000 for costs related to the fee reform adjustments, and an increase of \$1,091,000 for annualization of prior year part-year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Other Services	\$298,327	\$616,442	\$645,516	\$29,074

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request includes a decrease of \$31,747,000 for costs related to the fee reform adjustments, a one-time decrease of \$5,729,000 for cost reductions in the FOIA Backlog program, an increase of \$2,286,000 for annualization of prior year part-year funding, an increase of \$30,000,000 for information technology upgrades in support of USCIS transformation, and an increase of \$34,264,000 for CPI adjustments to the premium processing fee.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Purchase from Government Accounts	\$142,678	\$11,376	\$11,432	\$56

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request includes an increase of \$56,000 for annualization of prior year part-year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Operation & Maintenance of equipment	\$36,881	\$32,062	\$28,927	(\$3,135)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request includes a decrease of \$3,279,000 for costs related to the fee reform adjustments, and an increase of \$144,000 for annualization of prior year part-year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Supplies & materials	\$19,174	\$33,325	\$32,507	(\$818)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes a decrease of \$980,000 for costs related to the fee reform adjustments, and an increase of \$162,000 for annualization of prior year part-year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Equipment	\$62,765	\$22,324	\$18,588	(\$3,736)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes a decrease of \$3,828,000 for costs related to the fee reform adjustments, and an increase of \$92,000 for annualization of prior year part-year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Grants/Subsidies/Contributions	\$30	\$10,976	\$32	(\$10,944)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2010 request includes a decrease of \$10,944,000 for costs related to the fee reform adjustments.

Department of Homeland Security
U.S. Citizenship & Immigration Services
Immigration Examinations Fee Account
Information and Customer Services
Funding Schedule
(Dollars in Thousands)

PPA: Information and Customer Services		2008 Actuals^{/1}	2009 Enacted^{/2}	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$46,150	\$52,322	\$61,977	\$9,654
11.3	Other than perm	1,126	1,277	1,512	235
11.5	Other per comp	4,175	9,146	5,396	(3,750)
12.1	Benefits	14,280	16,190	19,178	2,988
21.0	Travel	1,206	1,098	1,050	(48)
22.0	Transportation of things	53	31	20	(11)
23.1	GSA rent	1,725	1,907	(447)	(2,354)
23.2	Other rent	---	202	203	1
23.3	Communication, Utilities, and misc charges	2,963	---	---	---
24.0	Printing	5,237	27	20	(7)
25.1	Advisory & Assistance Services	30,318	16,422	15,902	(520)
25.2	Other Services	16,017	47,727	46,680	(1,047)
25.3	Purchase from Govt. Accts.	10,234	5	5	---
25.7	Operation & maintenance of equipment	41	1,581	1,589	8
26.0	Supplies & materials	1,777	941	920	(21)
31.0	Equipment	740	182	183	1
Total, Information and Customer Services		\$136,042	\$149,058	\$154,188	\$5,130
Full Time Equivalents		895	1,070	1,070	---

1/ FY 2008 actuals by object class do not tie to the object class breakout in MAX, but are properly depicted above. Actual FTE include workhours for Surge.

2/ FY 2009 enacted excludes \$170M in additional spending authority approved in the reprogramming.

PPA Mission Statement

The funds from the Immigration Examinations Fee Account (IEFA), Information and Customer Services Program, are used to provide timely, consistent, and accurate information to its customers that will reduce the frequency of repeated, redundant applicant contact with USCIS employees, thus improving agency efficiency. Through multiple channels of available assistance, including the USCIS website, toll-free call center (National Customer Service Call Center), and face-to-face appointments; USCIS will make it easier for our customers to get the information they need, when they need it.

Summary Justification and Explanation of Changes

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$65,731	\$78,935	\$88,063	\$9,127

Salaries and Benefits includes costs for 1,070 FTEs. The FY 2010 request includes an increase of \$1,177,000 for the proposed January 2010 2.0 percent increase in personnel compensation, \$1,206,000 for within-grade and step adjustments, \$768,000 in annualization of the FY 2009 pay raise, plus 45 FTE and \$9,128,000 for annualization of prior year part-year funding. There is also a reduction of 45 FTE and \$3,152,000 for pay adjustments related to the fee reform proposal.

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$1,206	\$1,098	\$1,050	(\$48)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes a decrease of \$53,000 for costs related to the fee reform adjustments, and an increase of \$5,000 for annualization of prior year part-year funding.

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Transportation of Things	\$53	\$31	\$20	(\$11)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request includes a decrease of \$11,000 for costs related to the fee reform adjustments.

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
GSA rent	\$1,725	\$1,907	(\$447)	(\$2,354)

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request includes a decrease of \$2,383,000 for costs related to the fee reform adjustments, and a net increase of \$29,000 in annualization of prior year part-year funding.

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Other Rent	\$0	\$202	\$203	\$1

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request includes an increase of \$1,000 in annualization of prior year part-year funding.

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Printing	\$5,237	\$27	\$20	(\$7)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 request includes a decrease of \$7,000 for costs related to the fee reform adjustments.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Advisory and Assistance Services	\$30,318	\$16,422	\$15,902	(\$520)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request includes a decrease of \$600,000 for costs related to the fee reform adjustments, and an increase of \$80,000 for annualization of prior year part-year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Other Services	\$16,017	\$47,727	\$46,680	(\$1,047)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request includes a decrease of \$1,276,000 for costs related to the fee reform adjustments, and an increase of \$229,000 for annualization of prior year part-year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Operation & Maintenance of equipment	\$41	\$1,581	\$1,589	\$8

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request includes an increase of \$8,000 for annualization of prior year part-year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Supplies & materials	\$1,777	\$941	\$920	(\$21)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes a decrease of \$26,000 for costs related to the fee reform adjustments, and an increase of \$5,000 for annualization of prior year part-year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Equipment	\$740	\$182	\$183	\$1

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes an increase of \$1,000 for annualization of prior year part-year funding.

Department of Homeland Security
U.S. Citizenship & Immigration Services
Immigration Examinations Fee Account

Administration

Funding Schedule

(Dollars in Thousands)

PPA: Administration		2008	2009	2010	2009 to 2010
		Actuals ^{/1}	Enacted ^{/2}	Request	Change
Object Classes:					
11.1	Perm Positions	\$46,501	\$64,433	\$70,620	\$6,187
11.3	Other than perm	1,219	1,689	1,851	162
11.5	Other per comp	1,659	3,083	3,084	1
12.1	Benefits	14,367	19,907	21,819	1,912
13.0	Benefits-former	856	1,186	1,300	114
21.0	Travel	9,963	16,916	16,597	(319)
22.0	Transportation of things	330	196	197	1
23.1	GSA rent	74,751	66,999	76,259	9,260
23.2	Other rent	28	---	---	---
23.3	Communication, Utilities, and misc charges	11,580	10	10	---
24.0	Printing	1,353	1,361	1,368	7
25.1	Advisory & Assistance Services	24,636	5,327	4,745	(582)
25.2	Other Services	70,117	177,937	163,840	(14,097)
25.3	Purchase from Govt. Accts.	67,791	5,507	5,050	(457)
25.4	Operation & maintenance of facilities	---	178	178	---
25.7	Operation & maintenance of equipment	1,539	94	95	1
26.0	Supplies & materials	3,013	2,898	2,909	11
31.0	Equipment	4,048	3,697	3,712	15
32.0	Land & Structures	161	---	---	---
42.0	Indemnity	1,779	1,216	1,222	6
Total, Administration		\$335,691	\$372,634	\$374,856	\$2,222
Full Time Equivalents		467	665	686	21

1/ FY 2008 actuals by object class do not tie to the object class breakout in MAX, but are properly depicted above. Actual FTE include workhours for Surge.

2/ FY 2009 enacted excludes \$170M in additional spending authority approved in the reprogramming.

PPA Mission Statement

The funds from the Immigration Examinations Fee Account (IEFA), Administration Program, fund USCIS Headquarters operations to support and guide USCIS offices around the world. These offices include Administration, Budget, Financial Management, Chief Counsel, Citizenship, Communications, Congressional Relations, Policy and Strategy, Chief Human Capital, and Security and Investigations.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Salaries and Benefits	\$64,602	\$90,298	\$98,674	\$8,376

Salaries and Benefits includes costs for 686 FTEs. The FY 2010 request includes an increase of \$1,380,000 for the proposed January 2010 2.0 percent increase in personnel compensation, \$1,413,000 for within-grade and step adjustments, \$900,000 in annualization of the FY 2009 pay raise, plus 21 FTE and \$4,683,000 for annualization of prior year part-year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Travel	\$9,963	\$16,916	\$16,597	(\$319)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes a decrease of \$401,000 for non-recurring costs associated with the Growth Management Oversight Unit and Human Capital Basic Training. There is an increase of \$82,000 for annualization of prior year part-year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Transportation of Things	\$330	\$196	\$197	\$1

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request includes an increase of \$1,000 for annualization of prior year part-year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
GSA rent	\$74,751	\$66,999	\$76,259	\$9,260

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request includes an increase of \$9,260,000 for annualization of prior year part-year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Printing	\$1,353	\$1,361	\$1,368	\$7

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 request includes an increase of \$7,000 for annualization of prior year part-year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Advisory and Assistance Services	\$24,636	\$5,327	\$4,745	(\$582)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request includes a decrease of \$606,000 for costs related to the fee reform adjustments, and an increase of \$24,000 for annualization of prior year part-year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Other Services	\$70,117	\$177,937	\$163,840	(\$14,097)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request includes a decrease of \$14,913,000 for costs related to the fee reform adjustments, and an increase of \$816,000 for annualization of prior year part-year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Purchase from Government Accounts	\$67,791	\$5,507	\$5,050	(\$457)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request includes a decrease of \$482,000 for non-recurring costs related to Growth Management Oversight Unit, and an increase of \$25,000 for annualization of prior year part-year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Operation & Maintenance of equipment	\$1,539	\$94	\$95	\$1

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 requests an increase of \$1,000 for annualization of prior year part-year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Supplies & materials	\$3,013	\$2,744	\$2,755	\$11

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes a decrease of \$3,000 for non-recurring costs related to Growth Management Oversight Unit, and an increase of \$14,000 for annualization of prior year part-year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Equipment	\$4,048	\$3,697	\$3,712	\$15

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes a decrease of \$3,000 for non-recurring costs related to Growth Management Oversight Unit, and an increase of \$18,000 for annualization of prior year part-year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Indemnity	\$1,779	\$1,216	\$1,222	\$6

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2010 request includes an increase of \$6,000 for annualization of prior year part-year funding.

Department of Homeland Security
U.S. Citizenship & Immigration Services
Immigration Examinations Fee Account
Systematic Alien Verification for Eligibility (SAVE)
Funding Schedule
(Dollars in Thousands)

PPA: SAVE		2008	2009	2010	2009 to 2010
		Actuals ^{1/}	Enacted ^{2/}	Request	Change
Object Classes:					
11.1	Perm Positions	\$5,906	\$10,405	\$12,269	\$1,864
11.3	Other than perm	598	1,053	1,242	189
11.5	Other per comp	537	667	667	---
12.1	Benefits	1,744	3,073	3,623	550
21.0	Travel	89	96	96	---
22.0	Transportation of things	11	6	6	---
25.1	Advisory & Assistance Services	2,202	---	---	---
25.2	Other Services	80	1,191	1,105	(86)
25.3	Purchase from Govt. Accts.	1,166	2,000	2,010	10
25.8	Subsistence & Support of persons	---	6	6	---
26.0	Supplies & materials	340	321	323	2
31.0	Equipment	699	---	---	---
32.0	Land & Structures	4	---	---	---
Total, SAVE		\$13,376	\$18,818	\$21,347	\$2,529
Full Time Equivalents		107	161	182	21

1/ FY 2008 actuals by object class do not tie to the object class breakout in MAX, but are properly depicted above. Actual FTE include workhours for Surge.

2/ FY 2009 enacted excludes \$170M in additional spending authority approved in the reprogramming.

PPA Mission Statement

This program funds the operations of the SAVE Program. SAVE is an intergovernmental information-sharing program that verifies an individual's immigration status to ensure that only those eligible receive Federal, state, or local public benefits.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Salaries and Benefits	\$8,785	\$15,198	\$17,801	\$2,603

Salaries and Benefits includes costs for 182 FTEs. The FY 2010 request includes an increase of \$247,000 for the proposed January 2010 2.0 percent increase in personnel compensation, \$253,000 for within-grade and step adjustments, \$162,000 in annualization of the FY 2009 pay raise, plus 21 FTE and \$1,941,000 for annualization of prior year part-year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Other Services	\$80	\$1,191	\$1,105	(\$86)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request includes a decrease of \$92,000 for costs related to the fee reform adjustments, and an increase of \$6,000 for non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Purchase from Government Accounts	\$1,166	\$2,000	\$2,010	\$10

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request includes an increase of \$10,000 for non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Supplies & materials	\$340	\$321	\$323	\$2

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes an increase of \$2,000 for non-pay inflation.

I. Changes in FTE

**Department of Homeland Security
U.S. Citizenship & Immigration Services
Immigration Examinations Fee Account
Changes in Full-Time Equivalents**

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	7,872	8,802	9,947
INCREASES			
Officer, Office of the Chief Financial Officer, Domestic Operations, National Security and Records Verification, Office of Human Capital, Training, and Career Development, and the Office of Security and Investigations	1,493	0	0
Description: Projected hiring increase per the adjustment of the immigration benefit application fee schedule.			
Increase #2: Genealogy Program	2	0	0
Description: Projected increase per the establishment of a fee-funded Genealogy Program.			
Increase #3: SAVE Program	170	0	0
Description: The SAVE Program was previously funded through discretionary funds.			
Increase #4: CHEP & Parole Programs	0	0	0
Description: Transfer to Salaries & Expenses Account.			
Increase #5: Adjusted FTE levels	6	1,145	0
Description: Fill vacant positions.			
Sub-Total Increases	1,671	1,145	0
DECREASES			
Decrease #1: Adjusted FTE levels	741	0	0
Description: Lapse for vacant positions.			
Decrease #2: Fee Reform	0	0	476
Description: FTE to be funded out of Salaries & Expenses account			
Sub-Total Decreases	741	0	476
Year-end Actual/Estimated FTEs	8,802	9,947	9,471
Net Change from prior year base to Budget Year Estimate:	930	1,145	(476)

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity

**Department of Homeland Security
U.S. Citizenship & Immigration Services
Immigration Examinations Fee Account**

FY 2010 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actuals	FY 2009 Enacted ¹	FY 2010 Anticipated ²	Increase / Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Adjudication Svs (2001) - District Operations	8,269	8,759	6,299	(2,460)
Adjudication Svs (2002) - Service Center Operations	12,427	12,228	8,421	(3,807)
Adjudication Svs (2003) - Asylum & Intl Operations	11,922	11,919	8,082	(3,837)
Adjudication Svs (2004) - Records Operations	19	---	---	---
Infor & Customer Svs (4001) - Natl Cust Svs Center	5,410	5,435	3,747	(1,688)
Infor & Customer Svs (4002) - Information Svs	118	---	---	---
Administration (5001) - Operating Expenses	7,050	6,304	4,776	(1,528)
Total Working Capital Fund	\$45,215	\$44,645	31,325	(13,320)

1/ WCF control total reflects the DHS reprogramming increase, not initial enacted FY 2009 estimate.

2/ FY 2010 reflects shift in funding of WCF activities from the IEFA to the Salaries and Expenses account based on the proposed fee reform.

Department of Homeland Security

U.S. Citizenship & Immigration Services

H-1B Nonimmigrant Petitioner Account



Fiscal Year 2010
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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. CITIZENSHIP & IMMIGRATION SERVICES H-1B NONIMMIGRANT PETITIONER ACCOUNT

I. Appropriation Overview

A. Mission Statement for H-1B Nonimmigrant Petitioner Account:

The H-1B Visa Reform Act of 2004 requires employers who participate in the H-1B program to pay an additional \$1,500 (\$750 for those petitioners who employ less than 25 full-time equivalent employees), in addition to the base-processing fee of \$320 to file a Petition for a Nonimmigrant Worker (Form I-129). USCIS receives five percent of these funds, as well as the entire base-processing fee. However, this account only includes funding associated with the fee stipulated in the H-1B Visa Reform Act of 2004 it does not include funding associated with the base processing fee. These funds comprise less than one percent of the total USCIS budget.

B. Budget Activities:

Funding from the H-1B Nonimmigrant Petitioner Account primarily supports the Domestic Operations Directorate. Fee revenues primarily fund contract activities (mail, filing, biometric and data entry) and facility rent expenses related to the processing of immigration benefit applications at USCIS Service Centers.

Domestic Operations manages four regionally based Service Centers which receive, process, and adjudicate applications, petitions and their related fees for immigration benefits not requiring face-to-face contact with the applicant, petitioner, or beneficiary. This office also oversees the operations of USCIS document production operations at the production facility in Corbin, KY, and at two of the Regional Service Centers. The Service Centers also provide data entry and card production support for some District Office and Asylum Office workloads, as well as processing of immigrant visas for incoming immigrants.

C. Budget Request Summary:

The USCIS requests \$13,000,000 in FY 2010 to maintain current service levels. These funds will continue to support contract activities and facility rent expenses for the processing of immigration benefit applications.

D. Proposed PPA Structure:

The revised PPA structure proposed by USCIS does not impact the H-1B Nonimmigrant Petitioner Account.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
U.S. Citizenship & Immigration Services
H-1B Nonimmigrant Petitioner Account
 Summary of FY 2010 Budget Estimates by Program/Project Activity
 (Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted ^{1/}		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Adjudication Services												
District Operations	---	4	---	---	---	---	---	---	---	---	---	---
Service Center Operations	---	12,862	---	13,000	---	13,000	---	---	---	---	---	---
Total Enacted Appropriations and Budget Estimates	---	12,865	---	13,000	---	13,000	---	---	---	---	---	---

^{1/} FY 2009 excludes \$2M in additional spending authority approved through the reprogramming.

III. Current Services Program Description by PPA

Department of Homeland Security
U.S. Citizenship and Immigration Services
H-1B Nonimmigrant Petitioner Account
Program Performance Justification
 (Dollars in thousands)

PPA: ADJUDICATION SERVICES

	Perm. Pos.	FTE	Amount
2008 Actual	0	0	\$13,000
2009 Enacted ^{/1}	0	0	\$13,000
2010 Adjustments-to-Base	0	0	\$0
2010 Current Services	0	0	\$13,000
2010 Program Change	0	0	\$0
2010 Request	0	0	\$13,000
Total Change 2009-2010	0	0	\$0

^{1/} FY 2009 enacted levels exclude \$2M in additional spending authority approved in the reprogramming.

USCIS requests \$13 million for contract activities and facility rent expenses that support the processing of immigration benefit applications. The requested amount is set by Congressional statute providing USCIS with five percent of the fees collected for the H-1B visas (Nonimmigrant Petitioner), in addition to the base-processing fee to file a Petition for a Nonimmigrant Worker (Form I-129).

CURRENT SERVICES PROGRAM DESCRIPTION:

USCIS Domestic Operations receives, processes and adjudicates applications, petitions and their related fees for immigration benefits not requiring face-to-face contact with the applicant, petitioner, or beneficiary, which includes:

- *Family-based petitions* - facilitating the process for close relatives to immigrate, gain permanent residency, work, etc.
- *Employment-based petitions* - facilitating the process for current and prospective employees to immigrate or stay in the U.S. temporarily.

Domestic Operations also provides data entry and card production support for some District Office and Asylum Office workloads, as well as processing of immigrant visas for incoming immigrants.

USCIS annually processes millions of immigration benefit applications at its Service Centers. The \$13 million for contract activities and facility rent expenses is a portion of the total operations contract support and Service Center rent. The difference is covered by fees collected into the Immigration Examinations Fee Account.

In FY 2008, funding was used to:

- Support ongoing mail, data entry and file room functions performed by contractor staff at the USCIS Service Centers located in St. Albans, VT and Laguna Niguel, CA.
- Finance the payment of a portion of the rent costs associated with housing the contractor staff within the Service Centers.

In FY 2009 and 2010, USCIS plans to:

- Ensure that the mail, filing and data entry functions being performed by contractors located within the Service Centers continues uninterrupted.
- Continue funding for Service Center facility rent expenses.

IV. Program Justification of Changes

Not applicable.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Not applicable.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
U.S. Citizenship & Immigration Services
H-1B Nonimmigrant Petitioner Account
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actuals	---	---	\$12,865
FY 2009 Enacted ^{1/}	---	---	13,000
FY 2010 Current Services	---	---	13,000
 2010 Request	 ---	 ---	 13,000
 2009 to 2010 Total Change	 ---	 ---	 ---

1/ FY 2009 excludes \$2M in additional spending authority approved through the reprogramming.

C. Summary of Requirements

**Department of Homeland Security
U.S. Citizenship & Immigration Services
H-1B Nonimmigrant Petitioner Account
Summary of Requirements
(Dollars in Thousands)**

		2010 Request		
		Perm. Pos.	FTE	Amount
FY 2008 Actuals		---	---	\$12,865
2009 Enacted ^{1/}		---	---	13,000
2010 Current Services		---	---	13,000
2010 Total Request		---	---	13,000
2009 to 2010 Total Change		---	---	---

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Adjudication Services - Service Ctr Ops	---	---	13,000	---	---	---	---	---	---	---	---	\$13,000	---	---	---
Total	---	---	\$13,000	---	---	---	---	---	---	---	---	\$13,000	---	---	---

^{1/} FY 2009 excludes \$2M in additional spending authority approved through the reprogramming.

D. Summary of Reimbursable Resources

Not applicable.

E: Summary of Requirements by Object Class

Department of Homeland Security
U.S. Citizenship & Immigration Services
H-1B Nonimmigrant Petitioner Account
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2008 Actuals	2009 Enacted ^{/1}	2010 Request	2009 - 2010 Change
Other Object Classes:				
23.1 GSA rent	2,000	2,000	2,000	---
25.1 Advisory and assistance services	4,935	900	900	---
25.2 Other services /1	5,930	10,100	10,100	---
Total, Other Object Classes	\$12,865	\$13,000	\$13,000	---
Total, Direct Obligations	\$12,865	\$13,000	\$13,000	---
Unobligated balance, start of year	(2,156)	(2,345)	(2,595)	(250)
Receipts, +/- obligations	(189)	---	---	---
Unobligated balance, end of year	2,345	2,595	2,595	---
Recoveries of prior year obligations	---	(250)	---	250
Total requirements	\$12,865	\$13,000	\$13,000	---

^{1/} FY 2009 excludes \$2M in additional spending authority approved through the reprogramming.

F. Permanent Positions by Grade

Not applicable.

G. Capital Investment and Construction Initiative Listing

Not applicable.

H. PPA Budget Justifications

**Department of Homeland Security
U.S. Citizenship & Immigration Services
H-1B Nonimmigrant Petitioner Account
Adjudication Services
Funding Schedule
(Dollars in Thousands)**

PPA: Adjudication Services		2008 Actuals	2009 Enacted¹	2010 Request	2009 to 2010 Change
Object Classes:					
23.1	GSA rent	2,000	2,000	2,000	---
25.1	Advisory & Assistance Services	4,935	900	900	---
25.2	Other Services /1	5,930	10,100	10,100	---
Total, Adjudication Services		\$12,865	\$13,000	\$13,000	---
Full Time Equivalents		---	---	---	---

1/ FY 2009 excludes \$2M in additional spending authority approved through the reprogramming.

PPA Mission Statement

The funds from the H-1B Nonimmigrant Petitioner Account, comprising less than one percent of the total USCIS budget request, are specifically targeted to contracting activities and facility rent expenses related to processing immigration benefit applications. These funds are the result of the H-1B Visa Reform Act of 2004, which requires employers who participate in the H-1B program to pay an additional \$1,500 (\$750 for those petitioners who employ less than 25 full-time equivalent employees), in addition to the base processing fee of \$320 to file a Petition for a Nonimmigrant Worker (Form I-129). USCIS receives five percent of these funds, as well as the entire base processing fee. However, this account only includes funding associated with the fee stipulated in the H-1B Visa Reform Act of 2004 it does not include funding associated with the base processing fee.

Summary Justification and Explanation of Changes

Not applicable.

I. Changes in FTE

Not applicable.

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity

Not applicable.

Department of Homeland Security

U.S. Citizenship & Immigration Services

Fraud Prevention and Detection Account



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

U.S. CITIZENSHIP & IMMIGRATION SERVICES FRAUD PREVENTION AND DETECTION ACCOUNT

I. Appropriation Overview

A. Mission Statement for Fraud Prevention and Detection Account:

Funding in the Fraud Prevention and Detection Account is used for activities related to preventing and detecting fraud associated with immigration benefit applications as stipulated in the L-1 Visa Reform Act of 2004 (later amended by Public Law 109-13, Section 403). The law requires petitioners to pay \$500 toward this purpose for a beneficiary's initial grant of H-1B or L nonimmigrant classification, as well as if they are changing a beneficiary's employer within these classifications; and pay \$150 for H-2B benefit in addition to the base-processing fee for a Petition for a Nonimmigrant Worker (Form I-129). USCIS receives a one-third share of these fees.

B. Budget Activities:

Funding supports Fraud Detection and National Security (FDNS) efforts related to the H-1B, H-2B, or L nonimmigrant classifications. FDNS develops, coordinates and leads national anti-fraud operations for USCIS and oversees and enhances policies and procedures pertaining to the performance of law enforcement (background) checks on applicants and petitioners.

C. Budget Request Summary:

USCIS requests 186 positions, 186 FTE, and \$38,348,000 to fund USCIS requirements for FY 2010. Adjustments-to-base include an increase of 6 FTE and \$7.3 million from FY 2009 enacted levels. This increase includes \$5.2 million in carryover funds used in FY 2009 to support additional payroll requirements (\$1.5 million) and to begin a new activity to help focus anti-fraud activities through the use of private sector business information (\$3.7 million). An additional \$2.1 million is included in pay adjustments and \$80,000 for annualization of prior year part year funding.

D. Proposed PPA Structure:

The primary purpose of the proposed restructuring is to eliminate the depicted breakout between pay and non-pay line items. Combining pay and benefits lines with general expenses lines will reduce the need to seek reprogrammings for smaller, inconsequential movements of resources. These movements in the recent past related mostly to re-estimates of costs for either category which had virtually no significant effect on program or policy direction such as updated estimates on payroll costs or the reclassification of employees between PPA line items. USCIS fully intends to continue to execute and monitor annual resources with breakouts between pay and non-pay. For changes that have a significant program, resource, or policy implications, USCIS will continue to keep the Committee apprised irrespective of the line item breakout.

In addition to the pay/non-pay change, some of the titles of individual lines are adjusted to reflect current budget proposals. Finally, the restructuring proposes to combine the current “National Customer Service Center” and “Information Services” line items into a single line for “Information and Customer Services”, which mirrors the name of the current organization within USCIS which utilizes the funding within both lines.

Revised PPA Crosswalk Proposal

		FY 2009			
Current Budget Structure	Revised Enacted ^{1/}	Crosswalk to Proposed Revised Structure			
<u>Adjudication services (fee account):</u>					
Pay and benefits	\$20,345	District Operations		-\$13,155	
		Service Center Operations		-\$7,190	
District operations	\$14,649				
Service center operations	\$6,843				
Asylum, refugee and international operations	\$1,683				
Subtotal:	\$43,520			-\$20,345	
		TOTAL:	\$43,520	-\$20,345	
		Crosswalk from Current Structure		Proposed Revised Budget Structure	
				FY 2009	FY 2010
				Revised Enacted ^{1/}	Request
<u>Fee Accounts:</u>					
District operations	\$14,649	Pay & Benefits	\$13,155	\$27,804	\$22,461
Service center operations	\$6,843	Pay & Benefits	\$7,190	\$14,033	\$13,451
International operations ^{2/}	\$1,683			\$1,683	\$2,436
Subtotal:	\$23,175		\$20,345	\$43,520	\$38,348
		TOTAL:		\$43,520	\$38,348

1/ FY 2009 revised enacted reflects reprogramming level.

2/ Proposed name change in FY 2010 from Asylum, refugee and international operations to International operations based on proposed fee reform initiative which will fund asylum and refugee operations out of appropriations.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
U.S. Citizenship & Immigration Services
Fraud Prevention and Detection Account
 Summary of FY 2010 Budget Estimates by Program/Project Activity
 (Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted ¹		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Adjudication Services												
Pay & Benefits	100	11,038	180	16,203	186	22,293	6	6,090	---	---	6	6,090
District Operating Expenses	---	6,539	---	9,440	---	8,693	---	(747)	---	---	---	(747)
Service Center Operating Expenses	---	1,856	---	2,902	---	5,671	---	2,769	---	---	---	2,769
Asylum/Refugee Operating Expenses	---	---	---	2,455	---	1,691	---	(764)	---	---	---	(764)
Total Enacted Appropriations and Budget Estimates	100	\$19,433	180	\$31,000	186	\$38,348	6	\$7,348	---	---	6	\$7,348

¹/ FY 2009 Enacted does not include \$12.5M in additional spending authority approved in the reprogramming.

III. Current Services Program Description by PPA

Department of Homeland Security
U.S. Citizenship and Immigration Services
Fraud Prevention and Detection Account
Program Performance Justification
 (Dollars in thousands)

PPA: ADJUDICATION SERVICES

	Perm. Pos.	FTE	Amount
2008 Actual	186	100	\$19,433
2009 Enacted ^{/1}	186	180	\$31,000
2010 Adjustments-to-Base	0	6	\$7,348
2010 Current Services	186	186	\$38,348
2010 Program Change	0	0	\$0
2010 Request	186	186	\$38,348
Total Change 2009-2010	0	6	\$7,348

^{1/} FY 2009 enacted levels exclude \$12.5M in additional spending authority approved in the reprogramming.

USCIS requests 186 positions, 186 FTE, and \$38.4 million for this activity. This is an increase of 6 FTE and \$7.3 million from FY 2009 enacted levels. This increase includes \$5.2 million in carryover funds used in FY 2009 to support additional payroll requirements (\$1.5 million) and to begin a new activity to help focus anti-fraud activities through the use of private sector business information (\$3.7 million). An additional \$2.1 million is included in pay adjustments and \$80,000 for annualization of prior year part year funding. The requested level reflects USCIS' projected H & L visa fraud prevention and detection requirements for FY 2010.

In FY 2009, USCIS anticipates a transfer to the U.S. Immigration and Customs Enforcement (ICE) to address H & L visa fraud enforcement efforts. USCIS and ICE previously agreed that USCIS would provide \$7 million to support ICE for FY 2009. Of the \$6 million that was provided to ICE in FY 2008, \$3.5 million was obligated, leaving a balance of \$2.5 million which will be used to offset the total cost of sustaining ICE activities in FY 2009. As a result, there will be a \$4.5 million transfer for FY 2009.

CURRENT SERVICES PROGRAM DESCRIPTION:

FDNS, in partnership with ICE's Office of Investigations, has dual missions: detecting and combating fraud; and identifying threats to national security and public safety posed by those seeking immigration benefits. FDNS is also an active member of the ICE-led interagency Document and Benefit Fraud Task Forces (DBFTFs). The cooperative work between ICE and FDNS promotes the efforts to combat H & L visa fraud more effectively and to identify and pursue solutions.

FDNS has completed a Benefit Fraud and Compliance Assessment (BFCA) for the H-1B (specialty occupation) benefit category and is in the process of conducting an assessment of the L-1A (multi-national executive or manager) nonimmigrant visa classifications. With respect to L-1A specifically,

FDNS is reviewing and analyzing data, identifying possible fraud trends and indicators, and conducting overseas verification requests.

FDNS is in the process of establishing overseas H & L Anti-fraud Officer positions at eight high volume H & L posts. By the end of FY 2009, it is anticipated that there will be 6 FDNS Immigration Officer positions and 7 Foreign Service National positions established at overseas locations. These units will help develop FDNS's capacity to conduct H & L visa inquiries based upon requests for verification of information from USCIS officers.

In addition, FDNS has developed an Administrative Site Visit Verification Program (ASVVP). This program utilizes contractors to conduct site visits on select cases. The ASVVP will be the vehicle used to conduct post-adjudication compliance site visits on select H & L visa petitions. The ASVVP is expected to become a major element of the agency fraud prevention, deterrence and abatement management.

As part of the overall joint anti-fraud strategy and in partnership with ICE, FDNS identifies vulnerabilities in the benefit fraud system and works to eliminate the potential for exploitation of those vulnerabilities and prosecute the violators. Information on trends in fraud and criminal behaviors are shared between USCIS and ICE so that both are better able to identify and prevent potential abuse of the nation's immigration system.

Recognizing the need to better focus our integrated fraud efforts, FDNS and ICE signed a new Memorandum of Agreement (MOA) discontinuing the practice of referring all suspected fraud to ICE. This MOA refines criteria for referrals to the following:

- Major fraud conspiracies
- Fraud cases involving nationals from countries designated in writing by ICE
- Corrupt attorneys and form preparers

Fraud referrals made for any of these reasons will be accepted or declined by ICE within 60 days of referral. Irrespective of ICE action, USCIS can continue administrative actions to address fraud.

In FY 2008, USCIS used funding from the Fraud Prevention and Detection Account to:

- Fund 71 additional FDNS Officer FTE's to add significant productive hours dedicated to H & L fraud related leads and cases.
- Develop an anti-fraud operational strategy focused specifically on identifying fraud in H & L petitions.
- Award the ASVVP contract in the fourth quarter of FY 2008, to provide a comprehensive and flexible verification tool to USCIS officers.
- Complete a comprehensive review of all FDNS business requirements for the development of a new, user-friendly FDNS Case Management System.
- Augment the current anti-fraud efforts within USCIS by dedicating more staff and contractor support to conducting system checks that identify known (previously proven) fraud conspirators and their associations with future filings.
- USCIS referred 4,516 cases to ICE, of which 1,050 were accepted for investigation. It is expected that USCIS has processed or will process approximately 3,466 FY 2008 fraud cases.

In FY 2009 and FY 2010, USCIS will continue using funding received from the Fraud Prevention and Detection Account to:

- Develop a proactive anti-fraud program that bounces key fraud indicators from past (proven) conspiracies against all incoming applications and petitions.
- Support security-related initiatives and continue contractor assistance to support ongoing efforts to develop a comprehensive and collaborative approach for detecting, prosecuting, and deterring immigration-related fraud.
- Begin executing the ASVVP during FY 2009, including 6,000 site visits to be funded from the Fraud Account.
- Increase the number of government and contract personnel dedicated to gathering and analyzing referral, lead, and case data to identify fraud trends and the means by which to eliminate the fraud most effectively.
- Increase the use of private sector information services to identify fraudulent business entities. In FY 2009, USCIS received a spending authority increase of \$4.9M through a reprogramming to implement a capability to review financial and other business characteristics of organizations submitting employment-based petitions. This effort will continue into FY 2010 with approximately \$3.7 million in planned funding.

IV. Program Justification of Changes

Not applicable.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

Sec. 535. Sections 286(v)(2)(A), (B), and (C) of the Immigration and Nationality Act, as amended (8 U.S.C. 1356(v)(2)(B)) are amended to read as follows: “(A) Secretary of State – One-third of the amounts deposited into the Fraud Prevention and Detection Account shall remain available to the Secretary of State until expended for programs and activities (i) to increase the number of consular and diplomatic security personnel assigned primarily to the function of preventing and detecting fraud by applicants for visas described in subparagraph (H)(i), (H)(ii), or (L) of section 101(a)(15) of this Act; (ii) otherwise to prevent and detect visa fraud, including fraud by applicants for visas described in subparagraph (H)(i), (H)(ii), or (L) of section 101(a)(15) of this Act; as well as the purchase, lease, construction, and staffing of facilities for the processing of these classes of visa, in consultation with the Secretary of Homeland Security as appropriate; and (iii) upon request by the Secretary of Homeland Security, to assist such Secretary in carrying out the fraud prevention and detection programs and activities described in subparagraph (B). “(B) Secretary of Homeland Security – One-third of the amounts deposited into the Fraud Prevention and Detection Account shall remain available to the Secretary of Homeland Security until expended for programs and activities to prevent and detect immigration benefit fraud, including but not limited to fraud with respect to petitions filed under paragraph (1) or (2)(A) of section 214(c) to grant an alien nonimmigrant status described in subparagraphs (H) or (L) of section 101(a)(15). “(C) Secretary of Labor – One-third of the amounts deposited into the Fraud Prevention and Detection Account shall remain available to the Secretary of Labor until expended for wage and hour enforcement programs and activities otherwise authorized to be conducted by the Secretary of Labor that focus on industries likely to employ nonimmigrants, including but not limited to enforcement programs and activities described in section 212(n), and enforcement programs and activities related to section 214(c)(14)(A)(i).

Explanation

The proposal describes and clarifies the permitted uses of Fraud Account fees for the Departments of State, Labor, and DHS. For DHS, the proposal would change current law to permit Fraud Account funding to be used to combat any type of fraud, not just fraud limited to H and L nonimmigrant categories. This would give DHS enhanced flexibility to “follow the fraud” across immigration benefit product lines.

B. FY 2009 to FY 2010 Budget

**Department of Homeland Security
U.S. Citizenship & Immigration Services
Fraud Prevention and Detection Account
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actuals	186	100	\$19,433
2009 Enacted ^{1/}	186	180	31,000
Adjustments-to-Base			
Increases			
Annualization of prior year part year funding.....	---	6	6,478
Annualization of 2009 pay raise.....	---	---	204
2010 pay increase.....	---	---	628
GSA Rent.....	---	---	38
Total Increases.....	---	6	7,348
Total Adjustments-to-Base	---	6	7,348
2010 Current Services	186	186	38,348
2010 Request	186	186	38,348
2009 to 2010 Total Change	---	6	7,348

1/ FY 2009 Enacted does not include \$12.5M in additional spending authority approved in the reprogramming.

C. Summary of Requirements

**Department of Homeland Security
U.S. Citizenship & Immigration Services
Fraud Prevention and Detection Account**
Summary of Requirements
(Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actuals	186	100	\$19,433
2009 Enacted ¹	186	180	31,000
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Increases	---	6	7,348
Total Adjustments-to-Base	---	6	7,348
2010 Current Services	186	186	38,348
2010 Total Request	186	186	38,348
2009 to 2010 Total Change	---	6	7,348

Estimates by Program/Project Activity	2009 ¹ Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Adjudication Services - Pay & Benefits	186	180	\$16,203	---	6	\$6,090	---	---	---	186	186	\$22,293	---	6	\$6,090
2 Adjudication Services - District Operating Expenses	---	---	9,440	---	---	(747)	---	---	---	---	---	8,693	---	---	(747)
3 Adjudication Services - Service Center Operating Expenses	---	---	2,902	---	---	2,769	---	---	---	---	---	5,671	---	---	2,769
4 Adjudication Services- Asylum/Refugee Operating Expenses	---	---	2,455	---	---	(764)	---	---	---	---	---	1,691	---	---	(764)
Total	186	180	\$31,000	---	6	\$7,348	---	---	---	186	186	\$38,348	---	6	\$7,348

¹ FY 2009 Enacted does not include \$12.5M in additional spending authority approved in the reprogramming.

D. Summary of Reimbursable Resources

Not applicable.

E. Summary of Requirements by Object Class

Department of Homeland Security
U.S. Citizenship & Immigration Services
Fraud Prevention and Detection Account
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2008 Actuals	2009 Enacted ^{/1}	2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$8,321	\$12,066	\$16,772	\$4,706
11.5 Other per comp	293	622	635	13
12.1 Benefits	2,424	3,515	4,886	1,371
Total, Personnel Comp. & Benefits	\$11,038	\$16,203	\$22,293	\$6,090
Other Object Classes:				
21.0 Travel	158	2,555	1,792	(763)
23.1 GSA rent	1,926	1,926	1,964	38
23.3 Communications, utilities, & other misc. charges	10	---	---	---
25.1 Advisory & Assistance Services	970	---	---	---
25.2 Other services	4,886	8,604	10,578	1,974
25.3 Purchase from Govt. Accts.	111	206	207	1
25.7 Operation and maintenance of equipment	4	1,000	1,005	5
26.0 Supplies and materials	74	366	368	2
31.0 Equipment	256	140	141	1
Total, Other Object Classes	\$8,395	14,797	16,055	1,258
Total, Direct Obligations	\$19,433	\$31,000	\$38,348	\$7,348
Unobligated balance, start of year	(63,358)	(83,360)	(127,860)	(44,500)
Additional receipts, +/- obligations	(25,760)	(48,000)	(38,652)	9,348
Transfers	6,000	4,500	---	(4,500)
Unobligated balance, end of year	83,360	127,860	166,512	38,652
Recoveries of prior year obligations	(242)	(1,000)	---	1,000
Total requirements	\$19,433	\$31,000	\$38,348	\$7,348

^{1/} FY 2009 Enacted does not include \$12.5M in additional spending authority approved in the reprogramming.

F. Permanent Positions by Grade

**Department of Homeland Security
U.S. Citizenship & Immigration Services
Fraud Prevention and Detection Account
Permanent Positions by Grade**

Grades and Salary Ranges	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
	Pos.	Pos.	Pos.	Total
Total, SES	---	---	---	---
Total, EX	---	---	---	---
GS-15	1	4	4	---
GS-14	7	19	19	---
GS-13	98	92	92	---
GS-12	69	61	61	---
GS-11	7	4	4	---
GS-10	---	---	---	---
GS-9	4	6	6	---
GS-8	---	---	---	---
GS-7	---	---	---	---
GS-6	---	---	---	---
GS-5	---	---	---	---
GS-4	---	---	---	---
GS-3	---	---	---	---
GS-2	---	---	---	---
Other Graded Positions	---	---	---	---
Ungraded Positions	---	---	---	---
Total Permanent Positions	186	186	186	---
Unfilled Positions EOY	74	2	---	(2)
Total Perm. Employment EOY	112	184	186	2
FTE	100	180	186	6
Headquarters	54	16	16	---
U.S. Field	124	92	92	---
Foreign Field	8	8	8	---
Total Permanent Positions	186	116	116	---
Average ES Salary	\$ ---	\$ ---	\$ ---	\$ ---
Average GS Salary	\$ 77,752	\$ 83,951	\$ 85,630	\$ 1,679
Average GS Grade	12.52	12.65	12.65	---

G. Capital Investment and Construction Initiative Listing

Not applicable.

H. PPA Budget Justifications

**Department of Homeland Security
U.S. Citizenship & Immigration Services
Fraud Prevention and Detection Account
Adjudication Services
Funding Schedule
(Dollars in Thousands)**

PPA: Adjudication Services		2008 Actuals	2009 Enacted¹	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$8,321	\$12,066	\$16,772	\$4,706
11.5	Other per comp	293	622	635	13
12.1	Benefits	2,424	3,515	4,886	1,371
21.0	Travel	158	2,555	1,792	(763)
23.1	GSA rent	1,926	1,926	1,964	38
23.3	Communication, Utilities, and misc charges	10	---	---	---
25.1	Advisory & Assistance Services	970	---	---	---
25.2	Other Services	4,886	8,604	10,578	1,974
25.3	Purchase from Govt. Accts.	111	206	207	1
25.7	Operation & maintenance of equipment	4	1,000	1,005	5
26.0	Supplies & materials	74	366	368	2
31.0	Equipment	256	140	141	1
Total, Adjudication Services		\$19,433	\$31,000	\$38,348	\$7,348
Full Time Equivalents		100	180	186	6

1/ FY 2009 Enacted does not include \$12.5M in additional spending authority approved in the reprogramming.

PPA Mission Statement

The funds from the Fraud Prevention and Detection Account, comprising approximately two percent of the total USCIS budget request, primarily support the USCIS goal to ensure the security and integrity of the immigration system. These funds are specifically for activities related to preventing and detecting fraud of H & L immigration benefit applications.

Summary Justification and Explanation of Changes

	2008 Actuals	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$11,038	\$16,203	\$22,293	\$6,090

Salaries and Benefits includes costs for 186 FTEs. The FY 2010 request includes \$325,000 for the proposed January 2010 2.0 percent increase in personnel compensation, \$303,000 for within grade and step adjustment increases, \$204,000 in annualization of the FY 2009 pay raise, \$1,257,000 in annualization of prior year part-time funding, a technical realignment of \$1,672,000 from non-pay approved in the FY 2009 reprogramming, and retains \$2,329,000 in additional funds provided for payroll in the FY 2009 reprogramming.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Travel	\$158	\$2,555	\$1,792	(\$763)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request reflects a net decrease of \$763,000, which includes \$9,000 for annualization of prior year part year funding, and a realignment of \$78,000 from Other Services approved in the FY 2009 reprogramming, and a maintains a decrease of \$850,000 from the FY 2009 approved reprogramming .

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
GSA rent	\$1,926	\$1,926	\$1,964	\$38

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request reflects an increase of \$38,000 for annualization of prior year part year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Other Services	\$4,886	\$8,604	\$10,578	\$1,974

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request reflects a total increase of \$1,974,000, which includes \$24,000 for annualization of prior year part year funding, a realignment of \$1,750,000 to support travel and payroll approved in the FY 2009 reprogramming, and retains \$3,700,000 as follow-on costs for the VIBE project approved and funded through the FY 2009 approved reprogramming.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Purchase from Government Accounts	\$111	\$206	\$207	\$1

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request reflects an increase of \$1,000 for annualization of prior year part year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Operation & Maintenance of equipment	\$4	\$1,000	\$1,005	\$5

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request reflects an increase of \$5,000 for annualization of prior year part year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Supplies & materials	\$74	\$366	\$368	\$2

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request reflects an increase of \$2,000 for annualization of prior year part year funding.

	2008	2009	2010	2009 to 2010
	Actuals	Enacted	Request	Change
Equipment	\$256	\$140	\$141	\$1

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request reflects an increase of \$1,000 for annualization of prior year part year funding.

I. Changes in FTE

Department of Homeland Security
U.S. Citizenship & Immigration Services
Fraud Prevention and Detection Account
Changes in Full-Time Equivalents

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	79	100	180
INCREASES			
Increase #1: FDNS and Adjudication Officer hiring Description: A new plan was developed to expand hiring to combat H & L fraud.	21		
Increase #2: FDNS Description: The increase reflects the annualization of authorized FTEs in line with requested budget levels.		80	6
Sub-Total Increases	21	80	6
DECREASES			
Sub-Total Decreases	0	0	0
Year-end Actual/Estimated FTEs	100	180	186
Net Change from prior year base to Budget Year Estimate:	21	80	6

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity

Not applicable.

Department of Homeland Security

U.S. Citizenship & Immigration Services



Fiscal Year 2010
Strategic Context
Congressional Justification

FY 2010 PRESIDENT’S BUDGET REQUEST STRATEGIC CONTEXT

U.S. CITIZENSHIP & IMMIGRATION SERVICES (USCIS)

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A. Mission and Description of Component

United States Citizenship and Immigration Services (USCIS) is the largest immigration service in the world. USCIS processes millions of immigration benefit applications every year through a network of 230 domestic and foreign offices.

USCIS secures America's promise as a nation of immigrants by providing accurate and useful information to our customers, granting immigration and citizenship benefits, promoting an awareness and understanding of citizenship, and ensuring the integrity of the immigration system.

USCIS has established six goals in support of its mission:

- Strengthen the security and integrity of the immigration system,
- Provide effective customer-oriented immigration benefits and information,
- Support immigrants' integration and participation in American civic culture,
- Promote flexible and sound immigration policies and programs,
- Strengthen the infrastructure supporting the USCIS mission, and
- Operate as a high-performance organization that promotes a highly talented workforce and a dynamic work culture.

USCIS ensures that citizenship and immigration information and decisions on immigration benefits are provided to customers in a timely, accurate, consistent, courteous, and professional manner. Over fifty different types of immigration benefits are processed through USCIS. Every case is unique and requires specialized attention from experienced USCIS immigration officers. USCIS is also responsible for strengthening the effectiveness of national security efforts; enhancing the integrity of our country's legal immigration system by deterring, detecting, and pursuing immigration related fraud; and combating unauthorized employment in the workplace. In addition, USCIS provides protection to refugees, both inside and outside of the United States, in accordance with USCIS' laws and international obligations.

Every day, on average, USCIS:

- Processes 30,000 applications for immigration benefits
- Issues 7,000 Permanent Resident Cards (green cards)
- Adjudicates 200 asylum applications
- Naturalizes 3,000 new civilian citizens, and 27 new citizens who are members of the United States Armed Forces
- Conducts 135,000 national security background checks
- Captures 11,000 sets of fingerprints at 129 Application Support Centers
- Remains ready to answer one of the 41,000 phone inquiries it receives or to assist one of the 12,000 customers at our 87 local offices

B. Major Activities and Key Strategic Goals

USCIS activities are organized into five program areas:

- Immigration Status Verification
- Adjudication Services
- Citizenship
- Immigration Security and Integrity
- Information and Customer Services

These programs facilitate the Department of Homeland Security's (DHS) strategic goal to "Protect our Nation from Dangerous People (Goal 1)." Specifically, USCIS activities support DHS objectives:

1.3: Strengthen Screening of Traveler and Workers

1.4: Improved Security through Enhanced Immigration Services

Immigration Status Verification

The Immigration Status Verification program area encompasses: the E-Verify program (formerly the Employment Eligibility Verification program), the Systematic Alien Verification for Entitlements program (SAVE), and the REAL ID Act programs. The program performance goal for these activities is to provide efficient and accurate immigration status and employment eligibility information, which supports the DHS objective to strengthen screening of travelers and workers.

- E-Verify is a Web-based system that electronically verifies the employment eligibility of newly hired employees. USCIS administers E-Verify, in partnership with the Social Security Administration.
- SAVE is an intergovernmental information-sharing initiative designed to aid eligibility workers in determining a noncitizen applicant's immigrant status by providing immigration status information and ensuring that only entitled noncitizen applicants receive federal, state, or local public benefits and licenses.
- REAL ID is a nationwide effort intended to prevent terrorism, reduce fraud, and improve the reliability and accuracy of identification documents that State governments issue. The REAL ID Act requires that a state must first verify the issuance, validity, and completeness of each document required before it can issue a REAL ID-compliant driver's license or identification card to applicants.

The Immigration Status Verification program will enhance DMV photo tool capability and continue to migrate verification applications to the Enterprise Service Bus in FY 2009. The Verification Information System (VIS) can currently handle up to 40 million queries per year, with anticipated growth in employer registration and query volume, VIS capacity will be increased in FY 2010 to accommodate up to 65 million queries per year; and the system will be transitioned to the new DHS data center.

Adjudication Services

The Adjudication Services program area is divided into three sub-programs: Adjudication Services; Asylum, Refugee and International Operations; and, Business Transformation. The program performance goal for these activities is to provide immigration benefit services in a timely, consistent, and accurate manner, which supports the DHS objective to improve security through enhanced immigration services.

- Adjudication Services encompasses functions, operations, policies and activities related to the processing and decisions on immigration applications and benefits.
- Asylum, Refugee, and International Operations is responsible for overseeing, planning, and implementing policies and activities related to asylum and refugee issues as well as immigration services overseas.
- Business Transformation is a multi-year effort to modernize USCIS business processes and supporting systems. Funding is provided primarily through premium processing revenues.

The Adjudication Services program is working to eliminate the backlog of Naturalization (N-400) Applications and reduce the estimated average cycle time for processing the following:

- Form N-400 – 5 months in all offices
- Form I-485 (Adjustment of Status) – 4 months in all offices
- Form I-140 (Immigration petition for Alien Worker) – 4 months in every office

The Asylum, Refugee, and International Operations program is working to award a multi-source contract for interpreter services, and once finalized, will implement a rule regarding professional interpreters at affirmative asylum interviews. The program is also working with refugee partners to examine ways to capture and screen fingerprints prior to refugee status determination interviews at certain processing locations.

The Business Transformation Program awarded a Solutions Architect task order on November 3, 2008 to International Business Machines, Inc. (IBM). The solution includes two increments spanning seven releases to be deployed over five years. The transformed USCIS processes will address security/integrity gaps of the immigration system by effectively collecting, analyzing, and sharing information used to verify identity, eligibility, and status.

Citizenship

The Citizenship program area primarily encompasses the activities under the USCIS Office of Citizenship (OoC). The program performance goal is to promote education and training on fundamental civic principles and the rights and responsibilities of citizenship, provide federal leadership and support collaboration on civic integration issues, and celebrate the meaning of citizenship. This goal supports the DHS objective to improve security through enhanced immigration services.

The OoC develops educational products and information resources to foster immigrant integration and participation in American civic culture and enhances training to promote an understanding of and appreciation for U.S. civic principles.

Current activities under the Citizenship program include expanding existing adult educator training programs and providing technical assistance on the naturalization test curriculum for classroom study tools. The new naturalization test will be fully implemented by FY 2010.

Immigration Security and Integrity

The Immigration Security and Integrity program area encompasses activities under the Fraud Detection and National Security Division and the Domestic Operations Directorate. The program performance goal for this program area is to enhance the security and integrity of the legal immigration system, which supports the DHS objective to improve security through enhanced immigration services.

Activities primarily include detecting, pursuing, and deterring fraud; ensuring law enforcement (background) checks are conducted on all persons seeking benefits; identifying systemic vulnerabilities and other weaknesses that compromise the integrity of the immigration system; performing as USCIS' primary conduit to and from the law enforcement and intelligence communities; and coordinating interagency policies, procedures, and other issues with Customs and Border Protection (CBP) and Immigration and Customs Enforcement (ICE).

Information and Customer Services

The Information and Customer Services program area encompasses information and customer service functions, operations, policies and activities, and customer service call center operations. The program performance goal for this program area is to provide timely, consistent, and accurate information to our customers, which supports the DHS objective to improve security through enhanced immigration services.

Through the Information and Customer Services Program, USCIS reduces the frequency of repeated, redundant applicant contact with USCIS employees, thus improving agency efficiency. USCIS makes it easier for our customers to get the information they need, when they need it through multiple channels of available assistance, including the USCIS website, toll-free call centers (National Customer Service Call Centers), and face-to-face appointments.

Current activities include implementing a revised notice printing process, and expanding the Service Request Management Tool (SRMT) functionality to include customer self service. In FY 2010, USCIS plans to pilot modified kiosk access to USCIS web services through local USCIS offices.

C. Resources Requested and Performance Impact

USCIS requests a total of 10,700 FTEs and \$2.9 billion. This is an increase of 338 FTE and \$176 million over FY 2009 enacted levels. This includes a \$25 million programmatic reduction to Real-ID and adjustments to base for pay and non-pay inflation to sustain programs at current levels. Program changes include: \$10 million for E-Verify, \$10 million for Immigrant Integration, and \$11 million to support Data Center Development.

In addition, newly appropriated resources are being requested in FY 2010 to cover approximately \$206 million in costs for Military Naturalizations (\$5M) and Refugee and Asylum Operations (\$201M, 744 FTE), previously funded through fee revenue collected under the Immigration Examinations Fee Account. Persons receiving services and benefits through these programs are exempt under law from paying fees. As a result, costs for the activities are added to the fees of non-exempt applicants as a surcharge. While USCIS has the authority to charge other applicants

the cost of providing benefits which are exempt from fees, this cost unduly burdens such applicants particularly as costs rise for these services.

The Fee Reform proposal is an essential first step in providing greater linkage between fees and the actual costs necessary to adjudicate a specific application and petition. Near term and future business process and system improvements through Transformation will further support this goal by improving operational efficiency leading to refinements in operational costs. Over time, the USCIS fee structure will closely match a focused and more efficient operational structure.

USCIS is committed to conducting a fee study every two years in order to ensure that immigration fees are set at a level to recover costs and these fees reflect productivity improvements resulting from process changes and technology upgrades. A fee review for FY 2010 and FY 2011 was initiated and USCIS plans to update this study to account for decisions made in this Budget.

Immigration Status Verification

The FY 2010 budget request includes 479 FTEs and \$158.4 million for Immigration Status Verification. The requested amount includes \$137 million in appropriated funding and \$21 million in estimated fee revenue.

Through the activities of E-Verify, SAVE and Real-ID the Immigration Status Verification program is leading initiatives to:

- Increase outreach and training assistance to local, state and federal agencies to encourage use of E-Verify and SAVE.
- Improve system data sources to safeguard privacy information, minimize identity theft and fraud, and ensure accountability and compliance.
- Promote partnership with Departments of Motor Vehicles to facilitate sharing of photos and records with E-Verify and accomplish REAL ID verification needs.

As of April 18, 2009, E-Verify has over 121,000 employers enrolled, representing over 468,000 locations. Employers have run over 4.2 million queries in fiscal year (FY) 2009 to date, and the volume of queries doubled from FY07 to FY08 from 3.27 million to 6.6 million. According to an analysis of Bureau of Labor Statistics data, over 14 percent of all non-agricultural new hires in the U.S are run through E-Verify.

As of February 21, 2009, the SAVE program has a total 269 registered agencies. This includes 155 state agencies, 29 DMVs, 59 local agencies, and 26 federal agencies. The planning estimate for SAVE queries in FY 2009 is approximately 10.9M and the planning estimate for agencies enrolled in the SAVE program in FY 2009 is 277.

E-Verify will enhance systems, improve compliance and monitoring, and continue marketing activities. USCIS will also continue working to reduce SAVE secondary verifications through technological enhancements to the Verification Information System (VIS) and improvements to the database's accuracy.

Working with the DHS Office of Policy, USCIS is facilitating state compliance with the REAL ID Act through its verification systems. The SAVE program plans to partner with the American Association of Motor Vehicle Administrators (AAMVA) to continue in-state an operations and

maintenance of the connectivity built over the last year. The AAMVA connectivity allows DMVs another avenue to connect to the SAVE program and facilitate REAL ID requirements.

Funding is also requested to complete the development of the REAL ID information sharing hub which will allow states to verify data among each other and against Federal databases as required under the REAL ID Act.

In addition, the FY 2010 Budget request includes \$10 million in new resources to increase E-Verify staff and implement several technology-related initiatives. Funding will provide for 40 additional monitoring and compliance positions, 16 status verification operations (SVO) support positions, 18 customer relations and learning management (CRLM) positions, and 6 mission support positions. USCIS will also use the funding to:

- Develop business requirements for a workflow management tool to replace the current Status Verification System (SVS), which will significantly reduce processing time by increasing the Status Verifiers' ability to analyze caseloads and improve internal processes and production training.
- Provide automated system updates for any new hire with Temporary Protected Status (TPS) who has an expired Employment Authorization Document (EAD) but is within an auto-extension time period. This system enhancement will decrease the number of new hires with TPS who receive an initial mismatch.
- Implement an electronic Form I-9. The first phase of this enhancement includes developing a stand alone Form I-9 in portable format that will allow employers to electronically create, sign, and store the completed forms. In a future enhancement, the electronic Form I-9 will pre-fill the fields in E-Verify, eliminating the need for employers to input the data into the system after it was already recorded on the Form I-9.

Adjudication Services

The FY 2010 budget request includes 7,787 FTEs and \$1.89 billion. The requested amount includes \$161 million in appropriated funding and \$1.73 billion in estimated fee revenue.

Under the Adjudication Services program, USCIS:

- Processed 1.4 million employment authorization applications
- Processed 740,000 adjustment of status applications
- Processed over 1.1 million naturalization applications
- Processed 447,000 applications to replace permanent resident cards
- Processed 460,000 nonimmigrant worker petitions
- Processed nearly 30,000 orphan petitions
- Personalized 1.76M Permanent Resident Cards, 1.36M Employment Authorization Documents, and 126,085 Travel Documents.
- Adjudicated more than 99,000 I-590 refugee applications worldwide
- Interviewed more than 23,000 Iraqi refugee applicants, which supported the admission of 13,823 Iraqi refugees; this exceeded the administration's goal of 12,000 admissions

In FY 2010, the Adjudication Services program plans to maintain the reduced estimated average cycle times achieved in FY 2009. The Asylum, Refugee, and International Operations program

plans to assess fraud detection and national security resource needs both at headquarters and for overseas refugee processing circuit rides and establish a knowledge management system that provides overseas offices with ready access to International Operations documents.

USCIS plans to begin development of the first increment of transformation – Citizenship – and the associated releases. Release 1 and 2 are anticipated to be completed prior to the end of FY 2010. Services will begin to encompass end-to-end adjudication and will include web-based account setup and electronic filing by customers; identity management; a new case management system; electronic workflow, and expansion of on demand scanning.

Citizenship

The FY 2010 budget request includes 20 FTEs and \$18 million. The requested amount includes \$10 million in appropriated funding and \$8 million in estimated fee revenue based on projected fee levels.

In FY 2008, USCIS led over a dozen outreach events to promote citizenship and civic integration initiatives. USCIS also launched a public service campaign to promote volunteerism and the New Americans Project by producing foreign language broadcast announcements to reach a combined circulation of eight million individuals. Educational efforts included hosting training conferences and workshops for volunteers and adult educators on the revised naturalization test, techniques for teaching civics and citizenship, and the naturalization process in general. To date, USCIS has trained more than 2,000 individuals in over 25 conferences and workshops nationwide.

Resources provided in FY 2009 and FY 2010 will continue support for outreach to immigrant communities, training conferences around the country, and coordination with a variety of organizations and groups to encourage volunteerism among both U.S. citizens and new immigrants. The OoC will administer and manage programmatic aspects of the new Citizenship Grants Program, and evaluate educational publications and outreach resources.

Resources are also requested for 3 positions, 2 FTE and \$10 million to fund new activities associated with improving the integration of immigrants into the United States. The proposed initiatives will build in large part on existing and promising efforts at the state and local level, including:

- Providing grants to community-based organizations for citizenship preparation;
- Expanded English language learning aids;
- Supporting a training framework for local literacy organizations to prepare volunteers to teach English and citizenship to immigrants; and,
- Promoting citizenship through targeted integration messages.

Key to the success of this new program is establishing partnerships with state and local U.S. businesses, non-profits, faith-based organizations, and academia as all have important roles to play in improving integration. USCIS will also work with other federal agencies to coordinate efforts aimed at integration.

Immigration Security and Integrity

The FY 2010 budget request includes 1,258 FTEs and \$574 million to operate a program of comprehensive quality assurance and security measures to ensure that benefits are granted only to

eligible individuals. The requested amount includes \$44 million in appropriated funding and \$530 million in estimated fee revenue based on projected fee levels.

FDNS has completed a Benefit Fraud and Compliance Assessment (BFCA) for the H-1B (specialty occupation) benefit category and is in the process of conducting an assessment of the L-1A (multi-national executive or manager) nonimmigrant visa classifications. In addition, FDNS is in the process of establishing overseas H and L Anti-fraud Officer positions at 8 high volume H & L posts.

In FY 2009 and FY 2010, USCIS will continue using funding to further ongoing efforts to develop a comprehensive and collaborative approach for detecting, prosecuting, and deterring immigration-related fraud. This includes developing a proactive anti-fraud program that bounces key fraud indicators from past (proven) conspiracies against all incoming applications and petitions; and conducting post adjudication compliance site visits through the Administrative Site Visit Verification Program (ASVVP).

Information and Customer Services

The FY 2010 budget request includes 1,156 FTEs and \$224 million. The requested amount includes \$11 million in appropriated funding and \$213 million in estimated fee revenue.

In FY 2009 and FY 2010, USCIS will continue using funding to advance self-service through improved on-line scripts, continue enhancements with the automated appointment scheduler, further develop SRMT on-line for external customer use, and enhance call center efficiencies and improve customer service with the implementation of Computer Telephone Integration (CTI).

D. Performance Highlights, Resources, and Alignment to Strategic Goals

For each major program, the performance goal, alignment to DHS goals and objectives, total dollars and FTE, and main performance measure/s are shown below.

Performance Budget Highlights by Program

USCIS
2010 Congressional

Program: Immigration Status Verification						
Performance Goal: Provide efficient and accurate immigration status and employment eligibility information.						
DHS strategic objectives supported and % allocation of activities: 1.3 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	None	\$20,500	\$143,000	\$78,504	\$168,818	\$158,439
FTE	None	174	365	437	391	479

Performance Plan Measures

Measure: Percent of E-Verify queries in comparison to annual hires recorded by the Bureau of Labor Statistics
Description of Measure: E-Verify provides an automated link to federal databases to help employers who have voluntarily decided to determine if a new hire is legally authorized to work in the United States. This measure assesses the use of the E-Verify program by comparing the

number of E-Verify queries to annual hires recorded by the Bureau of Labor Statistics. It is calculated by excluding agricultural workers and assumes a 10% duplicate and invalid query percentage, which is also excluded.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	None	11%	12%
Actual:	None	None	None	None	N/A	N/A

Measure: Percent of Systematic Alien Verification for Entitlements (SAVE) queries requiring manual review that are later resolved as lawful status.						
Description of Measure: This measure reflects the percent of Systematic Alien Verification for Entitlements (SAVE) queries on the immigration status of government - benefit applicants that require manual review to determine lawful status. When SAVE is used by government agencies to check the immigration status of an applicant for a government - issued license or benefit, immediate confirmation is usually received. If the records retrieved from the SAVE query are inconclusive, manual review is required. The percent of manual reviews that find an applicant has lawful immigration status is a reflection of the effectiveness of SAVE automation and the quality and completeness of records; a low percentage indicates effective automation and records.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	15%	12%	<=3%	<=6%
Actual:	None	None	5%	5%	N/A	N/A

Program: Adjudication Services						
Performance Goal: Provide immigration benefit services in a timely, consistent, and accurate manner.						
DHS strategic objectives supported and % allocation of activities: 1.4 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$1,204,943	\$1,271,196	\$1,485,272	\$1,979,076	\$1,806,557	\$1,893,214
FTE	6,378	6,403	7,695	7,795	7,626	7,787

Performance Plan Measures

Measure: Average cycle time to process form I - 129 (Petition for Nonimmigrant Worker).						
Description of Measure: The amount of time it takes for U.S. Citizenship and Immigration Services to provide a decision regarding an I - 129, Petition for Nonimmigrant Worker, that an employer has filed to petition for an alien to come to the U.S. temporarily as a nonimmigrant worker. To provide immigration benefit services in a timely manner, on a monthly basis, the USCIS collects performance data on applications received, completed, and pending through its Performance Analysis System. Estimated Average Cycle Time is calculated by counting back the number of preceding months until the sum of the monthly receipts equals the current month's End Pending (e.g. if 100 cases are pending and case receipts were 20, 30, 15, 25, and 10 over the past 5 months, then cycle time is 5 months). Applications that exceed the cycle time target for their type are generically identified as backlog.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	<=2 months	<=2 months	<=2 months	<=2 months	<=2 months
Actual:	None	2 months	1.9 months	1.9 months	N/A	N/A

Measure: Average cycle time to process form I - 485 (Application to Register for Permanent Residence or to Adjust Status).						
Description of Measure: The amount of time it takes to provide a decision regarding an I - 485, Application to Adjust Status. On a monthly basis, performance data on applications received,						

<p>completed, and pending is collected via the Performance Analysis System. Estimated Average Cycle Time is calculated by counting back the number of preceding months until the sum of the monthly receipts equals the current month's End Pending (e.g. if 100 cases are pending and case receipts were 20, 30, 15, 25, and 10 over the past 5 months, then cycle time is 5 months). Applications that exceed the cycle time target for their type are generically identified as backlog. Applications for which no visa number is available are considered pending, but not part of the backlog. Cases are also removed from the backlog calculation if a Request For Evidence is pending for the regulatory period with the applicant, the applicant has requested a later appearance date, or the required name check is pending with the FBI.</p>						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	<=6 months	<=6 months	<=4 months	<=4 months	<=4 months
Actual:	None	5.93 months	5.2 months	13.6 months	N/A	N/A

Measure: Average cycle time to process form N - 400 (Application for Naturalization).						
Description of Measure: The amount of time it takes to make a decision on an N - 400, Application for Naturalization. USCIS collects monthly performance data on applications received, completed, and pending. Estimated Average Cycle Time is calculated by counting back the number of preceding months until the sum of the monthly receipts equals the current month's End Pending (e.g. if 100 cases are pending and case receipts were 20, 30, 15, 25, and 10 over the past 5 months, then cycle time is 5 months). Applications that exceed the cycle time target for their type are generically identified as backlog. Cases are removed from the backlog calculation if the applicant has failed the English/Civics requirement and is waiting the statutory period between testing attempts, is awaiting a judicial oath ceremony for more than one month, the required name check is pending with the FBI, or if a Request For Evidence is pending for the regulatory period with the applicant.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	<=6 months	<=7 months	<=5 months	<=5 months	<=5 months
Actual:	None	5.58 months	6.2 months	8.7 months	N/A	N/A

Measure: Percent of ineligible asylum applicants (at local offices) referred to an immigration court within 60 days						
Description of Measure: Since asylum reform, work authorization is obtained only if asylum is granted or no negative decision has been made within 180 days. If the program finds an applicant ineligible for asylum and the applicant is not in valid/legal status, the program refers the application to an immigration judge for final determination in the course of removal proceedings. Immigration courts require approximately 120 days to complete adjudications. To meet the 180 - day threshold for a decision, the program aims to refer 75% of ineligible applications to immigration courts within 60 days of filing. The Asylum Division recognizes that some cases should be exempt from timeliness goals due to their complexity, the need to coordinate the adjudication with other USCIS or DHS entities, or the unavailability of staff at certain times. In order to balance timely completions and quality adjudications, the program has exempted 25 percent of its workload from this requirement.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	75%	75%	75%	75%	75%	75%
Actual:	79%	88%	85%	90%	N/A	N/A

Program: Citizenship						
Performance Goal: Promote education and training on fundamental civic principles and the rights and responsibilities of citizenship, provide federal leadership and support collaboration on civic integration issues, and celebrate the meaning of citizenship.						
DHS strategic objectives supported and % allocation of activities: 1.4 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$4,929	\$5,030	\$6,715	\$7,442	\$8,813	\$17,938
FTE	14	14	21	19	17	20

Performance Plan Measures

Measure: Number of significant citizenship outreach events						
Description of Measure: This measure describes the number of significant outreach events designed to support immigrant integration. These actions serve a multitude of purposes to assist in accomplishing this goal, such as educating immigrants and encouraging their civic integration, informing stakeholders about the Offices mission and the importance of promoting civic integration, educating counterparts from outside the U.S. government about federal integration efforts, and bringing on new partners to help encourage integration. Significant outreach events include conferences, ceremonies, meetings, media appearances, press conferences, trainings, and presentations. They do not include internal DHS/USCIS meetings and strategy sessions. Strategic outreach provides immigrant - serving organizations and other stakeholders with a better understanding of the importance of immigrant integration and raises awareness of federal initiatives currently in place to strengthen efforts across the country.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	N/A	75	80	85
Actual:	None	None	None	109	N/A	N/A

Measure: Percent of targeted language populations with access to citizenship educational materials in their native language.						
Description of Measure: The percent of targeted language populations with online access to "Welcome to the United States: A Guide for New Immigrants" in their native language. This guide contains information to help immigrants settle into life in the U.S., and basic civics information that introduces immigrants to the U.S. system of government. The guide gives immigrants tips on getting involved in their communities, meeting their responsibilities, and exercising their rights as permanent residents. First distributed in English in 2004, the guide is now available in 11 languages (English, Spanish, Chinese, Vietnamese, Korean, Russian, Arabic, Tagalog, Portuguese, French, and Haitian Creole). Outreach to three additional populations (speakers of Polish, Urdu, and Basic Literacy English) is planned through FY 2009. This measure is used as a proxy outcome due to the economic and logistic difficulties associated with using a more direct outcome measure, such as level of community involvement and volunteerism.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	86%	93%	100%	Retired Measure
Actual:	None	79%	79%	93%	N/A	N/A

Program: Immigration Security and Integrity						
Performance Goal: Enhance the security and integrity of the legal immigration system.						
DHS strategic objectives supported and % allocation of activities: 1.4 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$315,291	\$321,726	\$395,483	\$599,594	\$503,829	\$573,686
FTE	937	937	1,188	1,310	1,221	1,258

Performance Plan Measures

Measure: Percent of routine referrals with national security implications completed within targeted processing time						
Description of Measure: This measure reflects the percent of routine requests for technical support on National Security cases or concerns that are responded to within 2 business days. Requests received from the field, counsel, etc. are received and recorded by the Field Support unit (FSU) in the National Security Branch (NSB). Requests are normally received by mail, but may also be received by phone.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	None	80%	85%
Actual:	None	None	None	None	N/A	N/A

Measure: Percent of site visits that verify information provided in petition is in compliance with immigration laws						
Description of Measure: This measure gauges the percent of site visits that verify information provided in a petition is in compliance with immigration laws. A site visit verifies petitioners' and/or beneficiaries' compliance with immigration laws regarding information provided in their visa application. A compliance review is initiated by Fraud Detection and National Security and is to be completed within 90 days of referral receipt. This program is currently only applied to religious worker visas (I - 360) and will subsequently be expanded to other visa categories.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	None	50%	60%
Actual:	None	None	None	None	N/A	N/A

Program: Information and Customer Service						
Performance Goal: Provide timely, consistent, and accurate information to our customers.						
DHS strategic objectives supported and % allocation of activities: 1.4 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$161,118	\$164,406	\$193,780	\$237,396	\$202,909	\$223,955
FTE	914	914	1,139	1,153	1,107	1,156

Performance Plan Measures

Measure: Average time to reach a telephone Customer Service Representative.						
Description of Measure: When a customer calls the U.S. Citizenship and Immigration Services (USCIS) Customer Service Center, they are connected to a telephone customer service representative. This measure assesses the time it takes for a customer to make initial contact.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	<2 minutes	<1 minute	<1 minute
Actual:	None	None	None	.65 minutes	N/A	N/A

Measure: Average time to reach a telephone Immigration Information Officer.						
Description of Measure: When a customer calls the U.S. Citizenship and Immigration Services (USCIS) Customer Service Center, they are connected to a telephone customer service representative. If the customer's question is complex, they are referred to a USCIS telephone Immigration Information Officer. This measure assesses the time it takes for a customer to make initial contact with a telephone Immigration Information Officer.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	<5 minutes	<5 minutes	<5 minutes
Actual:	None	None	None	5.43 minutes	N/A	N/A

Measure: Customer satisfaction rate with U.S. Citizenship and Immigration Service phone centers						
Description of Measure: This measure reports the percent of people who were satisfied with the information obtained on immigration services and benefits from United States Citizenship and Immigration Services (USCIS) over the telephone. A USCIS contractor selects a random group of customers who have called the phone centers on a monthly basis to participate in a phone survey to rate their overall experience with the service received from the USCIS phone center. A standardized USCIS and General Accountability Office approved survey tool is used to collect customer responses. This satisfaction rate measures our performance in providing timely, consistent, and accurate information regarding immigration services and benefits to immigrants, U.S. employers, and the American public over the telephone.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	78%	79%	79%	80%	82%	83%
Actual:	75.5%	83%	82%	84.2%	N/A	N/A

E. Digest Tables by Future Year Homeland Security Program (FYHSP) Program

Digest of FY 2010 Budget Estimates by Activity and FYHSP Program (dollars in thousands)						
FYHSP Program	FY 2008 Revised Enacted		FY 2009 Enacted		FY 2010 Request	
	FTE	Amount	FTE	Amount	FTE	Amount
Immigration Security and Integrity	1,310	599,594	1,221	503,829	1,258	573,686
<i>Adjudication Services</i>	893	357,662	802	269,803	827	328,445
<i>Administration</i>	417	241,932	419	234,026	431	245,241
Adjudication Services	7,795	1,979,076	7,626	1,806,557	7,787	1,893,214
Asylum and Refugee Services	930	195,200	902	195,139	931	211,359
<i>Adjudication Services</i>	828	159,997	801	160,691	826	175,143
<i>Information and Customer Services</i>	47	3,141	45	3,259	47	3,533
<i>Administration</i>	55	32,062	56	31,189	58	32,683
Business Transformation Program	0	166,200	0	139,000	0	173,264
<i>Adjudication Services</i>	0	166,200	0	139,000	0	173,264
Adjudication Services	6,865	1,617,676	6,724	1,472,418	6,856	1,508,591
<i>Adjudication Services</i>	6,738	1,544,230	6,596	1,400,972	6,724	1,433,721
<i>Administration</i>	127	73,446	128	71,446	132	74,870
Information and Customer Service	1,153	237,396	1,107	202,909	1,156	223,955
Information and Customer Service-Other	1,153	237,396	1,107	202,909	1,156	223,955
<i>Adjudication Services</i>	24	31,012	21	22,731	22	29,469
<i>Information and Customer Services</i>	1,068	171,044	1,025	145,801	1,070	158,461
<i>Administration</i>	61	35,340	61	34,377	64	36,025
Citizenship	19	7,442	17	8,813	20	17,938
<i>Adjudication Services</i>	18	6,194	16	7,219	19	16,304
<i>Administration</i>	1	1,248	1	1,594	1	1,634
Immigration Status Verification	437	78,504	391	168,818	479	158,439
SAVE	182	18,504	161	18,818	182	21,439
E-Verify	255	60,000	228	100,000	295	112,000
Real-ID	0	0	2	50,000	2	25,000
Total Budget Authority:	10,714	2,902,012	10,362	2,690,926	10,700	2,867,232

*The FY08 column indicates revised enacted levels. This differs from the other sections of the CJ and is intended to align with the resource levels contained in the Future Years Homeland Security Program (FYHSP) which captures total budget authority.

Department of Homeland Security

Federal Law Enforcement Training Center



Fiscal Year 2010

Overview

Congressional Justification

i. Summary of FY 2010 Budget Estimates by Appropriation

**Department of Homeland Security
Federal Law Enforcement Training Center**
Summary of FY 2010 Budget Estimates by Appropriation
Total Appropriations
(Dollars in Thousands)

Budget Activity	FY 2008 Actual ¹		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Salaries and Expenses	987	\$232,300	1,146	\$246,530	1,103	245,356	(43)	(\$1,174)	---	10,100	(43)	(\$11,274)
Acquisition, Construction, Improvements and Related Expenses	---	50,850	---	86,456	---	43,456	---	(43,000)	---	---	---	(43,000)
Subtotal, Enacted Appropriations and Budget Estimates	987	\$283,150	1,146	\$332,986	1,103	\$288,812	(43)	(\$44,174)	0	\$10,100	(43)	(\$54,274)
Net, Enacted Appropriations and Budget Estimates	987	\$283,150	1,146	\$332,986	1,103	\$288,812	(43)	(\$44,174)	0	\$10,100	(43)	(\$54,274)

ii. Homeland and Non-Homeland Allocation

**Department of Homeland Security
Federal Law Enforcement Training Center**
Homeland and Non-Homeland Allocation by Program/Project Activity
(Dollars in Thousands)

Budget Activity	FY 2008 Actual						FY 2009 Enacted						FY 2010 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Salaries and Expenses	708	\$175,709	279	\$56,591	987	\$232,300	826	\$174,470	320	\$72,060	1,146	\$246,530	771	\$171,899	332	\$73,457	1,103	\$245,356
- Law Enforcement Training	704	174,804	278	56,221	982	231,025	821	173,554	318	71,686	1,139	245,240	766	170,943	330	73,104	1,096	244,047
- Accreditation	4	905	1	370	5	1,275	5	916	2	374	7	1,290	5	956	2	353	7	1,309
Acquisition, Construction, Improvements & Related Expenses	---	38,714	---	12,136	---	50,850	---	61,384	---	25,072	---	86,456	---	31,723	---	11,733	---	43,456
Total Direct Appropriations and Budget Estimates	708	\$214,423	279	\$68,727	987	\$283,150	826	\$235,854	320	\$97,132	1,146	\$332,986	771	\$203,622	332	\$85,190	1,103	\$288,812

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

Not Applicable

iv. Schedule of Authorized/Unauthorized Appropriations by PPA

**Department of Homeland Security
Federal Law Enforcement Training Center**

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

Budget Activity	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2010 Request
	Fiscal Year	Amount	Amount	Amount
Salaries and Expenses	N/A	N/A	N/A	245,356
- Law Enforcement Training	N/A	N/A	N/A	244,047
- Accreditation	N/A	N/A	N/A	1,309
Construction	N/A	N/A	N/A	43,456
Total Direct Authorization/Appropriation				\$288,812

Department of Homeland Security

Federal Law Enforcement Training Center

Salaries and Expenses



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

FEDERAL LAW ENFORCEMENT TRAINING CENTER SALARIES AND EXPENSES

I. Appropriation Overview

A. Mission Statement:

We train those who protect our homeland.

B. Budget Activities:

The Federal Law Enforcement Training Center (FLETC) is the leading service provider for federal law enforcement training. FLETC serves as an interagency law enforcement training organization for over 80 Federal agencies with personnel located throughout the United States and its territories. FLETC's personnel conduct instructional programs for basic law enforcement recruits and some advanced training based on agency requests. FLETC also provides the necessary facilities, equipment, and support services for conducting advanced, specialized and refresher training for federal law enforcement personnel.

FLETC provides services to state, local, international and other federal law enforcement agencies with related law enforcement missions on a space-available basis. FLETC also provides export training conducted at other locations when the programs being conducted do not require the use of certain specialized facilities and when a geographical concentration of personnel is identified.

Consolidation of law enforcement training permits the Federal Government to cost-effectively emphasize training program excellence and shared experiences in cooperative training. Professional instruction and practical application provide students with the skills and knowledge necessary to meet the demanding challenges of a federal law enforcement career. New federal hires and journey level personnel learn not only the responsibilities of a law enforcement officer and agent, but through interaction with students from many other agencies, they also become acquainted with the missions and duties of their colleagues. This interaction provides the foundation for a more cooperative federal law enforcement effort.

FLETC's Partner Organizations have considerable input regarding training issues as well as operational and functional aspects of the Center. Representatives from these agencies take part in regular curriculum review and development conferences, and participate in the development of FLETC policies and directives. This relationship is characteristic of a "true partnership", which is responsive to the training mission.

C. Budget Request Summary:

The Federal Law Enforcement Training Center requests 1,130 positions, 1,103 FTE and \$245,356,000. The total adjustments-to-base is -53 positions, -43 FTE and -\$11,274,000. The program changes are \$4,100,000 for TRAIN21 and \$6,000,000 for Data Center Migration.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Federal Law Enforcement Training Center
Salaries and Expenses**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Law Enforcement Training	982	\$231,025	1,139	\$245,240	1,096	\$244,047	(43)	(1,193)	---	10,100	(43)	(11,293)
Accreditation	5	1,275	7	1,290	7	1,309	---	19	---	---	---	19
Subtotal, Enacted Appropriations and Budget Estimates	987	\$232,300	1,146	\$246,530	1,103	\$245,356	(43)	(\$1,174)	---	\$10,100	(43)	(\$11,274)
Net, Enacted Appropriations and Budget Estimates	987	\$232,300	1,146	\$246,530	1,103	\$245,356	(43)	(\$1,174)	---	\$10,100	(43)	(\$11,274)

III. Current Services Program Description by PPA

Department of Homeland Security
Federal Law Enforcement Training Center
Salaries and Expenses
Program Performance Justification
(Dollars in thousands)

PPA: Salaries and Expenses

	Perm		
	Pos	FTE	Amount
2008 Actual	1,012	987	\$232,300
2009 Enacted	1,183	1,146	246,530
2010 Adjustments-to-Base	(53)	(43)	(11,274)
2010 Current Services	1,130	1,103	235,256
2010 Program Change	0	0	10,100
2010 Request	1,130	1,103	245,356
Total Change 2009-2010	(53)	(43)	(1,174)

FLETC requests \$245.356 million for this activity. Base decrease of 53 positions, 43 FTE, and \$11.274 million includes termination of one-time costs, annualization and pay inflation. One time costs decreases include \$1.950 million for leveraging of DoD Modeling Technologies and \$12.512 million for decreased training requirements related to FY 2009 hiring increases for Border Security. For these new hires, FLETC assumes a 20% attrition rate resulting in a corresponding increase in base training requirements. The program changes are \$4.100 million for TRAIN21 and \$6.000 million for the Data Center Migration.

CURRENT SERVICES PROGRAM DESCRIPTION:

Law Enforcement Training: FLETC's services to its three major client groups underscore its homeland security support mission in promoting intergovernmental cooperation in law enforcement preparedness.

Federal – FLETC provides law enforcement training to over 80 federal agencies having enforcement responsibilities. FLETC prepares new and experienced law enforcement professionals to fulfill their responsibilities in a safe manner and at the highest level of proficiency. The average basic student spends 12 weeks training at FLETC, and receives a combination of classroom instruction and hands-on practical exercise training in all phases of law enforcement from firearms and high-speed vehicle operations to legal case instructions and defendant interview techniques. Students must apply their classroom knowledge during exercises that simulate typical situations encountered on the job. To add realism these exercises often involve contract role players who act as victims, witnesses or suspects. Each of the basic programs provides core knowledge essential for new federal officers or agents to carry out their duties in a safe and efficient manner.

In addition to basic training, FLETC offers advanced and specialized training for career-long law enforcement preparation in subjects that are common to two or more of its Partner Organizations. Examples include Antiterrorism Port Security Boat Operations, Cyber Counterterrorism Investigator Training, Covert Electronics Surveillance, Critical Infrastructure Protection, Financial Forensics Techniques, Intelligence Analysts Training and Land Transportation Antiterrorism Training.

State and local – The National Center for State and Local Law Enforcement Training trains personnel from state and local law enforcement agencies in advanced topics designed to develop specialized law enforcement skills. The participants benefit from Federal expertise, specialized training, and receive instruction specific to their needs. Additionally, the program offerings are in subjects not generally available from state and local police academies or colleges and universities.

International – In the interest of combating global crime and protecting U.S. interests abroad, FLETC offers a range of training programs to foreign law enforcement agencies. Training focuses on three main areas: the U.S. Government's Law and Democracy Program, the Antiterrorism Assistance Program, and the International Law Enforcement Academy operations in Europe, Asia, Africa, and other regions in the world. In cooperation with the Department of State, FLETC operates two International Law Enforcement Academies: Gaborone, Botswana and San Salvador, El Salvador. Additionally, FLETC provides training and technical assistance at locations worldwide in collaboration with and support of the US Embassies located within country.

IV. Program Justification of Changes

Program Increase 1: TRAIN21

Strategic Goal(s) & Objective(s): Strategic Goal 4: Build a Nimble, Effective Emergency Response System and Culture of Preparedness
Strategic Objective 4.1: Ensure Preparedness

PPA: Law Enforcement Training

Program Increase: Positions 0 FTE 0 Dollars \$4,100

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$0
Program Increase							0	0	\$4,100
Budget Request	0	0	\$2,816	0	0	\$0	0	0	\$4,100

Description of Item

TRAIN 21, a business operations and training transformation initiative, will use a phased approach that enables FLETC to move ahead in a responsible manner by verifying tangible results at a reasonable cost. The end state will be an implementation of the best training and business practices across the enterprise. Plans for Fiscal Year 2010 funding as follows:

- Completion of a needs assessment for FLETC business operations and training transformation.
- Development of a blueprint for the implementation of the transformation.

Justification

There are two practical justifications supporting the FLETC request to fund TRAIN21: First, the need to transform our business model in order to reduce training costs and increase FLETC's market share, particularly in advanced law enforcement training, and second, the vital need to leverage technology to increase FLETC's training capacity.

Impact on Performance (Relationship of Increase to Strategic Goals)

In FY 2010, approximately 73% of FLETC's estimated training workload will come from components of DHS and 27% will come from other Executive, Legislative and Judicial law enforcement agencies. TRAIN 21 contributes to DHS Strategic Objective 4.1 - Ensure Preparedness by delivering faster, better, anytime and anywhere training support and learning to the law enforcement officers and agents carrying out that important mission. In the 21st Century, threats and other emergencies can emerge rapidly and present unexpected requirements. FLETC must have the modern operational capability required to ensure that the law enforcement community is prepared to protect our nation by using the latest knowledge, skills, and best practices.

Program Increase 2: Data Center Migration

Strategic Goal(s) & Objective(s): Strategic Goal 4: Build a Nimble, Effective Emergency Response System and Culture of Preparedness
Strategic Objective 4.1: Ensure Preparedness

PPA: Law Enforcement Training

Program Increase: Positions 0 FTE 0 Dollars \$6,000

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$0
Program Increase							0	0	\$6,000
Budget Request	0	0	\$0	0	0	\$0	0	0	\$6,000

Description of Item

FY 2010 data center consolidation funding will be used to continue ongoing system and application migration to the two existing DHS Enterprise Data Centers. The Data Center consolidation efforts will standardize IT resource acquisitions across components, streamline maintenance and support contracts, resulting in an enhanced DHS IT security posture, improved information sharing with stakeholders, and increased operational efficiencies over time.

Justification

The Data Center consolidation efforts will standardize IT resource acquisitions across Components, and streamline maintenance and support contracts, allowing for less complex vendor support and expediting response times in the event of an emergency. Benefits derived from consolidation are enhanced DHS IT security posture, improved information sharing with stakeholders, and increased operational efficiencies over time.

Impact on Performance (Relationship of Increase to Strategic Goals)

This initiative is in support of Strategic Goal #4 – Build a Nimble, Effective Emergency Response System and Culture of Preparedness, and the FLETC mission to train law enforcement officers and agents who protect our homeland.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Federal Law Enforcement Training Center
Justification of Proposed Changes in Salaries and Expenses
Appropriation Language**

For necessary expenses of the Federal Law Enforcement Training Center, including materials and support costs of Federal law enforcement basic training; the purchase of not to exceed 117 vehicles for police-type use and hire of passenger motor vehicles; expenses for student athletic and related activities; the conduct of and participation in firearms matches and presentation of awards; public awareness and enhancement of community support of law enforcement training; room and board for student interns; a flat monthly reimbursement to employees authorized to use personal mobile phones for official duties; and services as authorized by section 3109 of title 5, United States Code; [\$246,530,000] **\$245,356,000**, of which up to [\$48,611,000] **\$47,751,000** shall remain available until September 30, [2010] **2011**, for materials and support costs of Federal law enforcement basic training; of which \$300,000 shall remain available until expended for Federal law enforcement agencies participating in training accreditation, to be distributed as determined by the Federal Law Enforcement Training Center for the needs of participating agencies; and of which not to exceed \$12,000 shall be for official reception and representation expenses: *Provided*, That the Center is authorized to obligate funds in anticipation of reimbursements from agencies receiving training sponsored by the Center, except that total obligations at the end of the fiscal year shall not exceed total budgetary resources available at the end of the fiscal year: *Provided further*, That section 1202(a) of Public Law 107-206 (42 U.S.C. 3771 note), as amended by Public Law [110-161 (121 Stat. 2068)] **110-329 (122 Stat. 3677)**, is further amended by striking “December 31, [2010] **2011**” and inserting “December 31, [2011] **2012**”: *Provided further*, That the Federal Law Enforcement Training Accreditation Board, including representatives from the Federal law enforcement community and non-Federal accreditation experts involved in law enforcement training, shall lead the Federal law enforcement training accreditation process to continue the implementation of measuring and assessing the quality and effectiveness of Federal law enforcement training programs, facilities, and instructors: *Provided further*, That the Director of the Federal Law Enforcement Training Center shall schedule basic or advanced law enforcement training, or both, at all four training facilities under the control of the Federal Law Enforcement Training Center to ensure that such training facilities are operated at the highest capacity throughout the fiscal year. (Department of Homeland Security Appropriations Act 2009.)

Explanation of Changes:

Extension of Public Law 107-206 as amended by Public Law 109-295 (relating to FLETC’s authority to hire federal annuitants) until December 31, 2012 is requested at this time.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
Federal Law Enforcement Training Center
Salaries and Expenses
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actual	1,012	987	232,300
2009 Enacted	1,183	1,146	246,530
Adjustments-to-Base (ATBs)			
Annualization of Prior Year Funding	-	2	187
Annualization of FY 2009 Pay Raise	-	7	1,105
FY 2010 Pay Increase	-	-	1,896
Termination of One-Time Costs	(53)	(52)	(14,462)
TOTAL - ATBs	(53)	(43)	(11,274)
2010 Current Services	1,130	1,103	235,256
Program Changes			
TRAIN21	-	-	4,100
Data Center Migration	-	-	6,000
Total - Program Changes	-	-	10,100
2010 Request	1,130	1,103	245,356
2009 to 2010 Total Change	(53)	(43)	(1,174)

C. Summary of Requirements

**Department of Homeland Security
Federal Law Enforcement Training Center
Salaries and Expenses
Summary of Requirements
(Dollars in Thousands)**

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	1,012	987	232,300
FY 2009 Enacted	1,183	1,146	246,530
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Increases	---	9	3,188
Decreases	(53)	(52)	(14,462)
Total Adjustments-to-Base	(53)	(43)	(11,274)
FY 2010 Current Services	1,130	1,103	235,256
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)			
	---	---	10,100
FY 2010 Total Request	1,130	1,103	245,356
2009 to 2010 Total Change	(53)	(43)	(1,174)

Estimates by Program/Project Activity	FY 2009 Enacted			FY 2010 Adjustments-to-Base			FY 2010 Program Change			FY 2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Law Enforcement Training	1,176	1,139	245,240	(53)	(43)	(11,293)	---	---	10,100	1,123	1,096	244,047	(53)	(43)	(1,193)
2 Accreditation	7	7	1,290	---	---	19	---	---	---	7	7	1,309	---	---	19
Total	1,183	1,146	\$246,530	(53)	(43)	(\$11,274)	---	---	\$10,100	1,130	1,103	\$245,356	(53)	(43)	(\$1,174)

D. Summary of Reimbursable Resources

**Department of Homeland Security
Federal Law Enforcement Training Center
Salaries and Expenses
Summary of Reimbursable Resources
(Dollars in Thousands)**

Collections by Source	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Alcohol, Tobacco & Firearms	7	7	\$1,592	3	3	\$1,169	3	3	\$1,169	---	---	---
Air Force Office of Special Investigations	3	3	\$3,456	5	5	\$4,118	5	5	\$4,118	---	---	---
Bureau of Indian Affairs	9	9	\$1,837	5	5	\$1,713	5	5	\$1,713	---	---	---
Bureau of Prisons	---	---	\$1,851	---	---	\$2,317	---	---	\$2,317	---	---	---
Citizenship & Immigration Services	---	---	\$1,000	---	---	\$0	---	---	\$0	---	---	---
Customs & Border Protection	21	20	\$16,769	8	8	\$15,939	8	8	\$15,939	---	---	---
Customs & Border Protection Border Patrol	1	1	\$12,161	---	---	\$14,840	---	---	\$14,840	---	---	---
DHS, Analysis and Operations	13	13	\$1,135	14	14	\$1,323	14	14	\$1,323	---	---	---
Diplomatic Security Service	2	2	\$579	9	9	\$1,128	9	9	\$1,128	---	---	---
Federal Air Marshal Service	5	5	\$1,000	5	5	\$1,467	5	5	\$1,467	---	---	---
Immigration and Customs Enforcement	8	8	\$8,488	16	16	\$13,070	16	16	\$13,070	---	---	---
Inspector General Criminal Investigator Academy	2	2	\$340	9	9	\$1,100	9	9	\$1,100	---	---	---
Internal Revenue Service	1	1	\$1,122	6	6	\$2,287	6	6	\$2,287	---	---	---
Naval Criminal Investigative Service	1	1	\$1,570	---	---	\$2,093	---	---	\$2,093	---	---	---
Transportation Security Administration	15	15	\$3,016	16	16	\$1,705	16	16	\$1,705	---	---	---
U.S. Coast Guard	---	---	\$2,482	---	---	\$3,243	---	---	\$3,243	---	---	---
U.S. Marshals Service	11	11	\$2,918	11	11	\$2,453	11	11	\$2,453	---	---	---
U.S. Secret Service	6	6	\$500	11	11	\$1,391	11	11	\$1,391	---	---	---
Various Others Under \$1,000	59	56	\$26,447	57	53	\$28,644	57	53	\$28,644	---	---	---
Total Budgetary Resources	164	160	\$88,263	175	171	\$100,000	175	171	\$100,000	---	---	---

Obligations by Program/Project Activity	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Law Enforcement Training	164	160	\$88,263	175	171	\$100,000	175	171	\$100,000	---	---	---
Total Obligations	164	160	\$88,263	175	171	\$100,000	175	171	\$100,000	---	---	---

E. Summary of Requirements by Object Class

**Department of Homeland Security
Federal Law Enforcement Training Center
Salaries and Expenses
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$76,955	\$88,507	\$85,024	(\$3,483)
11.3 Other than full-time permanent	1,970	1,897	1,941	44
11.5 Other Personnel Compensation	5,429	5,143	5,261	118
12.1 Benefits	27,231	34,444	32,639	(1,805)
13.0 Benefits - former	55	43	44	1
Total, Personnel Comp. & Benefits	\$111,640	\$130,034	\$124,909	(\$5,125)
Other Object Classes:				
21.0 Travel	7,331	8,767	7,352	(1,415)
22.0 Transportation of things	795	1,084	925	(159)
23.2 Other rent	11	11	9	(2)
23.3 Communications, utilities, & other misc. charges	10,500	10,278	8,439	(1,839)
24.0 Printing and reproduction	1,455	1,742	1,344	(398)
25.1 Advisory and assistance services	1,857	10,054	8,584	(1,470)
25.2 Other services	17,072	7,373	14,247	6,874
25.4 Operation & maintenance of facilities	32,015	33,560	27,612	(5,948)
25.6 Medical care	3,249	3,672	3,009	(663)
25.7 Operation and maintenance of equipment	9,424	5,770	4,935	(835)
25.8 Subsistence and support of persons	553	853	686	(167)
26.0 Supplies and materials	16,575	25,056	20,317	(4,739)
31.0 Equipment	18,151	33,673	27,638	(6,035)
32.0 Land & structures	814	117	100	(17)
42.0 Indemnity	858	292	250	(42)
Total, Other Object Classes	120,660	\$142,302	\$125,447	(\$16,855)
Total, Direct Obligations	\$232,300	\$272,336	\$250,356	(\$21,980)
Unobligated balance, start of year	(20,802)	(30,806)	(5,000)	
Unobligated balance, end of year	30,806	5,000	---	
Recoveries of prior year obligations	(964)	---	---	
Total requirements	\$241,340	\$246,530	\$245,356	

F. Permanent Positions by Grade

**Department of Homeland Security
Federal Law Enforcement Training Center
Salaries and Expenses
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2008	FY 2009	FY 2010	2009 to 2010
	Actual	Enacted	Request	Change
	Pos.	Pos.	Pos.	Total
Total, SES	9	9	9	---
GS-15	76	76	76	---
GS-14	129	129	129	---
GS-13	320	347	325	(22)
GS-12	247	314	283	(31)
GS-11	90	93	93	---
GS-9	89	91	91	---
GS-8	23	23	23	---
GS-7	39	39	39	---
GS-6	3	3	3	---
GS-5	8	8	8	---
Ungraded Positions	51	51	51	---
Total Permanent Positions	1,084	1,183	1,130	(53)
Unfilled Positions EOY	28	37	27	(10)
Total Perm. Employment EOY	1,056	1,146	1,103	(43)
FTE	1,056	1,146	1,103	(43)
Headquarters	843	925	915	(10)
U.S. Field	239	256	213	(43)
Foreign Field	2	2	2	---
Total Permanent Positions	1,084	1,183	1,130	(53)
Average ES Salary	\$ 158,300	\$ 163,000	\$ 168,200	\$ 5,200
Average GS Salary	\$ 79,300	\$ 81,700	\$ 84,300	\$ 2,600
Average GS Grade	11.51	11.57	11.53	(0.04)

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justifications

**Department of Homeland Security
Federal Law Enforcement Training Center
Salaries and Expenses
Funding Schedule
(Dollars in Thousands)**

PPA: Law Enforcement Training		FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$76,955	\$88,507	\$85,024	(\$3,483)
11.3	Other than perm	1,970	1,897	1,941	44
11.5	Other per comp	5,429	5,143	5,261	118
12.1	Benefits	27,231	34,444	32,639	(1,805)
13.0	Benefits-former	55	43	44	1
21.0	Travel	7,331	8,767	7,352	(1,415)
22.0	Transportation of things	795	1,084	925	(159)
23.2	Other rent	11	11	9	(2)
23.3	Communication, Utilities, and misc charges	10,500	10,278	8,439	(1,839)
24.0	Printing	1,455	1,742	1,344	(398)
25.1	Advisory & Assistance Services	1,857	10,054	8,584	(1,470)
25.2	Other Services	17,072	7,373	14,247	6,874
25.4	Operation & maintenance of facilities	32,015	33,560	27,612	(5,948)
25.6	Medical care	3,249	3,672	3,009	(663)
25.7	Operation & maintenance of equipment	9,424	5,770	4,935	(835)
25.8	Subsistence & Support of persons	553	853	686	(167)
26.0	Supplies & materials	16,575	25,056	20,317	(4,739)
31.0	Equipment	18,151	33,673	27,638	(6,035)
32.0	Land & Structures	814	117	100	(17)
42.0	Indemnity	858	292	250	(42)
Total, Obligations S&E		\$232,300	\$272,336	\$250,356	(\$21,980)
Full Time Equivalents		987	1,146	1,103	(43)

PPA Mission Statement

We train those who protect our homeland.

Summary Justification and Explanation of Changes

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Salaries and Benefits	\$111,640	\$130,034	\$124,909	(\$5,125)

Salaries and Benefits includes costs for 1,103 FTEs. The FY 2010 request includes an increase of \$1,896,000 for pay inflation, \$1,292,000 for annualization, and a decrease of \$8,313,000 for termination of one-time costs.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Travel	\$7,331	\$8,767	\$7,352	(\$1,415)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes a decrease of \$134,000 for termination of one-time costs and a decrease of \$1,281,000 for carryover adjustment.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Transportation of Things	\$795	\$1,084	\$925	(\$159)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request includes a decrease of \$159,000 for carryover adjustment.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Other Rent	\$11	\$11	\$9	(\$2)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2010 request includes a decrease of \$2,000 for carryover adjustment.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous	\$10,500	\$10,278	\$8,439	(\$1,839)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request includes a decrease of \$336,000 for termination of one time costs and a decrease of \$1,503,000 for carryover adjustment.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Printing	\$1,455	\$1,742	\$1,344	(\$398)

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 request includes a decrease of \$143,000 for termination of one time costs and a decrease of \$255,000 for carryover adjustment.

	FY 2008	FY 2009	FY 2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$1,857	\$10,054	\$8,584	(\$1,470)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request includes a decrease of \$1,470,000 for carryover adjustment.

	FY 2008	FY 2009	FY 2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$17,072	\$7,373	\$14,247	\$6,874

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request includes a program increase of \$6,000,000 for Data Center Migration, a program increase of \$2,750,000 for TRAIN 21, decrease of \$797,000 for termination of one-time costs and a decrease of \$1,079,000 for carryover adjustment.

	FY 2008	FY 2009	FY 2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$32,015	\$33,560	\$27,612	(\$5,948)

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 request includes a decrease of \$1,041,000 for termination of one-time costs and a decrease of \$4,907,000 for carryover adjustment.

	FY 2008	FY 2009	FY 2010	2009 to 2010
	Actual	Enacted	Request	Change
Medical Care	\$3,249	\$3,672	\$3,009	(\$663)

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2010 request includes a decrease of \$126,000 for termination of one-time costs and a decrease of \$537,000 for carryover adjustment.

	FY 2008	FY 2009	FY 2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$9,424	\$5,770	\$4,935	(\$835)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request includes a net increase of \$8,000 for termination of one-time costs and a decrease of \$843,000 for carryover adjustment.

	FY 2008	FY 2009	FY 2010	2009 to 2010
	Actual	Enacted	Request	Change
Subsistence & Support of Persons	\$553	\$853	\$686	(\$167)

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. The FY 2010 request includes a decrease of \$42,000 for termination of one-time costs and a decrease of \$125,000 for carryover adjustment.

	FY 2008	FY 2009	FY 2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$16,575	\$25,056	\$20,317	(\$4,739)

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes a decrease of \$1,076,000 for termination of one-time costs and a decrease of \$3,663,000 for carryover adjustment.

	FY 2008	FY 2009	FY 2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$18,151	\$33,673	\$27,638	(\$6,035)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes a program increase of \$1,350,000 for TRAIN21, a decrease of \$2,462,000 for termination of one-time costs and a decrease of \$4,923,000 for carryover adjustment.

	FY 2008	FY 2009	FY 2010	2009 to 2010
	Actual	Enacted	Request	Change
Land & Structures	\$814	\$117	\$100	(\$17)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2010 request includes a decrease of \$17,000 for carryover adjustment.

	FY 2008	FY 2009	FY 2010	2009 to 2010
	Actual	Enacted	Request	Change
Indemnity	\$858	\$292	\$250	(\$42)

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2010 request includes a decrease of \$42,000 for carryover adjustment.

I. Changes In FTE

Department of Homeland Security
Federal Law Enforcement Training Center
Salaries and Expenses
 Changes in Full-Time Equivalents

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	1,047	1,056	1,146
INCREASES			
Increase #1:	7	65	-
Description: Improve Border Security			
Increase #2:	2	4	2
Description: Practical Application/Counter Terrorisms Operations Training Facility			
Increase #3:	-	8	7
Description: Rural Policing Institute			
Increase #4:	-	13	-
Description: Instructors for U.S. Capitol Police			
DECREASES			
Decrease #1:			(52)
Description: Improve Border Security			
Year-end Actual/Estimated FTEs	1,056	1,146	1,103
Net Change from prior year base to Budget Year Estimate:			(43)

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity

**Department of Homeland Security
Federal Law Enforcement Training Center
Salaries and Expenses**

FY 2010 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	Increase / Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Law Enforcement Training	\$3,093	\$2,869	\$9,147	\$6,278
Total Working Capital Fund	\$3,093	\$2,869	\$9,147	\$6,278

Department of Homeland Security

Federal Law Enforcement Training Center

Acquisition, Construction, Improvements and Related Expenses



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

FEDERAL LAW ENFORCEMENT TRAINING CENTER ACQUISITION, CONSTRUCTION, IMPROVEMENTS AND RELATED EXPENSES

I. Appropriation Overview

A. Mission Statement:

We train those who protect our homeland.

B. Budget Activities:

The Federal Law Enforcement Training Center (FLETC) is the leading service provider for federal law enforcement training. FLETC serves as an interagency law enforcement training organization for over 80 Federal agencies with personnel located throughout the United States and its territories. FLETC's personnel conduct instructional programs for basic law enforcement recruits and some advanced training based on agency requests. FLETC also provides the necessary facilities, equipment, and support services for conducting advanced, specialized and refresher training for federal law enforcement personnel.

FLETC provides services to state, local, international and other federal law enforcement agencies with related law enforcement missions on a space-available basis. FLETC also provides export training conducted at other locations when the programs being conducted do not require the use of certain specialized facilities and when a geographical concentration of personnel is identified.

Consolidation of law enforcement training permits the Federal Government to cost-effectively emphasize training program excellence and shared experiences in cooperative training. Professional instruction and practical application provide students with the skills and knowledge necessary to meet the demanding challenges of a federal law enforcement career. New federal hires and journey level personnel learn not only the responsibilities of a law enforcement officer and agent, but through interaction with students from many other agencies, they also become acquainted with the missions and duties of their colleagues. This interaction provides the foundation for a more cooperative federal law enforcement effort.

FLETC's Partner Organizations have considerable input regarding training issues as well as operational and functional aspects of the Center. Representatives from these agencies take part in regular curriculum review and development conferences, and participate in the development of FLETC policies and directives. This relationship is characteristic of a "true partnership", which is responsive to the training mission.

C. Budget Request Summary:

The Federal Law Enforcement Training Center requests \$43,456,000. The adjustment-to-base is -\$43,000,000 for non-reoccur funding. There are no program changes.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
Federal Law Enforcement Training Center
Acquisition, Construction, Improvements and Related Expenses
 Summary of FY 2010 Budget Estimates by Program/Project Activity
 (Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2009					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Construction	---	\$50,850	---	\$86,456	---	\$43,456		-\$43,000	---	---	---	-\$43,000
Subtotal, Enacted Appropriations and Budget Estimates	---	\$50,850	---	\$86,456	---	\$43,456	---	(\$43,000)	---	\$0	---	(\$43,000)
Net, Enacted Appropriations and Budget Estimates	---	\$50,850	---	\$86,456	---	\$43,456	---	(\$43,000)	---	\$0	---	(\$43,000)

III. Current Services Program Description by PPA

Department of Homeland Security
Federal Law Enforcement Training Center
Acquisition, Construction, Improvements & Related Expenses
Program Performance Justification
(Dollars in thousands)

PPA: Acquisition, Construction, Improvement & Related Expenses

	Perm Pos	FTE	Amount
2008 Actual	0	0	\$50,850
2009 Enacted	0	0	86,456
2010 Adjustments-to-Base	0	0	(43,000)
2010 Current Services	0	0	43,456
2010 Program Change	0	0	0
2010 Request	0	0	43,456
Total Change 2009-2010	0	0	(43,000)

FLETC requests \$43.456 million for this activity. The adjustment-to-base is a decrease of \$43.000 million for non-reoccur funding, including \$40.000 million for a dormitory in Charleston, S.C. and \$3.000 million for infrastructure improvements in Artesia N.M. There are no program changes.

CURRENT SERVICES PROGRAM DESCRIPTION:

Acquisition, Construction, Improvement & Related Expenses: This account provides for the acquisition and related costs for the expansion and maintenance of FLETC, to include funding for the Facilities Master Plan, Minor Construction and Maintenance, Environmental Compliance, and Communications Systems. The Master Plan provides the long range blueprint for expansion of facilities to meet the training requirements of over 80 Partner Organizations. Minor Construction and Maintenance provides alterations and maintenance funding for approximately 300 buildings at four locations. These locations include Glynco, Georgia which had utilization rate of 87% in FY 08; Artesia, New Mexico which had a utilization rate of 100% in FY 08; Charleston, South Carolina which had a utilization rate of 63% in FY 08; and Cheltenham, Maryland which had a utilization rate of 22% in FY 08. Environmental Compliance funding is to ensure compliance with the EPA and State environmental laws and regulations. Communications Systems funding is to maintain and repair or replace the fiber optics telecommunications cable system.

Current Services includes \$9.381 million funding for construction and maintenance of the Practical Applications/Counterterrorism Operations Training Facility (PA/CTOTF). The PA/CTOTF is a multi-year construction project funded in FY07-FY11 that is dedicated to providing the “hands-on” training necessary to meet the expanding needs of law enforcement in the post-9/11 environment. The 220 acre PA/CTOTF site will be composed of five training environments: international, intermodal, rural, urban and suburban – all designed to replicate both foreign and domestic settings.

IV. Program Justification of Changes

Not Applicable.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Federal Law Enforcement Training Center
Justification of Proposed Changes in Acquisitions, Construction, Improvements, and Related
Expenses
Appropriation Language**

For acquisition of necessary additional real property and facilities, construction, and ongoing maintenance, facility improvements, and related expenses of the Federal Law Enforcement Training Center, [\$86,456,000] **\$43,456,000**, to remain available until expended: *Provided*, That the Center is authorized to accept reimbursement to this appropriation from government agencies requesting the construction of special use facilities[: *Provided further*, That \$3,000,000 is for construction of training and related facilities at Artesia, New Mexico].

Explanation of Changes:

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
Federal Law Enforcement Training Center
Acquisition, Construction, Improvements and Related Expenses
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actual.....	---	---	\$50,850
FY 2009 Enacted.....	---	---	86,456
Adjustments-to-Base			
Non-reoccur.....	---	---	(43,000)
Total Increases.....	---	---	(43,000)
Total Adjustments-to-Base.....	---	---	(43,000)
2010 Current Services.....	---	---	43,456
Program Changes			
Total Program Changes.....	---	---	---
FY 2010 Request.....	---	---	43,456
2009 to 2010 Total Change.....	---	---	(43,000)

C. Summary of Requirements

Department of Homeland Security
Federal Law Enforcement Training Center
Acquisition, Construction, Improvements and Related Expenses
 Summary of Requirements
 (Dollars in Thousands)

		2010 Request		
		Perm. Pos.	FTE	Amount
FY 2008 Actual		---	---	\$50,850
FY 2009 Enacted		---	---	86,456
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)				
Decreases		---	---	(43,000)
Total Adjustments-to-Base		---	---	(43,000)
2010 Current Services		---	---	43,456
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)		---	---	---
FY 2010 Request		---	---	43,456
2009 to 2010 Total Change		---	---	(43,000)

Estimates by Program/Project Activity	FY 2009 President's Budget			2010 Adjustments-to-Base			2010 Program Change			FY 2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Construction	---	---	86,456	---	---	(43,000)	---	---	-	---	---	43,456	---	---	(43,000)
Total	---	---	\$86,456	---	---	(\$43,000)	---	---	\$0	---	---	\$43,456	---	---	(\$43,000)

D. Summary of Reimbursable Resources

**Department of Homeland Security
Federal Law Enforcement Training Center
Acquisition, Construction, Improvements and Related Expenses
Summary of Reimbursable Resources
(Dollars in Thousands)**

Collections by Source	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
DHS Science and Technology Directorate	---	---	\$42,408	---	---	\$90,559	---	---	\$183,748	---	---	93,189
US Customs and Border Protection	---	---	12,132	---	---	---	---	---	---	---	---	---
US Immigration and Customs Enforcement	---	---	5,700	---	---	---	---	---	---	---	---	---
Various other Partner Organization Requirements	---	---	2,714	---	---	5,441	---	---	2,000	---	---	(3,441)
Total Budgetary Resources	---	---	62,954	---	---	96,000	---	---	185,748	---	---	89,748

Obligations by Program/Project Activity	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Construction	---	---	\$62,954	---	---	\$96,000	---	---	\$185,748	---	---	89,748
Total Obligations	---	---	62,954	---	---	96,000	---	---	185,748	---	---	89,748

E. Summary of Requirements by Object Class

Department of Homeland Security
Federal Law Enforcement Training Center
Acquisition, Construction, Improvements and Related Expenses
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 - 2010 Change
21.0 Travel	25	25	25	---
23.1 GSA rent	289	296	296	---
23.2 Other rent	1	1	1	---
25.2 Other services	590	590	590	---
25.4 Operation & maintenance of facilities	3,776	3,962	3,962	---
26.0 Supplies and materials	122	122	122	---
31.0 Equipment	343	343	343	---
32.0 Land & structures	45,704	64,864	107,717	42,853
Total, Other Object Classes	\$50,850	\$70,203	\$113,056	\$42,853
Total, Direct Obligations	\$50,850	\$70,203	\$113,056	\$42,853
Unobligated balance, start of year	(42,863)	(53,347)	(69,600)	
Unobligated balance, end of year	53,347	69,600	---	
Recoveries of prior year obligations	(5,744)	---	---	
Transfer In	(5,000)			
Total requirements	\$50,590	\$86,456	\$43,456	

F. Permanent Positions by Grade

Not Applicable.

G. Capital Investment and Construction Initiative Listing

Not Applicable.

H. PPA Budget Justifications

**Department of Homeland Security
Federal Law Enforcement Training Center
Acquisition, Construction, Improvements and Related Expenses
Funding Schedule
(Dollars in Thousands)**

PPA: ACIRE		FY 2008	FY 2009	FY 2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
21.0	Travel	25	25	25	---
23.1	GSA rent	289	296	296	---
23.2	Other rent	1	1	1	---
25.2	Other Services	590	590	590	---
25.4	Operation & maintenance of facilities	3,776	3,962	3,962	---
26.0	Supplies & materials	122	122	122	---
31.0	Equipment	343	343	343	---
32.0	Land & Structures	45,704	64,864	107,717	42,853
Total, Obligations ACI&RE		\$50,850	\$70,203	\$113,056	\$42,853
Full Time Equivalents		---	---	---	---

PPA Mission Statement

We train those who protect our homeland.

Summary Justification and Explanation of Changes

	FY 2008	FY 2009	FY 2010	2009 to 2010
	Actual	President's Budget	Request	Change
Travel	\$25	\$25	\$25	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. There is no change for the FY 2010 request.

	FY 2008	FY 2009	FY 2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$289	\$296	\$296	\$0

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. There is no change for the FY 2010 request.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Other Rent	\$1	\$1	\$1	\$0

Other rent includes all payments to a non-Federal source for rental space, land, and structures. There is no change for the FY 2010 request.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Other Services	\$590	\$590	\$590	\$0

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. There is no change for the FY 2010 request.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Operation & maintenance of facilities	\$3,776	\$3,962	\$3,962	\$0

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. There is no change for the FY 2010 request.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Supplies & materials	\$122	\$122	\$122	\$0

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. There is no change for the FY 2010 request.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Equipment	\$343	\$343	\$343	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. There is no change for the FY 2010 request.

	FY 2008 Actual	FY 2009 Enacted	FY 2010 Request	2009 to 2010 Change
Land & Structures	\$45,704	\$64,864	\$107,717	\$42,853

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2010 request includes a non-reoccur adjustment of \$43,000,000 and a carryover adjustment of \$85,853,000.

I. Changes In FTE

Not Applicable.

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity

Not Applicable.

Department of Homeland Security

Federal Law Enforcement Training Center



Fiscal Year 2010
Strategic Context
Congressional Submission

FY 2010 PRESIDENT’S BUDGET REQUEST STRATEGIC CONTEXT

FEDERAL LAW ENFORCEMENT TRAINING CENTER (FLETC)

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and Support the DHS Strategic Plan Objectives. 4**
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A. Mission and Description of the Federal Law Enforcement Training Center

The mission of the Federal Law Enforcement Training Center (FLETC) is to train those who protect our homeland. The FLETC is the Federal government's leader for and provider of world-class law enforcement training. The FLETC prepares new and experienced law enforcement professionals to fulfill their responsibilities in a safe manner and at the highest level of proficiency. Training consists of all phases of law enforcement instruction, from firearms and high-speed vehicle operations, to legal case instructions and defendant interview techniques. Through consolidated training the FLETC can respond quickly to emerging training needs, readily adapt to new requirements and focus exclusively on training, which is FLETC's only mission. The FLETC delivers interagency training with optimal efficiency through the government-wide sharing of facilities, equipment and expertise which produces economies of scale available only from a consolidated law enforcement training organization.

The FLETC currently operates four training sites throughout the United States for multiple agency use. FLETC's headquarters and training site in Glynco, Georgia has classrooms, dining and residence halls, and state-of-the-art facilities for firearms, physical techniques, driver, marine and computer based training activities. Two field locations that provide both basic and advanced training are located in Artesia, New Mexico, and Charleston, South Carolina. The fourth training site, Cheltenham, Maryland, primarily provides firearms, drivers and tactics re-qualification training for officers and agents in the metropolitan Washington, DC area. The U.S. Capitol Police is co-located at Cheltenham and conducts Pre and Post Basic Training along with an array of advanced training. In cooperation with the Department of State, the FLETC operates International Law Enforcement Academies in Gaborone, Botswana and San Salvador, El Salvador. Additionally, the FLETC provides training and technical assistance at locations worldwide in collaboration with and support from the U.S. Embassies located within country.

B. Major Activities and Key Strategic Issues

FLETC's services to its three major law enforcement client groups underscore its homeland security support mission in promoting intergovernmental cooperation in law enforcement preparedness. The FLETC: 1) serves over 80 Federal Partner Organizations having law enforcement responsibilities; 2) provides training and technical assistance to state and local law enforcement entities; and 3) plans, develops, and presents formal training courses and practical exercise applications related to international law enforcement training in the interest of combating global crime and protecting U.S. interests abroad.

In FY 2009, the FLETC received \$332,986,000 to provide law enforcement training and re-qualification to a projected 80,000 students from Federal, state and local and International law enforcement agencies. There have been 30,350 graduates in FY 2009 as of March 31, 2009.

FY 2008 Accomplishments

- Provided training to over 60,000 law enforcement students (208,000 student weeks).
- The FLETC received Federal Law Enforcement Training Accreditation (FLETA) program accreditation for the Uniformed Police Training Program (UPTP), the Land Management Police Training Program (LMPT) and the Firearms Instructor Training Program (FITP).

- In support of the SBI, FLETC Office of Artesia Operations (OAO) implemented a revised basic training program for Border Patrol agents, reducing the length of the program from 91 days to 55 days. The revised program allows newly trained Spanish speaking agents to reach the field faster. Non-Spanish speaking agents attend a 40-day Tasked Based Language Training Program follow-on. This program has received excellent reviews from the USBP Sector Chiefs, who reported that their trainees arrived at their duty stations with a higher level of proficiency.
- Completed construction of the Situational Training Complex (STC) portion of the Practical Application/Counterterrorism Operations Training Facility (PA/CTOTF). The STC is an 88,000 square foot building designed for practical applications/scenario based law enforcement training.
- The FLETC Office of Charleston (OCH) facilitated the permanent relocation of seven agency advanced programs and two agency specific basic programs for Customs and Border Protection (CBP) from Glynco to Charleston. Five agency advanced and one agency specific basic program were also relocated from Glynco to Charleston for Immigration and Customs Enforcement (ICE). The relocation of these programs required significant FLETC Charleston facility enhancements to enable both CBP and ICE to quickly start up operations while continuing to meet mission requirements.
- In August 2008, FLETC upgraded its Financial Accounting and Budgeting System (FABS) from Momentum Financials Software Version 3.7 to Version 6.1. The new FABS software includes numerous application and system enhancements.
- Provided increased training to Border Patrol and Immigration and Customs Enforcement (ICE) in support of the Secure Border Initiative (SBI).
- Continued the construction of the multi-phased Practical Application/Counterterrorism Operational Training facility.

Planned FY 2009 Accomplishments

- Provide training to over 80,000 law enforcement students (262,000 student weeks).
- Receive academy re-accreditation and receive program re-accreditation for the Boat Operators Anti-Terrorism Training Program (BOAT), the Driver Instructor Training Program (DITP), the Law Enforcement Instructor Training Program (LEITP), the Marine Law Enforcement Training Program (MLETP), and the Law Enforcement Control Tactics Instructor Training Program (LECTITP).
- Continue to provide increased training to Border Patrol and ICE in support of the SBI.
- Continue construction of the multi-phased Practical Application/Counterterrorism Operational Training facility.

Projected FY 2010 Accomplishments

- Provide training to over 85,000 law enforcement students (272,000 student weeks).
- Receive program re-accreditation for the Law Enforcement Fitness Coordinator Training Program (LEFCTP), the Law Enforcement Instructor In-Service Training Program (LEIISTP), the Criminal Investigator Training Program (CITP), and the Inland Boat Operators Training Program (IBOT).
- Continue construction of the multi-phased Practical Application/Counterterrorism Operational Training facility.

The key strategic issues and priorities of the FLETC for the next five years will focus on expanding training programs through partnerships, emerging state-of-the-art training technology, sharing increased capacity in the most cost-effective manner using the consolidated law enforcement concept of training, and providing federally accredited law enforcement training. The law enforcement officers trained at FLETC are the primary resources used to make the homeland more secure. In particular, during FY 2010 through FY 2014, FLETC will concentrate our efforts on:

- *Ensuring state of the art technology:* The FLETC continues its partnership with Naval Air Warfare to integrate modeling and simulation technology to support driver and firearms training. The simulation technology emulates highly dangerous law enforcement scenarios while enabling student learning in a safe and controlled environment. FLETC will also focus on TRAIN21, a business operations and training transformation initiative that will integrate classroom instruction and real-world situation and decision-making practical exercises with technology-based training.
- *Partnering with state and local law enforcement entities:* The FLETC continues to revise and develop training programs for export delivery to state, local, tribal and campus law enforcement agencies. This partnership fosters cooperation, provides technology, improves response coordination and maximizes recovery between these agencies and Federal law enforcement agencies in emergency-related situations in the United States. Emerging programs for this area of training include domestic violence training and anti-terrorism intelligence training. The Rural Policing Institute was established in FY 2009 to address more fully the training needs of law enforcement officers from small town and rural agencies, which comprise 95% of the state, local, tribal and campus law enforcement population.
- *Law enforcement training capacity:* The FLETC evaluates facilities requirements based on Partner Organization training requests and the facilities needed to provide the training. The FLETC is currently modifying its Strategic Master Plan for Facilities to provide for capacity associated with long term training needs. The FLETC continues to explore and apply training alternatives such as the use of technology-based solutions, including computer modeling and simulation, Web-based training and computer based training in order to provide the most up-to-date training.

C. Resources Requested and Performance Impact

Major Changes within the Base Level

FLETC's FY 2010 request is \$288,812,000. The adjustment to base includes \$57,462,000, 53 positions and 52 FTE for one time cost decreases, consisting of \$1,950,000 for leveraging of DoD Modeling Technologies and \$12,512,000, 53 positions and 52 FTE for decreased training requirements related to FY09 hiring increases for Border Security, \$40,000,000 for a dormitory in Charleston, S.C. and \$3,000,000 for infrastructure improvements in Artesia, N.M., an increase of \$1,292,000 and 9 FTE for annualization, and an increase of \$1,896,000 for pay inflation.

Increments Over Current Service Levels

- \$4,100,000 increase for TRAIN21, a training and business operations transformation initiative.
- \$6,000,000 increase for migration to the two DHS Enterprise Data Centers for central DHS management.

D. How FLETC Programs and Their Performance Goals Align to and Support the DHS Strategic Plan Objectives.

Law Enforcement Training program performance goal – Provide law enforcement agents and officers, skilled in the latest techniques, to enforce laws and regulations, protect the Nation, and interact with the public with respect for individuals and civil liberty.

Goal 4 – Build a Nimble, Effective Emergency Response System and Culture of Preparedness.
Objective 4.1 – Ensure Preparedness

E. Performance Based Budget Highlights by Program

For each Future Years Homeland Security Program (FYHSP), the performance goal, performance measures, indicators, budget including allocation of non-programmatic overhead, and FTE are shown below. A complete listing of performance measures may be found on the OMB web site Expectmore.gov. In a few instances program names in PARTweb may differ slightly from those used in the Performance Budget.

Program: Law Enforcement Training						
Performance Goal: Provide law enforcement agents and officers, skilled in the latest techniques, to enforce laws and regulations, protect the Nation, and interact with the public with respect for individuals and civil liberty.						
DHS strategic objectives supported and % allocation of activities:						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$225,925	\$290,765	\$275,279	\$288,666	\$332,986	\$288,812
FTE	940	932	1,047	1,056	1,146	1,103

Performance Plan Measures

Measure: Percent of Partner Organizations that respond "agree" or "strongly agree" on the Partner Organization Satisfaction Survey to their overall satisfaction with the training provided by the Federal Law Enforcement Training Center.						
Description of Measure: This performance measure reflects the percentage of Partner Organizations that responded on the Partner Organization Satisfaction Survey agree or strongly agree to the overall satisfaction with the training the Federal Law Enforcement Training Center (FLETC) provides their officers or agents to prevent terrorism and other criminal activity against the U.S. and our citizens. The results of the measure provide on-going opportunities for improvements that are incorporated into FLETC training curricula, processes and procedures.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	Baseline	92%	87%	89%	89%
Actual:	None	91%	87.8%	87.8%	N/A	N/A

Measure: Percent of Partner Organizations that respond "agree" or "strongly agree" that Federal Law Enforcement Training Center training programs address the right skills needed for their officers/agents to perform their law enforcement duties.						
Description of Measure: The performance measure reflects the percent of Partner Organizations that responded on the Partner Organization Satisfaction Survey agree or strongly agree that FLETC training programs address the right skills needed for their officers/agents to perform their law enforcement duties to prevent terrorism and other criminal activity against the U.S. and our citizens. The results of the measure provide on-going opportunities for improvements that are incorporated into FLETC training curricula, processes and procedures.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	73%	73%	74%	75%	79%	80%
Actual:	90%	71%	79.75%	79.75%	N/A	N/A

Measure: Percent of students that express "excellent" or "outstanding" on the Student Feedback - Program Survey.						
Description of Measure: This measure reflects the percent of Federal Law Enforcement Training Center students who, on the student feedback survey, indicate the degree of training quality received was excellent or outstanding. Results from the survey are used to improve						

training to ensure students receive the right skills and knowledge, presented in the right way and at the right time to prevent terrorism and other criminal activity against the US and our citizens.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	64%	66%	67%	68%	69%	70%
Actual:	64%	62%	76%	59%	N/A	N/A

Additional Measures

Measure: Percent of requested training classes conducted (Capacity Measure).						
Description of Measure: This performance measure is an indicator of the percent of training classes requested by Partner Organizations that are successfully scheduled by the FLETC. This measure enables the FLETC to determine if sufficient capacity (facilities, instructors & support) is available to meet the present and projected future FLETC training requirements.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	98%	98%	98%	98%	98%	98%
Actual:	98.55%	98.98%	99.01%	98.87%	N/A	N/A

Measure: Total number of programs accredited and re - accredited through Federal Law Enforcement Training Accreditation (FLETA)						
Description of Measure: The number of federal law enforcement programs accredited through the Federal Law Enforcement Training Accreditation process. This process provides standards to ensure that graduates have the knowledge and skills to fulfill their responsibilities to prevent terrorism and other criminal activities against the U.S. and our citizens in a safe and proficient manner.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	None	24	33
Actual:	None	None	None	None	N/A	N/A

F. Digest Tables by FYHSP Programs

**Department of Homeland Security
Federal Law Enforcement Training Center
Digest of 2010 Budget Estimates by Activity and FYHSP Program
(dollars in thousands)**

Budget Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increases (+) or Decreases (-) for FY 2010					
	FTE	Amount	FTE	Amount	FTE	Amount	Total Changes		Program Changes		Other Changes	
							FTE	Amount	FTE	Amount	FTE	Amount
1. Law Enforcement Training	982	281,875	1,139	331,696	1,096	287,503	(43)	(44,193)	-	10,100	(43)	(54,293)
Federal	956	226,133	1,099	235,449	1,049	234,168	(50)	(1,281)	-	10,100	(50)	(11,381)
State & Local	16	3,318	28	8,112	35	8,167	7	55	-	-	7	55
International	10	1,574	12	1,679	12	1,712	-	33	-	-	-	33
Construction & Improvement	-	50,850	-	86,456	-	43,456	-	(43,000)	-	-	-	(43,000)
2. Accreditation	5	1,275	7	1,290	7	1,309	-	19	-	-	-	19
Budget Authority	987	283,150	1,146	332,986	1,103	288,812	(43)	(44,174)	-	10,100	(43)	(54,274)

The above digest lists total appropriations for all FLETC FYHSP programs.

Department of Homeland Security

Science and Technology Directorate



Fiscal Year 2010
Congressional Justification

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i. Summary of FY 2010 Budget Estimates by Appropriation

**Department of Homeland Security
Science and Technology Directorate**
Summary of FY 2010 Budget Estimates by Appropriation
Total Appropriations
(Dollars in Thousands)

Budget Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Management and Administration	323	\$138,138	257	\$132,100	274	\$142,200	17	\$10,100	---	\$0	17	\$10,100
Research, Development, Acquisitions, and Operations	---	833,926	124	800,487	130	826,191	6	25,704	---	95,825	6	(70,121)
Subtotal, Enacted Appropriations and Budget Estimates	323	\$972,064	381	\$932,587	404	\$968,391	23	\$35,804	0	\$95,825	23	(\$60,021)
Less: Adjustments for Other Funding Sources:												

ii. Homeland and Non Homeland Allocation by PPA

**Department of Homeland Security
Science and Technology Directorate**
Homeland and Non-Homeland Allocation by Program/Project Activity
(Dollars in Thousands)

Budget Activity	2008 Actual						2009 Enacted						2010 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Management and Administration	---	\$0	323	\$138,138	323	\$138,138	---	\$0	257	\$132,100	257	\$132,100	---	\$0	274	\$142,200	274	\$142,200
Other Salaries and Expenses	---	---	323	138,138	323	138,138	---	---	257	132,100	257	132,100	---	---	274	142,200	274	142,200
Research, Development, Acquisitions, and Operations	---	833,926	---	---	---	833,926	124	800,487	---	---	124	800,487	130	826,191	---	---	130	826,191
Borders and Maritime	---	28,664	---	---	---	28,664	---	33,050	---	---	---	33,050	---	40,181	---	---	---	40,181
Chemical and Biological	---	260,273	---	---	---	260,273	---	200,408	---	---	---	200,408	---	206,800	---	---	---	206,800
Command, Control and Interoperability	---	66,171	---	---	---	66,171	---	74,890	---	---	---	74,890	---	80,264	---	---	---	80,264
Explosives*	---	116,883	---	---	---	116,883	---	96,149	---	---	---	96,149	---	120,809	---	---	---	120,809
Human Factors	---	13,889	---	---	---	13,889	---	12,460	---	---	---	12,460	---	15,087	---	---	---	15,087
Infrastructure and Geophysical	---	52,424	---	---	---	52,424	---	75,816	---	---	---	75,816	---	44,742	---	---	---	44,742
Innovation	---	46,515	---	---	---	46,515	---	33,000	---	---	---	33,000	---	44,000	---	---	---	44,000
Laboratory Facilities	---	109,358	---	---	---	109,358	124	161,940	---	---	124	161,940	130	154,500	---	---	130	154,500
Test and Evaluation, Standards	---	29,704	---	---	---	29,704	---	28,674	---	---	---	28,674	---	28,674	---	---	---	28,674
Transition	---	46,330	---	---	---	46,330	---	28,830	---	---	---	28,830	---	45,134	---	---	---	45,134
University Programs	---	63,715	---	---	---	63,715	---	50,270	---	---	---	50,270	---	46,000	---	---	---	46,000
Homeland Security Institute	---	---	---	---	---	---	---	5,000	---	---	---	---	---	---	---	---	---	---
Total Direct Appropriations and Budget Estimates	---	\$833,926	323	\$138,138	323	\$972,064	124	\$800,487	257	\$132,100	381	\$932,587	130	\$826,191	274	\$142,200	404	\$968,391

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

**Department of Homeland Security
Science and Technology Directorate**

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
FY 2008	1/20/2008*	S. Rept. 110-84, to accompany the reports the bill Department of Homeland Security Appropriations Bill, 2008, (S. 1644)	Transportation Security Laboratory Costs and Benefits Report -- The Committee is aware of the need to expand laboratory space at the Transportation Security Laboratory (TSL) in order to safely house the Independent Test and Evaluation (ITE) program. Furthermore, the Committee is aware that product certifications provided at no charge by the TSL are a valuable service for vendors who send their products for evaluation, and that the product certification system encourages the development of newer security technology. The Committee directs S&T to report on the costs and benefits of charging companies for certification of their products in light of the potential to provide enhanced certification services and the capital improvement needs of the laboratory housing the ITE program. S&T is directed to report to the Committee on this cost-benefit analysis by February 5, 2008.	The report is in OMB review and is expected to be transmitted to the Committee in early May.
FY 2008		S. Rept. 110-84, to accompany the reports the bill Department of Homeland Security Appropriations Bill, 2008, (S. 1644)	C-MANPADS -- The Committee was disappointed to learn that additional funding provided in fiscal year 2007 for a comprehensive passenger aircraft suitability assessment resulted in a decision by the administration to push back its report and recommendation on deployment of these systems until fiscal year 2010. While the additional resources allowed a greater number of aircraft to be assessed, the major concerns about these systems such as effectiveness and reliability should soon be well characterized. The Committee directs the Department to report on the first portion of Phase III testing by the end of fiscal year 2008 and provide a recommendation on whether these systems are suitable for deployment or not.	C-MANPADS program was extended. DHS transmitted an interim white paper on the first portion of Phase III testing in August 2008. A final, comprehensive Phase III C-MANPADS report is anticipated for delivery to DHS in December 2009.
FY 2008		H.Rept. 110-181, to accompany the Department of Homeland Security Appropriations Bill, 2008 (H.R. 2638)	Air Cargo Pilot Report -- In fiscal year 2006, Congress appropriated \$30,000,000 for S&T to conduct three air cargo screening pilots programs to test different concepts of operations. Results to date from the three airports participating in the pilots appear promising. The Committee eagerly awaits the results of this work, which is scheduled to be completed in December 2007, with a final report due in the spring of 2008. In the interim, the Committee encourages S&T, in conjunction with TSA, to share any promising results with other airports seeking to improve their air cargo screening procedures. For example, an air cargo screening prioritization model was developed as part of one pilot that may permit the pilot airport, as well as other airports, to substantially increase the amount of air cargo it screens. FY 2006 Language -- "The conferees direct S&T to begin all pilots in fiscal year 2006, to report on the initial results of the pilots every six months after initiation of the first pilot, and to report on the final results four months after the last pilot is completed."	DHS submitted the 4th interim report to Congress in August 2008. The final report is in review and S&T anticipates delivery to the Committee this spring.

iv: Schedule of Authorized/Unauthorized Appropriations by PPA

**Department of Homeland Security
Science and Technology Directorate**

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

Budget Activity				
	Last Year of Authorization	Authorized Level	in Last Year of Authorization	FY 2010 Request
	Fiscal Year	Amount	Amount	Amount
Management and Administration	N/A	N/A	N/A	\$142,200
Research, Development, Acquisition, and Operation	N/A	N/A	N/A	\$826,191
Borders and Maritime	N/A	N/A	N/A	\$40,181
Chemical and Biological	N/A	N/A	N/A	\$206,800
Command, Control and Interoperability	N/A	N/A	N/A	\$80,264
Explosives	N/A	N/A	N/A	\$120,809
Human Factors	N/A	N/A	N/A	\$15,087
Infrastructure and Geophysical	N/A	N/A	N/A	\$44,742
Innovation	N/A	N/A	N/A	\$44,000
Laboratory Facilities	N/A	N/A	N/A	\$154,500
Test and Evaluation, Standards	N/A	N/A	N/A	\$28,674
Transition	N/A	N/A	N/A	\$45,134
University Programs	N/A	N/A	N/A	\$46,000
Total Direct Authorization/Appropriation	N/A	N/A	N/A	\$968,391

Department of Homeland Security

Science and Technology Directorate

Management and Administration



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

SCIENCE AND TECHNOLOGY DIRECTORATE MANAGEMENT AND ADMINISTRATION

I. Appropriation Overview

A. Mission Statement for Management and Administration:

The Management and Administration (M&A) appropriation provides for salaries and expenses related to 274 full time equivalent (FTE) personnel in Washington, D.C. This appropriation provides for the operation of the Science and Technology (S&T) Directorate's Washington, D.C., headquarters, including business operations, contributions to the DHS Working Capital Fund, and other administrative functions associated with the management of the S&T Directorate and its resources.

B. Budget Activities:

The M&A appropriation provides for salaries and benefits related to 274 FTE at the S&T Directorate headquarters. The 274 FTE provide executive direction to the S&T Directorate for policy analysis, planning, financial management and guidance formulation. FTE's also conduct program management, program execution oversight, program analysis, and operations and maintenance support for all S&T Directorate programs.

The M&A appropriation additionally provides for all business operations and financial management activities, including those covered by the DHS Working Capital Fund. The Business Operations functions include paying for rent, office supplies, utilities, and other operational functions associated with the S&T Directorate's Washington DC headquarters. This account pays for the training and travel associated with senior management of the S&T Directorate, and contractor staff who support the execution of headquarters functions, such as financial management, facility planning and maintenance, and other administrative functions. M&A also funds the administration of the S&T Directorate's regulatory and treaty compliance activities, the management of the Small Business Innovation Research (SBIR) program and the financial and programmatic databases. The M&A appropriation does not fund the contractor support or travel associated with the direct execution of Research, Development, Test and Evaluation (RDT&E) programs across the S&T Directorate.

C. Budget Request Summary:

The S&T Directorate requests 274 positions, 274 FTE, and \$142,200,000 for M&A in FY 2010, an increase of \$10,100,000 from FY 2009. The total adjustments-to-base of \$10,100,000 include funding for a 2.0 percent pay raise and to cover salaries and rent expenses for new employees hired in FY 2008 and FY 2009. In FY 2010 there are no program increases for the S&T Directorate M&A.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity

**Department of Homeland Security
Science and Technology Directorate
Management and Administration**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Salaries and Expenses	323	138,138	257	132,100	274	142,200	17	10,100	---	---	17	10,100
Subtotal, Enacted Appropriations and Budget Estimates	323	\$138,138	257	\$132,100	274	\$142,200	17	\$10,100	---	\$0	17	\$10,100
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	323	\$138,138	257	\$132,100	274	\$142,200	17	\$10,100	---	\$0	17	\$10,100

III. Current Services Program Description by PPA

**Department of Homeland Security
Science and Technology Directorate
Management and Administration
Program Performance Justification**

(Dollars in thousands)

PPA: MANAGEMENT AND ADMINISTRATION

	Perm Pos	FTE	Amount
2008 Actual	346	323	138,138
2009 Enacted	257	257	132,100
2010 Adjustments-to-Base	17	17	10,100
2010 Current Services	274	274	142,200
2010 Program Change	
2010 Request	274	274	142,200
Total Change 2009-2010	17	17	10,100

The S&T Directorate requests \$142.200 million for this activity. This is an increase of \$10.100 million over FY 2009 for pay inflation, as well as, adjustments to cover additional salaries, working capital fund expenses, and rent expenses.

CURRENT SERVICES PROGRAM DESCRIPTION:

The M&A appropriation provides for salaries and benefits related to 274 FTE at the S&T Directorate headquarters. The 274 FTE provide executive direction to the S&T Directorate for policy analysis, planning, financial management and guidance formulation. These FTE also conduct program management, program execution oversight, program analysis, and operations and maintenance support for all S&T Directorate programs. Included within this request is a current services adjustment of \$2.500 million to cover the increased space S&T has occupied to accommodate the recent increase of federal staff. S&T has also included a current services adjustment of \$6.000 million to cover the federal salaries and benefits associated with the new staff to be hired in FY 2009. In FY 2010 S&T is requesting an increase of 17 FTE (for a total of 274 FTE) to the authorized FTE level; this increase in FTE will not require additional funds and will be offset within the appropriation by reducing the level of contract staff and realigning funds from object class 25.1 Advisory and Assistance to Personnel Compensation and Benefits. This realignment of staffing funds to increase federal employees is an ongoing effort to reduce reliance on contractor staff within S&T.

The M&A appropriation provides all of the corporate-level functions in the S&T Directorate that allow the technical divisions to manage the Research and Development Testing and Evaluation (RDT&E) programs. Those functions include the Strategy, Policy and Budget Division, which includes the functions of Chief Financial Officer; the Business Operations Division, which manages the facilities, personnel and the information technology infrastructure; the Operations Analysis Division, which provides science-based risk analyses and other tools; and the Corporate Communications Division, which coordinates internal and external information dissemination.

The DHS Working Capital Fund provides for those shared services that the components rely on to execute their missions, such as contracting officers and the DHS-wide information technology infrastructure.

Division Support

The Directorate has six divisions and four key offices, each of which has an important role in implementing RDT&E activities. The M&A appropriation provides for the federal salaries and business operations of these divisions.

Borders and Maritime Security Division - The Borders and Maritime Security Division develops and transitions tools and technologies that improve the security of our Nation's borders and waterways without impeding the flow of commerce and travelers.

Chemical and Biological Division - The Chemical and Biological Countermeasure Division works to increase the Nation's preparedness against chemical and biological threats through improved threat awareness, advanced surveillance and detection, and protective countermeasures.

Command, Control and Interoperability Division - The Command, Control, and Interoperability Division focuses on operable and interoperable communications for emergency responders, security and integrity of the Internet, and development of automated capabilities to recognize potential threats.

Explosives Division - The Explosives Division develops the technical capabilities to detect, interdict, and lessen the impacts of non-nuclear explosives used in terrorist attacks against mass transit, civil aviation and critical infrastructure.

Human Factors/Behavioral Sciences Division - The Human Factors/Behavioral Sciences Division applies the social and behavioral sciences to improve detection, analysis, and understanding of the threats posed by individuals, groups, and radical movements. It supports the preparedness, response, and recovery of communities impacted by catastrophic events and it advances homeland security by integrating human factors into homeland security technologies.

Infrastructure and Geophysical Division - The Infrastructure and Geophysical Division develops capabilities to increase the Nation's preparedness for and response to natural and man-made threats through superior situational awareness, emergency response capabilities, and critical infrastructure protection.

Crosscutting Offices:

Innovation - The activities within the Innovation offices focus on homeland security priority research and development initiatives that could lead to significant technology breakthroughs that would greatly enhance DHS operations. The Office of the Director of Innovation oversees the Homeland Security Advanced Research Project Agency (HSARPA). HSARPA funds R&D of homeland security technologies to support basic and applied homeland security research to promote revolutionary changes in technologies that would promote homeland security; advance the development, testing and evaluation, and deployment of critical homeland security

technologies; and accelerate the prototyping and deployment of technologies that would address homeland security vulnerabilities.

Test & Evaluation and Standards - The Test & Evaluation and Standards programs provides policy and oversight of the Department's test and evaluation program and technical support and coordination to assist the Nation's emergency responders in the acquisition of equipment, procedures, and mitigation processes that are safe, reliable, and effective.

Transition - The Transition Office focuses on delivering near-term products and technology enhancements by working with the Department's components, industry, and other agencies to expedite the technology transition process.

Research – Laboratory Facilities - Office of National Laboratories (ONL) executes Laboratory Facilities programs. ONL provides the Nation with a coordinated, enduring core of productive science, technology and engineering laboratories, organizations, and institutions, which can provide the knowledge and technology required to secure our homeland.

Research – University Programs - University Programs engage the academic community to conduct research and analyses and provides education and training programs to support DHS priorities and enhance homeland security capabilities.

The six technical Divisions and additional offices are linked to three research and development investment portfolio directors in a matrix managed structure. The three portfolio directors – Director of Research, Director of Transition, and Director of Innovation – provide crosscutting coordination of the investment strategy within the technical Divisions. The matrix structure allows the S&T Directorate to provide more comprehensive and integrated technology solutions to its customers by appropriately bringing all disciplines together in developing leading-edge research solutions.

Strategy, Policy and Budget Division

The Strategy, Policy and Budget Division provides the S&T Directorate with high-quality, efficient, and cost-effective financial management services through four branches. The Program Analysis and Evaluation (PA&E) Branch develops long-term plans for resource allocation, execution plans, Congressional Justifications, and management of financial resources within the S&T Directorate. The Strategy, Planning and Integration (SPI) Branch manages and provides training for the S&T Directorate's Planning, Programming, Budgeting, and Execution (PPBE) system and associated processes, including PPBE database development and implementation. SPI also develops and implements internal and external performance metrics for S&T Directorate programs, as well as risk assessment methodologies to help inform programming decisions. The Acquisition Branch develops the S&T Directorate's acquisition strategy, and manages the travel and purchase card programs. The Financial Operations Branch is dedicated to sound fiscal stewardship of the S&T Directorate's appropriations and reimbursable funding; timely and accurate budget execution, financial management and financial reporting; and a sound monitoring process of programs and activities to provide reasonable assurance about the adequacy of the internal controls program within the S&T Directorate.

Business Operations Division

The Business Operations Division provides critical infrastructure support to the S&T Directorate and is composed of eight components: Facilities, Human Capital Office (HCO), Office of the Chief Information Officer (OCIO), Executive Secretariat, Office of the Chief Administrative Officer (CAO), Office of Administration and Audits, Central Security Office (CSO), and Readiness and Operational Coordination (ROC). In compliance with Presidential Directives, Federal Regulations and Department guidance, the Business Operations Division provides support and continuous process improvement through problem identification and solution, sound policy and procedure development, and high-quality service.

Facilities Branch - The Facilities Branch focuses primarily on the S&T Directorate's headquarters offices and is dedicated to providing its customers with a facility that is fully operational, well maintained and conducive to business operations, while focusing on and providing excellent customer service. This branch also funds rent and Federal Protective Services for S&T Directorate headquarters facilities.

Human Capital Office (HCO) - The HCO leads, manages and coordinates the delivery of the full range of human capital services in support of the S&T Directorate. The S&T Directorate supports the Department's initiatives to enhance employee satisfaction and motivation. Consistent with the Department's goals, the S&T Directorate is committed to a human capital management approach that achieves the following goals: recruit, train, and retain a workforce skill set mix focused on research and transition; maintain a personnel evaluation system that is based on performance and is fair; and recognize the contributions by personnel at all levels.

HCO provides a full range of human resource services in support of staffing: recruitment; labor and employee relations; position management and classification; performance management; compensation and benefits; employee and workforce development; manpower and strength management; in and out processing; awards management; and internal management controls. HCO implements DHS Human Capital policies and acts as a liaison with the DHS Management Directorate, Chief Human Capital Office.

HCO maintains the S&T Directorate's Staffing Management System (SMS). It maintains real-time information regarding the S&T Directorate's staffing positions, the details regarding its staff (Federal, contractors, detailees), and resources used by the staff, such as offices and government-issued equipment. The system assists in developing workforce plans, facility plans, equipment acquisition plans and future-year budgets.

HCO has enacted policies concerning Tele-work/Tele-commute and Alternate Work Schedules to establish a family-friendly workforce environment. HCO is responsible for Workforce Development and external training and education. This includes coordinating courses for managers and supervisors that discuss current human resource issues and policies and the implementation of the e-pilot tool for performance management and evaluation and DHScovery, an on-line learning management system.

Office of the Chief Information Officer (OCIO) - The S&T Directorate's OCIO advises senior leadership and program offices on all aspects of Information Technology (IT) business

processes, policies, standards and guidelines for the development of IT and compliance with DHS and Federal policies. OCIO ensures the delivery of information technology services to support the S&T Directorate's mission, goals and objectives, and represents S&T Directorate priorities on DHS and cross-agency IT initiatives, which support distributed and centralized technical and business operations to increase cost-effectiveness. OCIO accomplishes this by: (1) Business Planning – efficient and cost effective management of the S&T Directorate's IT investments, oversight & maintenance of the IT budget, capital planning and investment control, and Enterprise Architecture; (2) IT Engineering and Technology – technical service and guidance in IT infrastructure design and build-out of core systems and applications to improve timeliness, accuracy, and comprehensiveness of the S&T Directorate's RDA&O investments; (3) IT Systems Standards and Interoperability – standard data structures, databases, communications security, and solutions engineering to improve the collection, access, analysis, and dissemination of systems and data; (4) IT Infrastructure – infrastructure to ensure reliability, security and asset management; and (5) IT Security – information assurance services, oversees and coordinates security planning, testing, certification, and routine monitoring of S&T Directorate systems, and Federal Information Security Management Act of 2002 (FISMA) compliance.

Executive Secretariat (S&T Exec Sec) - The Office of the S&T Exec Sec oversees official communications to and from the Under Secretary for Science and Technology and ensures compliance with the roles and responsibilities stated in DHS Management Directive 10100. The S&T Exec Sec is a critical communicative instrument between the S&T Directorate and DHS components and other S&T Directorate customers. The S&T Exec Sec works with S&T Directorate staff on behalf of the Under Secretary to respond to congressional requests, Government Accountability Office (GAO) and DHS Office of Inspector General (DHS OIG) requests, general public requests and other inquiries. The S&T Exec Sec provides administrative support on behalf of the Under Secretary to include record management, forms management, document control and establishing correspondence procedures for the S&T Directorate. Additionally, the S&T Exec Sec interfaces with DHS components and external customers.

Office of the Chief Administrative Officer (CAO) - The CAO provides and manages quality services and assets that enable the S&T Directorate to achieve its mission. The CAO provides services, policy and oversight to the S&T Directorate and works with the DHS Management Directorate for real and personal property, environmental management, compliance and planning, historic and cultural preservation, employee health and safety, emergency preparedness and energy management. In addition, it maintains a liaison with the DHS Management Directorate for mail management, records management, printing and library services.

Office of Administration & Audits - The Administration & Audits office works as a liaison for the S&T Directorate to DHS OIG and GAO, and the general public regarding the Freedom of Information Act (FOIA). All three areas require policy and procedures to keep in compliance with specific Presidential Directives, Federal regulations and Congressional oversight.

Central Security Office (CSO) - The S&T CSO supports and provides the government and contractor personnel the security information and expertise to perform the S&T Directorate's mission. The CSO implements and adheres to policies, management directives and regulations

implemented by DHS Headquarters, and ensures the protection of facilities and of critical information from unauthorized disclosure.

Operations Analysis Division

The Operations Analysis Division provides the S&T Directorate with a wide range of scientific and technical tools to inform planning and management activities. The division provides information to decision-makers and program managers resulting from research, studies, operational analyses, risk analyses, analytic and computational models, simulations, war-games, and experimentation events that it oversees. The division uses these technical and analytical support activities to establish baseline operational capabilities and goals, integrate policy and program planning, and inform management decisions and the development of strategic objectives. The Operations Analysis Division has primary oversight of the activities of the Homeland Security Institute (HSI), other S&T Directorate sponsored Federally Funded Research and Development Centers (FFRDCs), and the Homeland Security Science and Technology Advisory Committee (HSSTAC), in addition to managing gaming and simulation and other experimentation activities.

Corporate Communications Division

The Corporate Communications Division communicates the objectives and status of homeland security technology programs, disseminates information regarding opportunities for private sector entities (corporate and academic), and ensures that DHS technologies and programs are understood and accurately represented by the media. The Corporate Communications Division holds conferences and manages the S&T Directorate's presence at other information sharing events to improve contact among technology developers, vendors, and acquisition personnel. They also promote the participation of colleges, universities, private research institutes, and companies (and consortia thereof) in the research process by disseminating information regarding research conducted or sponsored by the Department, and provide public communication support to the S&T Directorate sponsored FFRDCs. This is achieved through the S&T Directorate's business-based web presence, which provides information for persons seeking guidance on how to pursue proposals to develop or deploy technologies that would enhance homeland security.

Working Capital Fund

Funds provided within the M&A appropriation are also used to acquire services through the DHS Working Capital Fund, which includes: IT services, human resources, procurement operations, and financial systems. Other services provided are consolidated subscriptions, government-wide mandated services and DHS crosscutting activities.

IV. Program Justification of Changes

Not Applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Science and Technology Directorate
Management and Administration
Justification of Proposed Changes in Management and Administration
Appropriation Language**

For salaries and expenses of the Office of the Under Secretary for Science and Technology, and for management and administration of programs and activities as authorized by title III of the Homeland Security Act of 2002 (6 U.S.C. 181 et seq.), [132,100,000] **\$142,200,000**: *Provided*, That not to exceed \$10,000 shall be for official reception and representation expenses. (Department of Homeland Security Appropriations Act, 200[8] **2**)

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
Science and Technology Directorate
Management and Administration
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actuals	346	323	\$138,138
2009 Enacted	257	257	132,100
Adjustments-to-Base (ATBs)			
Increases			
Annualization of FY 2009 Pay Raise.....	---	---	492
FY 2010 Pay Increase (2.0%).....	---	---	924
Inflation GSA Rent.....	---	---	126
Convert Contact Positions to Federal Positions	17	17	---
Maintain Current Services Adjustment	---	---	8,558
Fully fund staffing level to 257 FTE's	---	---	[6,000]
Rent for 6th & 9th Floors	---	---	[2,500]
WCF - Microsoft Licenses	---	---	[58]
Total Increases.....	<u>17</u>	<u>17</u>	<u>10,100</u>
TOTAL ATBs	<u>17</u>	<u>17</u>	<u>10,100</u>
2010 Current Services	274	274	142,200
2010 Request	274	274	142,200
2009 to 2010 Total Change	17	17	10,100

C: Summary of Requirements

**Department of Homeland Security
Science and Technology Directorate
Management and Administration**
Summary of Requirements
(Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	346	323	138,138
2009 Enacted	257	257	132,100
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	---	---	---
Increases	17	17	10,100
Decreases	---	---	---
Total Adjustments-to-Base	17	17	10,100
2010 Current Services	274	274	142,200
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	---	---	---
2010 Total Request	274	274	142,200
2009 to 2010 Total Change	17	17	10,100

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Salaries and Benefits	257	257	132,100	17	17	10,100	---	---	---	274	274	142,200	17	17	10,100
Total	257	257	\$132,100	17	17	\$10,100	---	---	---	257	274	\$142,200	17	17	\$10,100

D: Summary of Reimbursable Resources

**Department of Homeland Security
Science and Technology Directorate
Management and Administration**
Summary of Reimbursable Resources
(Dollars in Thousands)

Collections by Source	FY 2008 Actual			2009 Estimate			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Department of Agriculture	---	---	\$207	---	---	\$211	---	---	\$222	---	---	\$11
Department of Defense	1	1	2,110	1	1	670	1	1	1,175	---	---	505
Department of Education	---	---	326	---	---	500	---	---	600	---	---	100
Department of Health & Human Services	---	---	635	---	---	1,500	---	---	2,000	---	---	500
Department of Homeland Security:												
Citizen & Immigration Services Ombudsman	---	---	---	---	---	750	---	---	500	---	---	(250)
Customs & Border Protection	---	---	---	---	---	15,000	---	---	20,000	---	---	5,000
Counter Narcotics	---	---	---	---	---	750	---	---	1,000	---	---	250
Domestic Nuclear Detection Office	---	---	---	---	---	1,000	---	---	2,000	---	---	1,000
Federal Emergency Management Agency	---	---	6,241	---	---	10,350	---	---	11,350	---	---	1,000
Federal Law Enforcement Training Center	---	---	---	---	---	500	---	---	500	---	---	---
Immigration & Customs Enforcement	---	---	---	---	---	6,000	---	---	6,000	---	---	---
National Protection and Programs Directorate	---	---	1,515	---	---	25,000	---	---	20,000	---	---	(5,000)
Office of Health Affairs	---	---	7,271	---	---	8,500	---	---	10,000	---	---	1,500
Office of Intelligence & Analysis	---	---	570	---	---	12,000	---	---	12,000	---	---	---
Office of Management	---	---	550	---	---	20,000	---	---	25,000	---	---	5,000
Office of Operations Coordination	---	---	900	---	---	500	---	---	1,000	---	---	500
Office of Policy	---	---	194	---	---	1,000	---	---	1,500	---	---	500
Secret Service	---	---	---	---	---	500	---	---	1,000	---	---	500
Transportation Security Administration	---	---	1,137	---	---	20,200	---	---	21,000	---	---	800
United States Coast Guard	---	---	2,077	---	---	15,000	---	---	20,000	---	---	5,000
Department of Justice	---	---	---	---	---	270	---	---	520	---	---	250
Environmental Protection Agency	---	---	120	---	---	---	---	---	---	---	---	---
										---	---	---
										---	---	---
										---	---	---
Total Budgetary Resources	1	1	23,850	1	1	140,201	1	1	157,367	---	---	17,166

Obligations by Program/Project Activity	FY 2008 Actual			2009 Estimate			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Chemical & Biological	---	---	\$120	---	---	\$0	---	---	\$0	---	---	\$0
Command, Control, & Interoperability	---	---	3,150	---	---	5,350	---	---	5,350	---	---	---
Director of Research	1	1	165	1	1	170	1	1	175	---	---	5
Explosives	---	---	---	---	---	8,000	---	---	9,000	---	---	1,000
Homeland Security Institute	---	---	19,824	---	---	122,250	---	---	142,600	---	---	20,350
Laboratory Facilities	---	---	---	---	---	4,431	---	---	242	---	---	(4,189)
University Program	---	---	592	---	---	---	---	---	---	---	---	---
Total Obligations	1	1	23,850	1	1	140,201	1	1	157,367	---	---	17,166

Explanation of Increase/Decrease.

The increase between FY08 and FY09 is due to the startup of the DHS Systems Engineering Federally Funded Research and Development Center (FFRDC) which will transition existing work away from non-DHS FFRDCs.

E: Summary of Requirements by Object Class

**Department of Homeland Security
Science and Technology Directorate
Management and Administration**
Summary of Requirements by Object Class
(Dollars in Thousands)

Object Classes	FY 2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$33,811	\$32,280	\$39,254	\$6,974
11.3 Other than full-time permanent	3,802	---		---
11.5 Other Personnel Compensation	1,203	4,708	1,624	(3,084)
12.1 Benefits	9,315	8,791	13,066	4,275
Total, Personnel Comp. & Benefits	\$48,131	\$45,779	\$53,944	\$8,165
Other Object Classes:				
21.0 Travel	1,016	920	1,203	283
22.0 Transportation of things	67	---	---	---
23.1 GSA rent	4,933	6,445	6,887	442
23.3 Communications, utilities, & other misc. charges	---	431	526	95
24.0 Printing and reproduction	71	50	50	---
25.1 Advisory and assistance services	28,442	31,968	29,597	(2,371)
25.2 Other services	3,845	1,649	1,965	316
25.3 Purchases of goods & svcs. from Gov't accounts	39,843	37,876	41,023	3,147
25.4 Operation & maintenance of facilities	26			
25.5 Research and development contracts	1,466	---	---	---
25.7 Operation and maintenance of equipment	717	---	---	---
26.0 Supplies and materials	771	805	805	---
31.0 Equipment	8,810	6,177	6,200	23
Total, Other Object Classes	90,007	86,321	88,256	1,935
Total, Direct Obligations	\$138,138	\$132,100	\$142,200	\$10,100
Unobligated balance, start of year	---	---	---	
Reimbursable Program	---	---	---	
Unobligated balance, end of year	---	---	---	
Recoveries of prior year obligations	---	---	---	
Total requirements	\$138,138	\$132,100	\$142,200	10,100

F: Permanent Positions by Grade

**Department of Homeland Security
Science and Technology Directorate
Management and Administration
Permanent Positions by Grade**

Grades and Salary Ranges	2008	2009	2010	2009 to 2010
	Actual Pos.	Enacted Pos.	Request Pos.	Change Total
Total, SES	12	12	12	---
Total, EX	2	2	2	---
GS-15	149	131	131	---
GS-14	64	44	52	8
GS-13	24	10	15	5
GS-12	23	10	14	4
GS-11	13	5	5	---
GS-10	---	---	---	---
GS-9	10	3	3	---
GS-8	5	3	3	---
GS-7	2	---	---	---
GS-6	8	---	---	---
GS-5	---	---	---	---
GS-4	1	---	---	---
GS-3	1	---	---	---
GS-2	---	---	---	---
Other Graded Positions	32	37	37	---
Ungraded Positions	---	---	---	---
Total Permanent Positions	346	257	274	17
Unfilled Positions EOY	---	---	---	---
Total Perm. Employment EOY	346	257	274	17
FTE	323	257	274	17
Headquarters	228	257	274	17
U.S. Field	118	---	---	---
Foreign Field	---	---	---	---
Total Permanent Positions	346	257	274	17
Average ES Salary	\$ 157,206	\$ 161,922	\$ 166,780	\$ 4,858
Average GS Salary	\$ 123,401	\$ 128,460	\$ 136,587	\$ 8,127
Average GS Grade	15	15	15	---

G. Capital Investment and Construction Initiative Listing

Not Applicable

H. PPA Budget Justification

Department of Homeland Security
Science and Technology Directorate
Management and Administration
Salaries and Expenses
Funding Schedule
(Dollars in Thousands)

PPA: Salaries and Expenses		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$33,811	\$32,280	\$39,254	\$6,974
11.3	Other than perm	\$3,802			---
11.5	Other per comp	\$1,203	4,708	\$1,624	(3,084)
12.1	Benefits	\$9,315	8,791	\$13,066	4,275
21.0	Travel	\$1,016	920	1,203	283
22.0	Transportation of things	\$67			---
23.1	GSA rent	\$4,933	6,445	6,887	442
23.3	Communication, Utilities, and misc charges	\$0	431	526	95
24.0	Printing	\$71	50	50	---
25.1	Advisory & Assistance Services	\$28,442	31,968	29,597	(2,371)
25.2	Other Services	\$3,845	1,649	1,965	316
25.3	Purchase from Govt. Accts.	\$39,843	37,876	41,023	3,147
25.4	Operation & maintenance of facilities	\$26		---	---
25.5	Research & Development	\$1,466			---
25.7	Operation & maintenance of equipment	\$717			---
26.0	Supplies & materials	\$771	805	805	---
31.0	Equipment	\$8,810	6,177	6,200	23
Total, Salaries and Expenses		\$138,138	\$132,100	\$142,200	\$10,100
Full Time Equivalents		323	257	274	17

PPA Mission Statement

The Management and Administration (M&A) appropriation provides for salaries and expenses related to 274 full time equivalent (FTE) personnel in Washington, D.C. This appropriation also provides for the operation of the S&T Directorate's Washington, D.C., headquarters including business operations, contributions to the DHS Working Capital Fund, and other administrative costs associated with the management of the S&T Directorate and its resources.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$48,131	\$45,779	\$53,944	\$8,165

Salaries and Benefits includes costs for 274 FTEs. The FY 2010 request includes an increase of \$924,000 for the proposed January 2010 2.0% increase in personnel compensation, \$492,000 for annualization of the prior-year pay raise, a transfer of \$2,450,000 from the Advisory and Assistance object class to cover salaries of contractor conversions and an increase of \$4,299,000 to annualize additional staff hired in FY 2009 to meet S&T's goal of 274 Federal Employees.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$1,016	\$920	\$1,203	\$283

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. An increase of \$212,000 is included to cover travel expenses for new federal employee's hired in FY 2009 and an increase of \$71,000 is included for the 17 contractor conversions.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$67	\$0	\$0	\$0

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$4,933	\$6,445	\$6,887	\$442

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. An increase of \$126,000 is included for GSA Rent inflation of 2% and an increase of \$316,000 is included to cover rent expenses associated with new space acquired for new employees hired in FY 2008 and FY 2009. A portion of S&T's rent costs are included in WCF charges reflected in object class 25.3.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous charges	\$0	\$431	\$526	\$95

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. An increase of \$95,000 is required to cover utilities expenses associated with new space rented by S&T.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Printing	\$71	\$50	\$50	\$0

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$28,442	\$31,968	\$29,597	(\$2,371)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. A decrease of \$2,771,000 is transferred to Salaries, travel and other services to cover costs of converting 17 contractor staff to federal employees. Also included is an increase of \$400,000.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$3,845	\$1,649	\$1,965	\$316

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. An increase of \$66,000 is included for additional training expenses associated with new hires in FY 2009 and an increase of \$250,000 is included to cover training and other expenses for the 17 contractor conversions in FY 2010.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Purchase from Government Accounts	\$39,843	\$37,876	\$41,023	\$3,147

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. An additional \$3,147,000 is included to cover additional expenses in WCF including the increase in WCF Rent.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Operation & maintenance of facilities	26	---	\$0	\$0

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Research and Development	\$1,466	\$0	\$0	\$0

Research and Development includes costs for contracts for the conduct of basic and applied research and development.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$717	\$0	\$0	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$771	\$805	\$805	\$0

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

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$8,810	\$6,177	\$6,200	\$23

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. An increase of \$23,000 is included to cover increased costs associated with IT equipment.

I. Changes in FTE

**Department of Homeland Security
Science and Technology Directorate
Management and Administration
Changes in Full-Time Equivalents**

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	257	323	257
INCREASES			
Staffing Increase			
Description: Hiring staff to reach to FY 2008 authorized level of 381.	66	58	
Description: Convert Contract Positions to Federal Positions			17
Sub-Total Increases	66	58	0
DECREASES			
Decrease #1:			
Transfer to Research and Development - Laboratory Facilities		-124	
Sub-Total Decreases	0	-124	0
Year-end Actual/Estimated FTEs	323	257	274
Net Change from prior year base to Budget Year Estimate:	66	-66	0

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity

**Department of Homeland Security
Science and Technology Directorate
Management and Administration**

FY 2010 Schedule of Working Capital Fund by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual	FY 2009 Enacted	FY 2010 Anticipated	Increase / Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Fee for Service Activity	\$33,764	\$34,925	\$41,423	\$6,498
Government-wide Mandated Service Activity	\$268	\$299	\$312	\$13
DHS Cross Cutting Activity	\$159	\$193	\$356	\$163
WCF Management Activity	\$69	\$88	\$89	\$1
Total Working Capital Fund	\$34,260	\$35,505	\$42,180	\$6,675

Department of Homeland Security

Science and Technology Directorate

Research, Development, Acquisitions, and Operations



**Fiscal Year 2010
Congressional Justification**

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BUDGET REQUEST AND SUPPORTING INFORMATION

SCIENCE AND TECHNOLOGY DIRECTORATE RESEARCH, DEVELOPMENT, ACQUISITIONS, AND OPERATIONS

I. Appropriation Overview

A. Mission Statement for Research, Development, Acquisitions, and Operations:

The Science and Technology (S&T) Directorate is the primary research and development (R&D) arm of the Department of Homeland Security (DHS). The S&T Directorate will improve homeland security by providing our customers, the operating components of DHS and State, local, tribal, and territorial emergency responders and officials, state-of-the-art technology that helps them accomplish their missions.

The S&T Directorate will fulfill its mission by:

- Developing and deploying state-of-the-art, high performance, low-operating-cost systems to prevent, detect, and mitigate the consequences of chemical, biological, and explosive attacks;
- Developing equipment, protocols, and training procedures for response to and recovery from all-hazards, including chemical, biological, and explosive attacks;
- Enhancing the technical capabilities of the Department's operational elements and other Federal, State, local, and tribal agencies to fulfill their homeland security related missions;
- Developing methods and capabilities to test and assess threats and vulnerabilities, and prevent technology surprise and anticipate emerging threats;
- Developing technical standards and establishing certified laboratories to evaluate homeland security and emergency responder technologies, and evaluate technologies for SAFETY Act certification; and
- Supporting U.S. leadership in science and technology.

The S&T Directorate is customer-focused and delivers capabilities that DHS components can rely on to meet their operational needs. To accomplish this, the S&T Directorate facilitated customer-led Capstone Integrated Product Teams (IPTs) charged with identifying functional capability requirements across the Department. The S&T Directorate uses the outcomes of these IPTs to identify the highest priority needs and allocate resources to those programs that support the priorities established by its DHS customers. The S&T Directorate's business model of structured Capstone IPTs ensures that product transition investments align to customer mission requirements.

Senior leadership from DHS Components lead the Capstone IPTs in the following 12 major Homeland Security functional areas:

- Border Security;

- Cargo Security;
- Chemical/Biological Defense;
- Counter-Improvised Explosive Devices;
- Cyber Security;
- Incident Management;
- Information Sharing/Management;
- Infrastructure Protection;
- Interoperability;
- Maritime Security;
- People Screening; and
- Transportation Security.

The S&T Directorate established a 13th IPT for First Responder Technologies to address capability gaps identified by Federal, State, local and Tribal First Responders.

Each Capstone IPT works to identify, validate, and prioritize capability requirements across the Department (within a functional area) that the S&T Directorate can address. The interaction of technologists and operators has improved the prioritization of efforts and the focus on relevant, cost-effective solutions that make a significant difference. The S&T Directorate's transition process ensures that appropriate technologies are harvested and integrated into the DHS acquisition system for our customers. Outputs from the IPTs continue to drive the S&T Directorates programs in the FY 2010 budget request. As part of this process, the Homeland Security Studies and Analysis Institute provides capability gap analysis and quick-response studies on topics that arise during the S&T Directorate's capstone IPT process.

B. Budget Activities:

Borders and Maritime Security

The Borders and Maritime Security Division develops and transitions tools and technologies that improve the security of our Nation's borders and waterways, without impeding the flow of commerce and travelers.

Chemical and Biological

The Chemical and Biological Division works to increase the Nation's preparedness against chemical and biological threats through improved threat awareness, advanced surveillance and detection, and protective countermeasures.

Command, Control, and Interoperability

The Command, Control, and Interoperability Division develops interoperable communication standards and protocols for emergency responders; cyber security tools for protecting the integrity of the Internet; and automated capabilities to recognize and analyze potential threats.

Explosives

The Explosives Division develops the technical capabilities to detect, interdict, and lessen the impacts of non-nuclear explosives used in terrorist attacks against mass transit, civil aviation, and critical infrastructure.

Human Factors

The Human Factors/Behavioral Sciences Division applies the social and behavioral sciences to improve detection, analysis, and understanding and response to homeland security threats.

Infrastructure and Geophysical

The Infrastructure and Geophysical Division's increases the Nation's preparedness for and response to natural and man-made threats through superior situational awareness, emergency response capabilities, and critical infrastructure protection.

Innovation

Innovation focuses on homeland security R&D that could lead to significant technology breakthroughs that would greatly enhance DHS operations.

Laboratory Facilities

Laboratory Facilities provides the Nation with a coordinated, enduring core of productive science, technology and engineering laboratories, organizations and institutions, which can provide the knowledge and technology required to secure our homeland.

Test & Evaluation and Standards

The Test & Evaluation and Standards Division provides technical support and coordination to assist the Nation's emergency responders in the acquisition of equipment, procedures and mitigation processes that are safe, reliable, and effective.

Transition

The Transition Office focuses on delivering near-term products and technology enhancements by working with the Department's components to expedite the technology transition process.

University Programs

University Programs engages the academic community to conduct research and analyses and provides education and training programs to support DHS priorities and enhance homeland security capabilities.

C. Budget Request Summary:

The S&T Directorate request for Research, Development, Acquisitions, and Operations is \$826.191 million for FY 2010. This is an increase of \$25.704 million above the FY 2009 Enacted level, which supports the development of additional technologies for specific high-priority, customer-identified needs identified during the S&T Capstone IPT process, specifically:

- Borders and Maritime Security:
 - Maritime Security, and
 - Urban Tunnel Detection.
- Command, Control and Interoperability:
 - Cyber Security
- Explosives:
 - Vehicle-Borne Improvised Explosive Device/ Person-Borne Improvised Explosive Device (VBIED/PBIED) to improve large threat mass detection in such areas as the transit environment, special events and other large areas

- Additional efforts in Air Cargo
- Human Factors:
 - Suspicious Behavior Detection to provide a culturally independent, real-time, multi-modal (behavioral, physiological, and auditory), automated capability to detect suspicious behavior that indicates the intent to cause harm.
- Infrastructure and Geophysical
 - Additional efforts to improve the Nation's disaster response system so agencies and private partners at all levels have situational awareness of the resources being applied to the last mile where disaster victims are located.
 - Addressing high-priority technology gaps to improve Critical Infrastructure resiliency and first responder survivability.
- Labs and Facilities:
 - National Bio and Agro-Defense Facility (NBAF) site preparation including central utility plant (CUP) construction,
 - Pacific Northwest National Laboratory (PNNL),
 - Infrastructure upgrades, starting with the addition of storage space, including explosives bunkers, at Transportation Security Laboratory (TSL),
 - Operations costs for the National Biodefense Analysis and Countermeasures Center (NBACC).
- Transition:
 - First Responder Technologies IPT - Federal, State, local and Tribal First Responders will identify science and technology requirements and prioritize technology solutions proposed by the S&T Directorate's divisions

II. Summary of FY 2010 Budget Estimates by Program/Project/Activity (PPA)

**Department of Homeland Security
Science and Technology Directorate
Research, Development, Acquisitions, and Operations**
Summary of FY 2010 Budget Estimates by Program/Project/Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease(-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Borders and Maritime	---	\$28,664	---	\$33,050	---	\$40,181	---	\$7,131	---	\$7,131	---	\$0
Chemical and Biological	---	\$260,273	---	\$200,408	---	\$206,800	---	\$6,392	---	\$5,000	---	\$1,392
Command, Control and Interoperability	---	\$66,171	---	\$74,890	---	\$80,264	---	\$5,374	---	\$5,374	---	\$0
Explosives	---	\$116,883	---	\$96,149	---	\$120,809	---	\$24,660	---	\$24,660	---	\$0
Human Factors/Behavioral Sciences	---	\$13,889	---	\$12,460	---	\$15,087	---	\$2,627	---	\$2,627	---	\$0
Infrastructure and Geophysical	---	\$52,424	---	\$75,816	---	\$44,742	---	(\$31,074)	---	\$6,926	---	(\$38,000)
Innovation	---	\$46,515	---	\$33,000	---	\$44,000	---	\$11,000	---	\$11,000	---	\$0
Laboratory Facilities	---	\$109,358	124	\$161,940	130	\$154,500	6	(\$7,440)	---	\$25,803	6	(\$33,243)
Test and Evaluation, Standards	---	\$29,704	---	\$28,674	---	\$28,674	---	\$0	---	\$574	---	(\$574)
Transition	---	\$46,330	---	\$28,830	---	\$45,134	---	\$16,304	---	\$14,000	---	\$2,304
University Programs	---	\$63,715	---	\$50,270	---	\$46,000	---	(\$4,270)	---	(\$2,270)	---	(\$2,000)
Homeland Security Institute		\$0		\$5,000		\$0	---	(\$5,000)	---	(\$5,000)	---	\$0
Subtotal, Enacted Appropriations and Budget Estimates	---	\$833,926	124	\$800,487	130	\$826,191	6	\$25,704	---	\$95,825	6	(\$70,121)
Less: Adjustments for Other Funding Sources:						\$0	---	\$0	---	\$0	---	\$0
Net, Enacted Appropriations and Budget Estimates	---	\$833,926	124	\$800,487	130	\$826,191	6	\$25,704	---	\$95,825	6	(\$70,121)

III. Current Services Program Description by PPA

PPA: BORDER AND MARITIME

	<u>Perm</u>	<u>FTE</u>	<u>Amount</u>
	<u>Pos</u>		
2008 Actual			\$ 28,664
2009 Enacted			33,050
2010 Adjustments-to-Base			0
2010 Current Services			33,050
2010 Program Change			7,131
2010 Request			40,181
Total Change 2009-2010			7,131

The Science and Technology (S&T) Directorate requests \$40.181 million for Border and Maritime in FY 2010, of this amount \$1.005 million supports the Small Business Innovative Research (SBIR) Program. This includes \$7.131 million for high-priority maritime security requirements identified by the Maritime Security Integrated Product Team (IPT) and for Urban Tunnel Detection basic research.

CURRENT SERVICES PROGRAM DESCRIPTION

The Borders and Maritime Security Division develops and transitions technical capabilities that enhance U.S. border security without impeding the flow of commerce and travelers. The division works closely with its operational customers to identify and generate the best technologies for securing U.S. borders. The division's area of responsibility encompasses all air, land, and maritime borders, including U.S. ports-of-entry and inland waterways. The division provides customers with new and/or better options to accomplish their mission.

The primary Federal customers and end-users for the Borders and Maritime Security Division are the Department's Customs and Border Protection (CBP), Immigration and Customs Enforcement (ICE), U.S. Coast Guard (USCG), and Transportation Security Administration (TSA). FY 2009 and FY 2010 activities reflect requirements from these customers. Successful transition of these capabilities and technologies will improve the Department of Homeland Security (DHS) components' performance and support the Secretary's goals of:

- Protecting the Nation from dangerous people, and
- Protecting the Nation from dangerous goods.

Border Watch Thrust Area – Develops and applies technologies and tools that:

- increase detection of illegal land and maritime border activity while requiring less manpower;
- reduce agent response time and increase officer safety;
- provide connectivity to law enforcement officers working in remote locations where it currently does not exist; and
- provide real-time, relevant information to DHS component command centers and various levels of law enforcement.

Border Watch is developing a network of advanced sensor and communication technologies that will provide law enforcement officers critical information about illegal activities along the U.S. border. Currently, border operations, both at and between ports-of-entry, depend highly on a professional's institutional knowledge and aging technology. Border Watch aims to deliver advanced detection, classification and localization technologies that will enhance law enforcement officers' ability to secure the borders efficiently and effectively.

Activities in the Border Watch thrust area support the Secure Border Initiative (SBI), a comprehensive multi-year plan to secure America's borders and reduce illegal migration, and the Interagency Operation Centers, an initiative to enhance command-and-control capabilities for the maritime entities. The thrust area includes the following programs: Border Technologies, Maritime Technologies, and Border Officer Tools and Safety.

Border Technologies Program – FY 2009: \$9.798 million; FY 2010 estimate: \$13.199 million
Delivers technologies to provide advanced detection, identification, apprehension and enforcement capabilities along land and maritime borders. The program develops:

- Detection, classification, and localization sensor technologies to monitor illegal border activity with a wider range and greater accuracy than current technologies;
- Command and control systems that deliver more comprehensive information about real time to different levels of law enforcement; and
- Communications systems that provide connectivity to law enforcement officers working in remote locations.

These technologies and systems will help ensure efficient use of border security assets and effectively give law enforcement officers access to robust and reliable information when they need it. The following projects are within the Border Technologies program:

Border Detection Grid Project – Provides a grid of advanced sensors and detection, classification, and localization technologies to detect and classify cross-border movement (e.g., friendly forces, animals, weather, or illegal activity). This technology will revolutionize border control by providing a way for a single Border Patrol officer to effectively monitor more than 10 miles of border. In FY 2008, the project conducted an integrated concept test along the southern border, and developed and designed an implementation plan for unattended ground sensors (UGS). In FY 2009, the project plans to pilot a tripwire capability that can locate activity anywhere along many miles of the border. FY 2009 plans also include finalizing all project-related activities and starting planned FY 2010 transitions of select technology to the operational end-user.

BorderNet Project – Develops a wireless data network that will connect law enforcement officers in the field to real-time, tactical, scene-awareness information, including geographic features, sensor data, and agent location data; as well as provide access to law enforcement databases. In FY 2008, the project installed a Northern Border testbed demonstration in a northeast Border Patrol sector that will provide technology insertion and lessons learned to the Secure Border Initiative Network (SBI*net*), and deployed a 10-fingerprint mobile capability for enrolling detainees into immigration databases. In FY 2009, the project plans to transition select technologies to the operational end-user. The Division requests no project funding for FY 2010.

BorderTech Project – Develops, demonstrates, and tests unproven technologies to reduce risk for the SBI Network (SBI*net*). The division will initiate this project in FY 2009 to develop, integrate, and test sensor technologies in an operational environment to provide in-the-field capabilities, improving mission effectiveness and agent safety. This project will include:

- North East Testbed (NET-B) – provides a test platform for evaluating technologies in an operational environment, enabling acquisition decisions, agent training and tactics development;
- Unattended Ground Sensors (UGS) Testbed – provides NET-B advanced technology to enable test and evaluation of new UGS units as well as new system capabilities;
- Camera Evaluation – assesses the performance characteristics of a variety of imaging systems in their ability to detect and classify contacts at ranges, analyze life-cycle costs, and make recommendations;
- Advanced Sensor Technologies – investigates technologies and methods for improving operational performance of unattended ground sensors, tunnel activity sensors, electro-optical/infrared (EO/IR) devices and associated sensor signal processing; and
- Advanced Ground Surveillance Radar – assesses active and passive technologies and develops/ demonstrates a system for detecting and tracking humans.
- Renewable Energy Basic Research - assesses energy scavenging, power sources and management for remote areas or areas with minimal infrastructure (remote islands, inland waterways).

In FY 2009, the project will install and prove-out the baseline capabilities of the North East Test Bed (NET-B); initiate engineering and systems testing for camera evaluation for all border environments; perform proof-of-concept tests on tunnel activity technology; conduct study on renewable energy sources for sensors; and complete systems testing of the UGS testbed on the southern border. In FY 2010, the project plans to begin developing Advanced Sensor Technologies; conduct source-selection for advanced ground surveillance radar; conduct operational evaluation of land-border tripwires; and perform imaging systems technology assessment for cameras.

Sensors/Data Fusion and Decision-Aids Project – Develops systems to enable law enforcement officers and commanders to have full situational awareness, enabling effective decision making and execution in complex and dynamic operational environments. Current operations rely mostly on verbal coordination for real-time operational knowledge and situational awareness. This project will:

- Provide the capability to fuse tactical information from multiple data sources such as sensors and databases (both law enforcement and commercial databases);
- Provide real-time situational awareness;
- Eliminate scene clutter;
- Automatically identify and track high-risk targets (e.g., people, vehicles, and vessels);
- Provide decision aids;
- Facilitate multi-agency coordination for rapid response; and
- Enable Unmanned Aerial Systems (UAS) to sense other air traffic and maneuver as needed to avoid a mid air collision.

In FY 2008, the project developed Automated Scene Understanding (ASU) and visualization tools for maritime and inland waterways, and completed the prototype demonstration and operational assessment of Visualization Tools. In FY 2009, the project will install an updated sensor/data fusion capability for land Border applications, install advanced fusion technologies into a Port Security Testbed, and assess the performance of current national system capabilities to assist operational components in the interdiction of self-propelled semi-submersibles. In FY 2009/2010, the project plans to deliver modeling and simulation results that incorporate parameters from the current DHS UAS. In FY 2010, the project plans to demonstrate and transition initial ASU maritime capabilities to CBP & USCG.

SBI Systems Engineering and Modeling & Simulation Project – Helps border enforcement agencies make informed decisions in immigration/border security policy and operations using systems engineering tools and models. It provides systems engineering, analysis, and trade-off studies to SBI. In FY 2008, the project developed an immigration model that supports immigration reform decision making and performed the model verification and validation requirements. In FY 2009, the project will start to transition an immigration model and transportation of people model to operational components, completing the transition in FY 2010. The Division requests no project funding for FY 2010.

SBI Systems of Systems Engineering (SoSE) Capability Development Project – Assesses multiple, disparate factors affecting leadership decision making that could enhance SBI decision-making capabilities. In FY 2008, the project conducted research to understand how to extend SBI capabilities to deal with multivariate complex situations. In FY 2009, the project plans to continue research and begin developing a conceptual design to effectively deal with complex problem domains. In FY 2010, the project plans to include ICE and Citizenship and Immigration Services (CIS) studies and analysis on immigration issues.

Urban Tunnel Detection Basic Research – Investigates the geophysical characteristics of urban border regions including the uniqueness of all types of tunnels and underground voids as well as the overall detection effectiveness of each. Detection of tunnels requires a combination of both direct and indirect methods to determine the shape, size, and position of the tunnel. This basic research will identify the best methods for tunnel detection success. In FY 2010, the project plans to research and distinguish the geology of the different key urban border regions and will identify technologies and methods with the greatest potential for detecting tunnels.

Maritime Technologies Program – FY 2009: \$2.750 million; FY 2010 estimate: \$ 5.000 million. Develops technological solutions to a wide range of capability gaps identified during the Capstone IPT process. USCG, CBP, TSA, and ICE identified the majority of the capability gaps. The program's objectives are to develop:

- Advanced detection, identification, apprehension and enforcement capabilities along the maritime borders; and
- Technologies that support a framework for rapid, coordinated responses to maritime anomalies and threats.

This investment will provide significant risk mitigation and complement proposed major acquisition efforts, such as the USCG's Interagency Operation Centers and CBP's SBInet. These technologies and systems will ensure efficient and effective use of border security assets

and provide law enforcement access to robust and reliable information when they need it. The Maritime Technologies program includes the following projects: Sensors and Surveillance, and Situational Awareness and Information Management.

Sensors and Surveillance Project – Develops and demonstrates visual and non-visual technologies for monitoring the maritime border. Visual technologies provide capabilities that help agents identify illegal activities. Non-visual technologies provide low-cost, long-endurance monitoring to detect and track objects not captured by cameras. The project includes the following technologies:

- Affordable Wide-Area Surveillance (WAS) Capability – demonstrates persistent WAS commercial off-the-shelf/government off-the-shelf (COTS/GOTS) technologies to explore Concept of Operations (CONOPS) and data integration issues associated with the detection, tracking and classification of vessel traffic 12-120 nautical miles (nm) offshore;
- Advanced Geospatial Intelligence (AGI) Technical Exploitation – demonstrates data processing and exploitation to provide wide-area surveillance of the offshore maritime environment;
- Port and Coastal Radar Improvement – tests and evaluates the performance of a COTS radar using advanced signal processing to detect, track and identify large and small vessels from 0-12 nm in Port and Coastal regions under a variety of operational and environmental conditions;
- Small Boat Harbor Surveillance Study/Pilot – develops and tests near-term technologies for tracking small boats in port environments and demonstrates the improved situational awareness through an operational test/pilot program;
- Inland Waterway Maritime Security System (IWMSS) – develops and delivers technologies that improve maritime security on inland waterways by providing advanced law enforcement capabilities

In FY 2009, the project plans to perform a market survey for potential technologies and produce technology development and demonstration plans for providing better security for inland waterways and improved, more persistent maritime surveillance in ports, harbors and offshore (12 -120 nm). The project plans to test and evaluate a potential radar solution for the USCG's Interagency Operations Center acquisition program. The project also plans to investigate current and emerging AGI technologies for detecting small boats. In FY 2010, the project plans to conduct technology development and demonstrations of promising technologies for the IWMSS effort, demonstrate affordable WAS capability, and conduct a small boat harbor surveillance technology assessment.

Situational Awareness and Information Management Project – Provides information management technology to quickly identify threats at the maritime border and to provide required information to decision makers and security forces. In FY 2009, the project will complete an initial assessment of a prototype line-of-sight boarding team communication capability, complete an initial assessment of a team-to-command center, Over-The-Horizon (OTH) gateway communication, and perform a study of feasible solutions that can covertly track illegal contraband to their final destination. In FY 2010, the project plans to transition the OTH

prototype for boarding team communications, and an initial Advanced Automated Scene Understanding maritime capability to CBP and USCG.

Border Officer Tools and Safety Program – FY 2009: \$3.851 million; FY 2010 estimate: \$5.350 million. Provides tools and technologies to border-security, law-enforcement officers to improve effectiveness and safety when conducting vehicle and vessel inspections. The division will leverage technologies from other Departments, when possible, that could be adapted for CBP, ICE, and USCG.

Border Officer Tools Project – Improves law enforcement agents' effectiveness and enhances officer/agent safety while searching vessels/vehicles. Many of these tools will leverage technology currently being developed by DHS or Department of Defense (DOD) for other purposes. These tools will provide:

- Secure communications (e.g., voice and data) between field operators, and between field operators and their command centers;
- Intrusive (i.e., requires contact) as well as non-intrusive, non-destructive technologies to aid in the identification of contraband; and
- resolution versus bandwidth solutions for 24-hour, Real-Time Image Transmission of high-definition images and documents.

In FY 2009, the project will conduct a technology survey to identify efficient solutions for the Real-Time Image capability. In FY 2009/2010, the project plans to develop a CONOPS, and evaluate current devices for a man-portable chemical, biological, and explosives detector. In FY 2010, the project plans to demonstrate a real-time image transmission capability.

Border Officer Safety Project – Integrates technologies that will enable border-security, law-enforcement agents to more safely perform their mission. These technologies include, but are not limited to:

- Enhanced Ballistic Protection – delivers lighter weight, more durable and higher strength materials and equipment to increase the level of a field agent's ballistic protection while reducing his equipment load;
- Automatic Facial Recognition – captures images of individuals and compares them to law enforcement databases;
- Hidden Compartment Inspection Device – allows agents to non-intrusively detect, from greater stand-off ranges, people and contraband hidden behind walls and other barriers;
- Pursuit Termination-Vehicle/Vessel Stopping – provides user-safe, non-lethal means of stopping uncooperative vehicles and vessels attempting to evade apprehension;
- Covert Officer Safety Transmission System – allows for undercover agents to transmit own location and capture audio/images of interest;
- Gunfire Location – identifies the location of gunfire, classifies the type of weapon, alerts targeted enforcement of incoming gunfire, and creates forensic data; and
- Less-Lethal Compliance Measure for Personnel – provides lighter-weight, more energy efficient, more robust, hand-held less-lethal devices that safely neutralize and assure compliance of uncooperative individuals.

In FY 2009, the project will determine ballistic vest performance requirements for border security use; investigate facial recognition requirements and solutions, determine gunfire location requirements for law enforcement officers; determine less-lethal vehicle/vessel stopping requirements, and complete an assessment of a hidden compartment inspection device. In FY 2010, the project plans to complete the ballistics protection prototype demonstration; complete the gunfire location specification and transition to customers; upgrade hidden compartment inspection device design for vessels and vehicles; investigate electromagnetic pulse approaches for stopping vehicles and vessels; demonstrate the covert officer safety transmission system prototype; and conduct market survey to identify potential solutions for less lethal compliance measures.

Cargo Security Thrust Area – Develops technologies to ensure the integrity of cargo shipments, including sea, air, and land conveyance, and enhances the end-to-end security of the supply chain – from the manufacturer of goods to final delivery. This work will reduce the risk of terrorist manipulating cargo as it conveys across various transit modes in the international supply chain.

These technologies include:

- Container Security Devices
- Composite Containers with embedded security devices
- Devices that communicate Cargo Status and Security Alert Information
- Secure packaging for air cargo
- Improved Non-Intrusive Inspection Technology
- Improved targeting technology

Cargo and Conveyance Security Program – FY 2009: \$15.825 million; FY 2010 estimate: \$15.627 million. Improves supply chain security to protect the Nation’s borders and cargo – reducing illegal immigration and preventing the transport of illegal drugs, contraband, and weapons of mass destruction into the United States. The program develops advanced systems and communication technologies within the architecture that encompasses the world’s supply chain. Some technologies developed in this program will enable Government officials to identify and locate tampering events, track shipping containers, and ensure that alarm data is communicated reliably and securely. Other technologies include containers of composite materials to improve scanning and thwart undetected entry; tamper-evident packaging materials such as cartons and wrap; targeting systems using advanced software and algorithms to identify high-risk cargo and shipments; next-generation non-intrusive inspection systems incorporating radiography, material discrimination, and operator aids and tools such as automatic target recognition. The program carries out its activities through the following projects:

Advanced Container Security Device (ACSD) Project – Develops an advanced sensor system for monitoring containers’ integrity from the point-of-consolidation to the point-of-deconsolidation in the maritime supply chain. The ACSD is a small unit that attaches to the inside of a container to monitor all six sides and report any intrusion or door opening or the presence of human cargo. If ACSD detects an intrusion, breach, door opening, or human, it transmits alarm information through the Marine Asset Tag Tracking System (MATTS) to CBP. The ACSD will also build in

a standard plug-and-play interface so that other security or commercial sensors (e.g., radiological/nuclear, chemical/biological) can be easily integrated through the standard interface. In FY 2008, the project delivered 40 prototype systems. In FY 2009, the project will test and evaluate these prototype systems in operational settings. In FY 2010, the project plans to remedy shortfalls discovered during prototype testing and integrate system improvements.

Container Security Device (CSD) Project – Develops a security device with sensor(s) that can detect the opening of container doors from the point-of-consolidation to the point-of-deconsolidation in the maritime supply chain. The CSD will provide an interim capability to monitor the status of container doors until the ACSD is available. The CSD is a small, low-cost device mounted on or within a container that detects the opening or removal of container doors and reports its status to CBP. In FY 2008, the project delivered, tested, and evaluated 20 CSD prototypes. In FY 2009, the project will operationally test the CSDs. In FY 2010, the project plans to remedy shortfalls discovered during prototype testing, integrate system improvements, and deliver improved prototypes for future field-testing. The project will also transition the CSD test and evaluation assessments and finalized specifications to CBP and DHS Policy.

Marine Asset Tag Tracking System (MATTS) Project – Establishes a remote, global communications and tracking network that works with ACSD from the point-of-consolidation to the point-of-deconsolidation in the maritime supply chain. MATTS communicates security alert information globally through the use of radio frequency (RF), cellular and satellite technology. In addition, the commercial shipping industry can track and monitor cargo as it moves through the supply chain. In FY 2008, the program integrated MATTS into ACSD, and initiated test and evaluation of the MATTS-Lock (M-Lock) configuration of the MATTS tag (a chain of custody tool incorporating a MATTS tag into a lock enclosure). In FY 2009, the project plans to conduct worldwide cellular interoperability tests, and demonstrate chain-of-custody tracking using M-Lock. In FY 2010, the project plans to test Local Area Network (LAN) communications, meshing reliability in stacked environments and satellite communications, and produce a MATTS technical requirements document and transition the MATTS technology.

Hybrid Composite Container Project – Develops a next-generation International Standards Organization (ISO) composite shipping container with embedded security sensors to detect intrusions from the point-of-consolidation to the point-of-deconsolidation in the maritime supply chain. Composites are stronger than steel, 10-15% lighter than current shipping containers, and are easier to repair (which decreases life-cycle costs). Weight savings can benefit shippers by allowing them to load more goods per container within weight limits. In FY 2008/ 2009, the project plans to build one full-size ISO compliant composite container prototype and initiate a design review. In FY 2010, the project plans to test and evaluate the manufactured prototype and conduct structural ISO testing.

Air Cargo Composite Container Project – Expands upon the composite material developed in the Composite Container project to determine whether it is effective in the air-cargo supply chain. The air cargo composite container must be comparable to existing aluminum containers and be interoperable with existing aircraft loading infrastructure. In FY 2008, the S&T Directorate initiated design feasibility and evaluation of this effort. In FY 2009, the project will conduct requirements analysis for expansion of the Hybrid Composite Container effort for Air

Cargo Composite Containers. In FY 2010, the project plans to conduct requirements and critical design reviews with the air cargo community; complete security sensor system development; complete structural system design and weight optimization. The project plans to field test, demonstrate an air cargo composite container; and deliver final performance requirements to CBP and TSA in FY 2010.

Secure Carton Project – Develops technology to detect any shipping carton tamper event and transmit an alert to authorities after it leaves the point-of-manufacture to the point that it is delivered in the supply chains. This project provides improved supply chain visibility, chain of custody, and security. It is scalable and applicable across the various shipping modalities including trucking, rail, maritime and air cargo. In FY 2008, the project delivered and started testing prototype systems. In FY 2009, the project will conduct prototype field experiments and perform testing in an air cargo environment. In FY 2010, the project plans to address any system deficiencies noted during testing along with improvements suggested during field-testing.

Secure Wrap Project – Provides a transparent, flexible, and tamper-indicative wrapping material to secure and monitor palletized cargo after it leaves the point-of-manufacture to the point-of-delivery in the land, maritime and air-cargo supply chains. The wrap will provide a visible and/or fluorescent tamper indication and is deployable with little or no impact to current supply chain logistics and processes. Subsequent iterations of this wrap will support increasing levels of automated monitoring, thereby reducing manpower required to ensure cargo integrity. In FY 2009, the project will further develop the Small Business Innovative Research (SBIR) initiative to complete the feasibility study and prototype design. In FY 2010, the project plans to deliver prototype systems for operational testing in the supply chain.

Supply Chain Security Architecture (SCSA) Project – Maps the international supply chain including: all nodes (e.g., point-of-stuffing, port-of-entry), participants (e.g., shippers, CBP, foreign Customs), and information flow (e.g., container manifests). This security architecture will provide DHS the framework to incorporate near-term and future container-security technologies into supply chain operations. In FY 2008, the project completed the maritime environment architecture. Also in FY 2008, the project defined requirements and architecture for the air cargo domain. In FY 2009, the project will complete the architecture, validate the architecture through testing of supply chain security technologies under development (e.g. Secure Carton), and transition the final performance requirements to TSA.

Advanced Screening & Targeting (ASAT) Project – Provides enhanced risk assessment through development of computer algorithms and software that will provide next-generation risk assessment and targeting tools to complement the CBP Automated Targeting System (ATS). In FY 2008, the program delivered Phase 1 (ASAT I) to CBP to provide automated anomaly detection and pattern discovery algorithms to target high-risk cargo. For ASAT II, starting in FY 2009, the program will further advance computer algorithms and software that will automatically collect data from a broad spectrum of sources, combine and analyze shipping information to find suspicious relationships and patterns. Starting in FY 2010, the project plans to perform an evaluation of pattern analysis tools, develop advanced algorithms, and initiate software Beta testing.

CanScan Project – Develops a next-generation non-intrusive inspection (NII) system that will be used to detect terrorist materials, contraband items (e.g., drugs, money, illegal firearms), and stowaways at border crossings, maritime ports, and airports. These new systems may provide increases in penetration, resolution, and throughput and will support marine containerized cargo as well as airborne break-bulk, palletized, and containerized cargo. CanScan will provide improved cargo screening. In FY 2009, the project will perform requirements analysis, and initiate concept studies and analysis of alternatives. In FY 2010, the project plans to initiate concept selection and system design. Beginning in FY 2010, the program plans to assess the Automatic Target Recognition (ATR) for potential integration into the CanScan system.

Automatic Target Recognition (ATR) Project – Develops an automated imagery detection capability for anomalous content (e.g., persons, hidden compartments, contraband) for maritime, land, and air cargo for existing and future Non-Intrusive Inspection (NII) systems. This ATR capability is broadly applicable to the scanning and imaging systems used by CBP and TSA, providing an operator-assisted decision aid for target discrimination within low-resolution images. Further, the ATR will be scalable to accommodate advanced NII systems with higher resolution imagery and material discrimination capability. In FY 2010, the project plans to develop and finalize requirements, conduct business planning, and perform concept studies and analysis of alternatives.

PPA: CHEMICAL AND BIOLOGICAL

	Perm Pos	FTE	Amount
2008 Actual			\$260,273
2009 Enacted			200,408
2010 Adjustments-to-Base			1,392
2010 Current Services			201,800
2010 Program Change			5,000
2010 Request			206,800
Total Change 2009-2010			6,392

The Science and Technology (S&T) Directorate requests \$206.800 million for the Chemical and Biological Division, of this amount \$5.170 million supports the SBIR Program. The increase in FY 2010 includes \$1.392 million to maintain current services to increase preparedness against chemical and biological threats and \$5.000 million to meet a high priority capability gap identified in the Chemical and Biological IPT to identify key areas for improvement in laboratory analytical methods for high-throughput and on site analysis of suspect food products.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Chemical and Biological Division increases the Nation’s preparedness against chemical and biological threats through improved threat awareness, advanced surveillance and detection, and protective countermeasures. The division carries out its activities through three thrust areas: Biological Countermeasures, Agriculture, and Chemical Countermeasures.

Biological Countermeasures Thrust Area – Provides the understanding, technologies, and systems needed to protect against possible biological attacks on the Nation’s population or infrastructure. The thrust area focuses on those biological attacks that have the greatest potential for catastrophic damage. These include – but are not limited to – aerosolized anthrax and smallpox. Where appropriate, the program incorporates biodefense as part of an integrated chemical, biological, radiological, nuclear, and explosive (CBRNE) defense across civil and military agencies. This thrust area supports the President’s *Biodefense Strategy for the 21st Century*, Homeland Security Presidential Directive (HSPD-10), which provides a comprehensive framework for our Nation’s biodefense. This thrust area carries out its activities through six main programs:

- Systems Studies and Decision Support Tools;
- Threat Awareness;
- Surveillance and Detection Research and Development;
- Surveillance and Detection Operations;
- Forensics; and
- Response and Restoration.

Systems Studies and Decision Tools Program – FY 2009: \$9.001 million; FY 2010 estimate: \$7.306 million. Conducts system studies and net assessments to identify and assess effective

measures for deterrence, detection, and mitigation of biological terrorism acts against the U.S. population and infrastructure. This provides the analysis and tools that help refine requirements for program execution within the Chemical and Biological Division. A portion of this work supports system design and systems tradeoffs for future systems. In addition, Federal, State, and local emergency responders are intended users of tools developed in this thrust area.

Biodefense Net Assessments Project – Conducts net assessments of this Nation’s overall biodefense strategy every four years, as required by HSPD-10, *Biodefense for the 21st Century*, to provide “recommendations for re-balancing and refining investments among the pillars of our overall biodefense policy.” In 2008, the project delivered the first of these Biodefense Net Assessments (BNAs) to the Homeland Security Council (HSC). The BNAs addressed ten fundamental questions related to the strategy contained in HSPD-10. In FY 2009, the project will initiate the second round of BNAs. These BNAs will take a longer-range strategic perspective that focuses on our existing and potential adversaries’ competitive strengths, tipping points and probable responses to our actions. In FY 2010, the project plans to continue with in-depth analysis of the questions posed by the second round of BNAs.

Decision Support Tools Project – Develops fully integrated operational tools for surveillance, detection, incident characterization, and response systems, including improved models of transportation systems and their associated response options and concepts of operations (CONOPS) for chemical and biological attacks. These tools provide architecture design and operational response capability for detection, incident characterization, response, and training simulations. Starting in FY 2009, the project will transition tools and data to the Department of Homeland Security (DHS) Interagency Modeling and Atmospheric Assessment Center (IMAAC) to provide real-time, high-resolution meteorological data feeds from existing National Oceanic and Atmospheric Administration (NOAA) radars deployed across the Nation to enhance IMAAC’s current hazard prediction capabilities. The project plans to extend its Washington DC subway system tracer studies, to New York City or Boston to further support subway model validation and support architecture analysis for detection, incident characterization, and response systems for the transit sector. The project plans to use real-world data gathered from these tracer releases to support the validation of subway models currently used in both the systems studies project and deployed in operational systems. The project will also develop an algorithm for IMAAC and the Transportation Security Administration (TSA) to understand transport of dense gases better. In FY 2010, the project plans to initiate the integration of CB transport and health effects modules into Secret Service training tools to support their operational training needs.

System Studies Project – Performs studies that use reference scenarios to assess the capability of the Nation’s current biodefense posture, identify critical gaps, and perform cost-benefit tradeoffs of different options for addressing those gaps. The Office of Health Affairs (OHA) uses the results of system studies to help coordinate DHS-led biodefense for the Nation, such as operation of the third-generation (Gen 3) BioWatch system. In FY 2008, the project transitioned the final Gen 3 BioWatch system architecture design and deployment strategy to OHA, which operates the BioWatch system. The project developed a Biological Autonomous Network Detector (BAND) validation test plan to support current BAND extended field tests. The project also performed an architecture analysis for defending against five antibiotic-resistant biological threats. In FY 2009, the project will shift its focus from detect-to-warn systems to detect-to-

protect systems supporting indoor facility/critical infrastructure protective architectures, and their CONOPS. In FY 2010, the project plans to perform a preliminary architecture analysis of food and agriculture systems for defending against biological threats. This analysis will lay the foundation for prioritizing future studies in this sector.

Threat Awareness Program – FY 2009: \$39.860 million; FY 2010 estimate: \$40.062 million
Characterizes threats posed by biological weapons, anticipates future threats, and conducts comprehensive threat and risk assessments to guide prioritization of the Nation's biodefense investments. The *Project BioShield Act of 2004* launched an effort to develop modern, effective medical countermeasures to protect Americans against attack by chemical, biological, radiological, or nuclear weapons. It assigned DHS the lead in conducting threat analyses to determine what constitutes a significant material threat to public health and national security. The primary deliverable is an intelligence-informed, scientific characterization and prioritization of bio-terrorist risks to the Nation. OHA, the HSC, and other agencies such as the Department of Health and Human Services (HHS), Environmental Protection Agency (EPA), U.S. Department of Agriculture (USDA), and the Intelligence community use this deliverable to support their efforts in enhancing the Nation's biodefense. The Threat Awareness Program carries out these activities through two main project areas: the Biological Threat Characterization Center (BTCC) and the Biodefense Knowledge Center (BKC).

Biological Threat Characterization Center (BTCC) – Conducts two major activities: (1) biennial, systematic end-to-end risk assessments on both traditional and advanced biological agents, known as Bioterrorism Risk Assessments (BTRAs); and (2) laboratory studies to close major scientific gaps that could significantly impact how the nation structures its defenses.

The biennial Bioterrorism Risk Assessments (BTRAs), required under HSPD-10, drives the focus of the analytical studies. The BTRA provides the basis for risk-informed investments for National strategic biodefense planning while identifying key knowledge gaps and defining critical vulnerabilities. Through thorough analyses, the BTRAs assess the likelihood and consequence of biological attacks. The process focuses on the acquisition and production of an agent, its dissemination in a broad range of scenarios, and the human health and economic impacts of those attacks. The resulting information is used to prioritize the risks posed by various agents, to identify vulnerabilities, and to identify associated major scientific knowledge gaps.

In FY 2008, the BTCC delivered the second BTRA report and an associated risk assessment tool to HSC. In comparison to the initial 2006 BTRA, this BTRA expands the agents of concern in the risk assessment to include enhanced biological threat agents and agricultural threats while also providing an assessment of the associated economic and public health consequences. The utility and success of the BTRAs conducted to fulfill HSPD-10 requirements has led to an HSPD-18, *Medical Countermeasures Against Weapons of Mass Destruction*, requirement for a biennial integrated risk assessment that encompasses chemical, biological, radiological and nuclear (CBRN) threats. In FY 2008, the S&T Directorate delivered the first such integrated CBRN risk assessment (iCBRN RA) to the HSC, and will update the assessment every two years thereafter. In FY 2009, the project will focus activities on the BTRA and the iCBRN Risk Assessments due in 2010 – including improved assessment of the intelligent adversary,

simplified modeling tools that allow a greater range of ‘what if’ exercises, and inclusion of economic affects for all the threats. In FY 2010, the project plans to deliver the third BTRA and the second iCBRN RA reports and tools, expanded to include enhanced and advanced agents and a prototype desktop tool.

The BTCC also conducts laboratory studies that help to answer key knowledge gaps identified in the BTRAs and reduce associated uncertainties with biological agents of interest. In FY 2008, the BTCC conducted laboratory studies that close key knowledge gaps for traditional agents (i.e., agent infectious doses and survivability in various environmental matrices). In FY 2009, the BTCC will close the remaining gaps on most of the classical, known agents. In FY 2010, BTCC plans to address future threats. The project also plans to perform laboratory studies to determine an approach for defending against enhanced/advanced threats and develop an approach for defending against engineered threats.

Biodefense Knowledge Center (BKC) – Provides multiple levels of analysis about biological threats to DHS and other Federal agencies – including 24/7 science and technology reach back for the DHS National Operations Center (NOC) and other stakeholders, as well as tailored assessments and in-depth analyses of biodefense issues and biotechnologies. For example, Awareness Bulletins provide information to analysts and decision makers about technologies that can be used for peaceful or, with a little alteration, nefarious ends. Population Threat Assessments (PTAs) provide an estimate of the number of people exposed to different dose levels of an agent in a plausible high consequence scenario, and are used by HHS to inform its health effects modeling in support of defining requirements for new medical countermeasures. The BKC also develops and supports knowledge discovery tools for data integration, analysis, and understanding, as well as software pilots for DHS customers to rapidly characterize and understand biological threats. In FY 2008, the BKC piloted the web-based Biodefense Knowledge Management System (BKMS), allowing users easier access to data sources and integrated data analysis capabilities. Customers of the BKMS include OHA, I&A, and Customs Border Protection (CBP). In FY 2009, the BKC will perform PTAs for new material threats identified in the FY 2008 BTRA and iCBRN Risk Assessment, and provide an improved BKMS with additional curated data sources and enhanced analysis capabilities. In FY 2010, the BKC plans to enable BKMS to search online for research and technology developments in synthetic genomics.

Food Defense Basic Research – Performs fundamental basic research through the National Center for Food Protection and Defense (NCFPD) that addresses agent/matrix interactions and the resulting implications for contaminant viability, detection, decontamination, and disposal. In FY 2009, the project will enhance fundamental knowledge of select agent interaction in complex food matrices and expand capabilities in the areas of rapid detection and characterization. In FY 2010, the project plans to explore and develop new concepts and approaches to prevent, respond to, or recover from the intentional contamination or disruption of the Nation’s complex food system.

Surveillance and Detection R&D Program – FY 2009: \$35.099 million; FY 2010 estimate: \$41.404 million. Develops next-generation detectors for biological threat agents, including fully autonomous detection capabilities for the third generation (Gen 3) BioWatch system. These

detectors will operate with lower costs and faster detection times – thus significantly increasing the protected portion of the U.S. population. In addition, this program works to develop the assays (i.e., signatures or fingerprints of biological agents) needed to enable detectors to accurately recognize a biological agent. This project is also developing detect-to-protect systems specifically for use indoors.

BioWatch Generation 3 (Gen 3) Detection System Project – Develops the Gen 3 BioWatch detection system, including development of: (1) the Bio-Agent Autonomous Networked Detector (BAND), an automated, fully integrated “lab-in-a-box” that is capable of aerosol collection, molecular analysis, identification, and reporting of results with networking capability for real-time control of the entire sensor network; and (2) Deployable Aerosol Collection Systems (DACS), remotely programmable, automated samplers that can preserve viable samples for one to three days. The automated detection capabilities provided by BAND and DACS will significantly reduce BioWatch operational costs, thereby allowing expanded and more frequent monitoring of the U.S. population. In FY 2008, the project initiated the commercialization phase of Gen 3 BioWatch detection systems. The S&T Directorate requested no funding for BAND beyond FY 2008; however, in FY 2009 the project will be prepared to transition the detection system and initial assays to OHA for the operational test and evaluation of Gen 3 BioWatch.

Bioassay - Near Term Project – Develops assays (fingerprint signatures of biological agents) employed within detectors to recognize biological agents, and provides bioinformatics resources and nucleic-acid signatures for use on commercial instruments. This effort develops bioassays for use in U.S. Government-deployed systems to provide an extremely high confidence that the detection warrants further action and investigation. These government-specific operational assays will allow Generation 2 and Generation 3 BioWatch to detect the top-twenty aerosolized biological threats identified in the 2008 BTRA. This project is also establishing a mechanism to independently evaluate and validate assays for first-responders and the private sector. In FY 2008, the project developed and transitioned assays to detect 10 biological threat agents and began the pilot evaluation of the Public Safety Actionable Assay (PSAA) process. The PSAA process should qualify biological identification systems that an array of government and responder entities may use. In FY 2009, the project will transition characterized assays to OHA through CDC for use and support of the BioWatch laboratory network. In FY 2010, the project plans to transition the PSAA process to establish initial operational capability. In FY 2010, the project also plans to transition additional Gen 3 BioWatch characterized assays to OHA through CDC to support Gen 3 BioWatch assays.

BioAssays – Next Generation Project – Develops new approaches for detecting the broad range of possible future threats. The current strategy is to use basic biological building blocks – the subsystems that enable an agent to infect a person, to grow, and to multiply – as a way to identify future threats. This project is identifying fundamental building blocks, such as infectivity, virulence, and antibiotic resistance-mechanisms, and developing appropriate assays for them. The S&T Directorate will use these new assays and their associated detection platforms to create novel sensing technologies consistent with the national architecture. In FY 2008, the project began laboratory studies to provide an initial proof-of-concept for novel sensing technologies. The project also developed performance requirements, based on the performance characteristics of current operational systems and input from DHS customers, and identified a number of

possible approaches for meeting those requirements. Because this is a difficult problem, the S&T Directorate must conduct research on a number of these approaches before determining which is the most likely to succeed. In FY 2009, this project will initiate multiple research efforts aimed at identifying the most promising approach for detecting a broad range of possible future threats. In FY 2010, this project plans to identify assays for use in conjunction with the concepts being developed by the Next Generation Biological Detection project.

Detect to Protect (DtP): Remote Sensors and Triggers and Confirmers Projects – Develops low-cost, bio-aerosol sensors and triggers to detect biological agents within one minute (acting as reliable ‘bio smoke alarms’) for protection of high-value facilities and their occupants. This project will provide commercially available detection systems that could enable transportation, entertainment, and other high-value facilities to monitor for airborne hazards and take low-regret precautions (e.g., turning off ventilation systems) to protect people by preventing mass exposure. In FY 2008, the project developed prototypes suitable for extended field-testing, with plans to subsequently transition the systems to the private sector through product commercialization. There is no funding requested for this project beyond FY 2008; however, in FY 2009, project will complete the final round of prototype evaluations in operational environments.

National BioSurveillance Integration System (NBIS) Project – Provides decision makers early identification of biological events of national significance, such as disease outbreaks, the potential use of biological agents, and emerging biohazards. The S&T Directorate supports OHA’s operation of NBIS by providing subject matter expertise and developing modeling tools. NBIS acquires, integrates, analyzes, and disseminates information from existing human disease, food, agriculture, water, meteorological, and environmental surveillance systems and relevant threat and intelligence information. NBIS is currently developing a robust, domestic system that will assist with biosurveillance and provide a core, permanent, open-source biosurveillance capability. This project significantly improves information sharing and situational awareness for decision-makers and provides a common operating picture for all participating agencies to enable timely response to biological events. In FY 2008 through FY 2010, the S&T Directorate will provide subject matter expert (SME) support for bioinformatics, information technology systems, and NBIS operations. In FY 2009, the project will support model development to provide additional operating capability to the development and deployment of the Biosurveillance Common Operating Picture (BCOP) and to continue to provide subject-matter-expert support in bioinformatics and information technology systems. In FY 2010, the project plans to continue model development and platform enhancements to support an operational NBIS capability.

Next Gen Biological Detection Project – Starting in FY 2009, this project will develop technologies and systems to detect enhanced, emerging, and advanced biological threats. The project will explore universal detection technologies that do not require prior knowledge of the biological threat target, working to develop an automated, fully integrated, end-to-end (collection, identification, and reporting) system. This system will indicate the presence of a novel agent, provide rough quantification of the amount of that agent, and preserve samples for further analysis. This project will both draw on and inform the BioAssay – Next Generation project described above. The S&T Directorate will initiate the Next Generation Detection project in FY 2009 with the solicitation of fundamental research in support of technology concepts, selection of performers, and initiation of laboratory studies to demonstrate technical

feasibility. In FY 2010, the project plans to support the technology feasibility demonstration of chosen concepts.

Portable Bio Detector Project – Starting in FY 2009, this project will develop a hand-held biological detector/identifier in a spiral development process, beginning with a target to classify unknown samples as potential biological threats and culminating in approaches that identify (at species level) across an array of known agents. Target users are customs/border agents and responders. In FY 2009, the project will deliver several trade studies to assess the requirements to fully understand the required capabilities. In addition, based on the trade studies, a technology assessment will explore current technology and determine the best path forward. In FY 2010, the project plans to identify technology solutions for the rapid, on-site discrimination of potential biological agents and initiate development of concepts of operation for these technologies in target application environments.

Viable Bioparticle Capture Project – Develops an automated sampler compatible with laboratory analysis, sealed for safe handling of potential positives, providing preservation of sample viability for one to three days. The final system will augment BioWatch information by characterizing the viability of a threat during an attack and enable more definitive post-event characterization of bioterrorist events. Starting in FY 2009, the project will solicit technology concepts and select performers. In FY 2010, the project plans to identify concepts for improvements to deployed aerosol collection systems.

Multi-Application Multi-Plex Technology Platform – Develops a single technology platform in which assay cartridges may be changed based upon facility/agency specific needs. The project will ensure that different assay cartridges are validated for use by specific agencies. Assay cartridges can be immediately shipped to supporting agencies that have the same platform in order to provide surge capacity support for event mitigation. This technology will test for traditional agents, enhanced agents, emerging agents and advanced agents with the ability to perform up to 100 tests or detect 100 targets simultaneously within a single sample. The project started in FY 2009 and plans to conduct a technology feasibility demonstration in FY 2010.

Rapid Test Methods for High Volume Analysis project - Identifies key areas for improvement in laboratory analytical methods for high-throughput and on-site analysis of suspect food products. The overall project will target contamination concerns, including chemical, biological, and radiological contaminants that pose high risk to the American public or economy by undermining the safety of the agriculture/food infrastructure and supply. Investment in this area will enable more rapid detection of food contamination; provide prompt assessment of the scope of risk presented during a food contamination incident; support enhanced ability for epidemiological trace-back investigations, and will ultimately minimize the impact of food contamination events to both public safety and the economy. In FY 2010, the project plans to develop a systems study report identifying highest leverage investments.

Forensics Program – FY 2009: \$28.370 million; FY 2010 estimate: \$28.348 million. Operates the National BioForensics and Analysis Center (NBFAC) and conducts bioforensics research in support of criminal investigative cases, with the ultimate goal of attribution, apprehension, and prosecution of the perpetrator to fulfill the mission established by Homeland Security

Presidential Directive (HSPD) – 10, *Biodefense for the 21st Century*. These activities provide facilities, tools (e.g., assays, protocols, and strain libraries), analyses, and rigorous chain-of-custody controls needed to support the Federal Bureau of Investigation (FBI) and others in their investigation of potential biocrimes or acts of bioterrorism. The center analyzes a large number of samples for the FBI and other national security partners in secure, contamination-free, biocontainment laboratories.

National BioForensics Operations (NBFAC) Project – Provides the Nation with a unique capability to conduct forensic analysis of evidence from biocrimes or bioterrorism. This helps prevent and deter biocrimes and terrorism by providing unimpeachable data for attribution. As designated in HSPD-10, NBFAC is the Nation's lead facility for technical analysis of samples from potential biocrimes or bioterrorism. As an operational facility, NBFAC provides:

- Secure, state-of-the-art, contamination-free, biocontainment space for the analysis of evidentiary material;
- Validated protocols for the biological, chemical and physical 'fingerprints' that those samples may contain;
- Rigorous chain-of-custody and quality-control procedures to ensure the integrity of the sample and its analysis; and
- Spoke laboratories to provide specialized capabilities.

The NBFAC plans to continue to provide scientific analysis and support to the FBI to analyze biological threat evidence. In FY 2008, the NBFAC completed ISO validation of an additional 20 assays for top bio-threat agents (BTAs) for operational use. In FY 2009, NBFAC plans to transition to its new facility and complete validation of forensic assays for Centers for Disease Control and Prevention (CDC) Category A biological threat agents. In FY 2010, the program plans to initiate validation of bioforensic assays from the research and development program to close gaps on CDC Category A and B biological threat agents.

Bioforensics R&D - Near Term & Long Term Projects – Develops improved methods for extracting genetic materials and proteins from samples for biological, chemical, and physical characterization. Provides scientific foundation for material attribution, develops protocols for characterization and identification of Biological Threat Agents (BTAs), and develops a robust sample management, molecular signatures, and physical/chemical analysis research program to address FBI/NBFAC requirements. Bioforensics R&D - Near Term provides NBFAC with tools to analyze the CDC Category A and B biological threat agents of concern and methods for analyzing enhanced and engineered threats. Bioforensics - Long Term advances forensics science, establishes an inter-disciplinary approach to the Bioforensics problem, and engages academia in basic scientific research that supports bioforensics technical gaps. In FY 2008, the project provided identification to the sub-strain level for the CDC Category A biological threat agents (excluding viruses). The project also initiated a bacterial population genetics study on a microbial clonal propagation, genetic dynamics, and implications for match criteria of samples. Additionally, the project transitioned assays supporting CDC Category A biological threat agents to NBFAC. In FY 2009, the project is providing identification and drill down capabilities for the Category B agents (excluding viruses). The project is also initiating improved genotyping schemes for Category A viral agents, with emphasis on smallpox (variola major) and viral hemorrhagic fevers. In FY 2009 and 2010, the project will launch a viral genetic stability study

on all Category A and B viruses to identify knowledge gaps in viral population genetics and the requirements for match criteria in viral samples. The program will also initiate phase 2 of the bacterial population genetics study focusing on filling knowledge gaps and improving match criteria of samples through wet chemistry experimentation. The S&T Directorate also plans to launch a Small Business Innovation Research (SBIR) study to determine knowledge/capability gaps for culturing trace amounts of fastidious select agent bacteria. Furthermore, the project will begin planning for new molecular markers/genotyping or whole genome sequencing methods to more rapidly identify enhanced and advanced threats.

Response and Restoration Program – FY 2009: \$6.467 million; FY 2010 estimate: \$6.849 million. Provides advanced planning, develops concepts-of-operation, and funds exercises and training for responding to and recovering from a large-scale biological attack. Biological agents have the potential to contaminate large portions of a city, covering multiple city blocks and the facilities therein. This project will provide a more rapid and cost effective post-attack cleanup and restoration in such situations by developing a systems approach for the restoration of citywide areas. Restoration demonstrations, which bring together Federal, State, and local partners to develop, test, and then share the concepts-of-operations for key scenarios, are at the heart of this approach. The S&T Directorate partners with EPA, who has the overall lead in this area, to carry out these efforts.

Systems Approaches for Restoration Project – Develops a coordinated systems approach to the restoration of wide urban areas, to include high-traffic areas (transit/transportation facilities) and Department of Defense (DOD) infrastructures, following the aerosol release of a biological agent. Prior activities focused on guidelines and protocols for protecting and restoring airports and other critical transportation hubs (e.g., subways). The S&T Directorate is now focusing on restoring wide urban areas, like city neighborhoods, following a biological attack using the Interagency Biological Restoration Demonstration (IBRD), in collaboration with DOD's Defense Threat Reduction Agency (DTRA) and in partnership with the EPA, DHHS, Seattle, and county authorities and agencies. When completed, IBRD will provide a set of concepts, protocols, and tools that other communities can then adopt and modify to develop their restoration plans. In FY 2008, the project developed restoration plans and templates; conducted technology readiness assessments; established requirements; and developed policy and implementation guidance. The project completed and delivered the interim restoration plan to HSC. In FY 2009, the project will conduct an exercise and demonstration of wide-area decontamination methods and restoration system tools. The project will also develop a Seattle Urban Area (SUA) specific plan. In FY 2010, the project plans to perform final exercises and demonstrations through a series of tabletops, field exercises, and workshops for the SUA plan. In FY 2011, the project plans to develop restoration plans and frameworks for a partner urban area with co-located military installations for validation of the overall concepts, protocols, and tools for recovering from an outdoor biological attack.

Operational Tools for Response and Restoration Project– Develops a suite of state-of-the-science indoor-outdoor predictive tools to characterize the extent and degree of contamination, incorporating the best-available deposition, degradation, and surface viability data. This project will provide validated interagency sampling plans and improved statistical sampling design to support characterization and decontamination planning. In FY 2009, this project will deliver an

initial decision tool to support event mitigation and characterization. In FY 2010, this project plans to develop sampling design/plan tools and validate a sampling plan design for anthrax.

Agriculture Thrust Area – Expands current capabilities and develops state-of-the-art countermeasures for foreign animal and zoonotic diseases, consistent with the roles and responsibilities articulated in *Defense of United States Agriculture and Food* (Homeland Security Presidential Directive, HSPD-9). This includes current research programs conducted at the Plum Island Animal Disease Center (PIADC), plans for the expanded capabilities the National Bio and Agro-defense Facility (NBAF) will provide, and support for inter-agency strategic planning and coordination for R&D programs provided by the Joint Agro-Defense Office (JADO).

Foreign Animal Diseases Program – FY 2009: \$23.670 million; FY 2010 estimate: \$24.237 million. In partnership with the U. S. Department of Agriculture (USDA), develops next-generation veterinary vaccines and other countermeasures to protect against natural and/or intentional introduction of high-priority foreign animal diseases (FAD), and develops models and simulations of the spread of FADs and their economic impact to evaluate control and response strategies. The program includes the following projects:

Ag Screening Tools Project – Develops portable protocols and tools that provide minimally trained users' assistance in sampling (e.g., maritime containers and unprocessed samples), rapid detection, and field identification of illegal product, high-consequence pathogens and toxins that threaten U. S. agriculture and the food industry. Starting in FY 2010, the project plans to identify and prioritize component needs for protocols, screening, and inspection tools as well as develop a strategy to address their needs.

Foreign Animal Disease (FAD) Modeling Project – Supports the development and use of Multi-scale Epidemiologic and Economic Simulation Analysis (MESA), to provide inter-agency partners and analysts with a platform to explore control strategies for FAD outbreaks at multiple scales, and to support Division strategic planning and the formulation of countermeasure requirements.

Initially focused on foot-and-mouth disease (FMD), the Division has worked with USDA partners since FY 2006 on the use of MESA to examine scenarios for FMD and Highly Pathogenic Avian Influenza (HPAI); extensions for other high priority diseases are planned. In FY 2008, the USDA Animal and Plant Health Inspection Service (APHIS) instantiated JMAC (Joint Modeling and Analysis Center) to enable inter-agency teams to more effectively collaborate on shared analysis products using multiple epidemiological and economic models. The NIH Fogarty International Center established RAPIDD (Research and Policy for Infectious Disease Dynamics) to engage the broader community of experts to address major unsolved challenges in the field of infectious disease modeling. In FY 2009, with USDA APHIS, the project will use multiple epidemiological and economic simulations and models to populate a scenario database to support planning and analysis for select high consequence FADs, such as FMD and HPAI. In FY 2009 and 2010, with RAPIDD, the project plans to address two central, linked questions in the implementation and efficient use of infectious disease models. Also in FY 2010, with USDA APHIS, the project plans to leverage RAPIDD insights as well as the shared experience of DHS and USDA analysts to enhance collective understanding of the

requirements and necessary verification and validation for the models and simulations used for strategic planning and reach-back support for policy and decision makers.

FAD Vaccine and Diagnostics – Near & Long Term Projects – Develop more effective vaccines and biotherapeutics for high priority FAD pathogens, with the goal of providing vaccines that are more effective to differentiate infected from vaccinated animals (DIVA). DIVA vaccines cause an animal to develop protective antibodies that can be differentiated from antibodies that are associated with the presence of disease or infection. Ultimately, DIVA vaccines will allow animals to be vaccinated against a disease without the fear that, once vaccinated, healthy animals will test positive for disease due to the presence of protective antibodies in their bloodstream. This project will additionally research vaccines for FADs for which no vaccine exists. In FY 2008, the project conducted pilot tests on next-generation DIVA vaccines for one new FMD serotype (i.e., major FMD variants, such as type A24, Asia, and O1; FMD has multiple serotypes and sub-serotypes), in coordination with the USDA Center for Veterinary Biologics (CVB), which provides the required conditional license for new vaccines. The project plans to conduct pilot tests on additional vaccine serotypes on a 12-month schedule, with CVB approval required for each new serotype-specific vaccine. In FY 2009, the project will determine how quickly this generation of serotype-specific FMD vaccines provides immunity, and how long that immunity lasts. The project also will deliver proof-of-concept studies using different vaccine and biotherapeutic countermeasure platforms for other non-FMD FADs. In FY 2010, the project plans to complete licensure testing with CVB for the first next-generation DIVA vaccine for FMD.

Agrodefense Basic Research – Performs fundamental basic research and addresses critical knowledge gaps for foreign animal and zoonotic diseases, in collaboration with federal and academic partners. In FY 2009 and 2010, the project is addressing critical knowledge gaps for high-priority FADs, and assessing the efficacy of detection platforms for select foreign animal and zoonotic diseases.

Joint Agro Defense Office (JADO) – Provides coordination and staff support for the development and maintenance of an integrated inter-agency research and development (R&D) strategy for foreign animal disease defense. The National Science and Technology Council (NSTC) Foreign Animal Disease Threat Subcommittee facilitates the overall inter-agency coordination to better leverage and integrate inter-agency R&D efforts, including programs on veterinary countermeasures, basic research, FAD modeling, and disposal and decontamination. Initially the project will focus on preparing an integrated R&D roadmap for FY 2008-2012, and enhancing inter-agency coordination of FAD modeling programs. In FY 2009 and 2010, the project will assess strategic R&D opportunities for the planned National Bio and Agro-Defense Facility.

Chemical Countermeasures Thrust Area – Develops technology to reduce the Nation's vulnerability to chemical warfare agents (CWAs), commonly used toxic industrial chemicals (TICs) and emerging non-traditional chemical threat agents (NTAs). The program's objectives are to:

- Provide a comprehensive understanding and analyses of domestic chemical threats;
- Develop pre-event assessment, discovery, and interdiction capabilities for chemical threats;

- Develop warning, notification, and timely analysis of chemical attacks;
- Optimize technologies and processes for recovery from chemical attacks; and
- Enhance capability to identify chemical attack sources.

The S&T Directorate coordinates with interagency partners, such as DOD and EPA, to maximize resources and minimize duplication. While DOD's program focuses on the needs of the battlefield, the S&T Directorate's program actively seeks to incorporate DOD technologies where they have relevant impact against domestic threats. DHS investments provide amplification to EPA's program to ensure we address major operational gaps in domestic chemical defense.

Analysis Program – FY 2009: \$16.212 million; FY 2010 estimate: \$15.737 million. Develops a robust and enduring analytical capability to support chemical countermeasures development. Activities include: (1) developing a fundamental understanding of toxic chemical threat properties and conducting risk and vulnerability assessments based on those properties; (2) developing and sustaining expert reach-back capabilities to provide rapid support in domestic emergencies; and (3) developing and validating forensic methodologies and analytical tools, such as chemical signatures, which are used to help identify the nature and origin of chemical threats used by terrorists and criminals. In addition, the S&T Directorate supports maintenance of infrastructure, consisting of receipt, laboratory, and storage spaces to accommodate highly toxic chemicals and associated evidence, to provide a fully operational capability. This includes trained and fully certified scientific and technical staff available to process this type of evidence. To ensure a cohesive effort to describe threats and countermeasures, the Chemical Security Analysis Center (CSAC) conducts key analytical assessments, such as Population Threat Assessments (PTAs), Chemical Terrorism Risk Assessment (CTRA) and Chemical Infrastructure Risk Assessment (CIRA). The Office of Infrastructure Protection (OIP), OHA, TSA, and Office of Intelligence and Analysis (I&A) are the primary DHS customers for the CSAC. CSAC provides completed PTAs to DHHS to fulfill BioShield requirements.

Chemical Security Analysis Center (CSAC) – Develops and sustains expert reach-back capabilities to provide rapid support in domestic emergencies. The CSAC serves as the Nation's first centralized repository of chemical threat information (hazard and characterization data) for analysis of the Nation's vulnerabilities to chemical agent attacks. This will assist the Department and the interagency community with planning for responses to chemical threats. The CSAC assesses risk and consequence due to chemical attacks on population and infrastructure. In FY 2008, the CSAC delivered the first Chemical Terrorism Risk Assessment (CTRA) to the HSC. The CTRA contributes the chemical component of the Integrated CBRN Risk Assessment. The CSAC also completed selected hazards papers related to specific chemical threats. In FY 2009, the CSAC will define end-to-end systems studies for OIP and TSA. In FY 2010, CSAC plans to deliver the Integrated Chemical Reactions Database to I&A. CSAC also plans to deliver the biennially updated CTRA to OHA.

Chemical Infrastructure Risk Assessment Project – Carried out by CSAC, this project develops tools to help assess risk presented by attacks on the chemical industry by identifying and quantifying various infrastructure gaps, vulnerabilities, potential key hazardous chemicals, and associated processes. It also maintains a fully operational reach-back capability in support of the

development of Office of Infrastructure Protection (OIP) chemical security regulations. The project began in FY 2008, with a comprehensive assessment of chemical dispersion models' validity and user benefit. OIP uses such models to measure the downwind hazard and downstream impacts from sabotage or disruption of hazardous chemicals passing through chemical infrastructure. In FY 2009, the project will complete an assessment of chemical dispersion models and downstream impacts from infrastructure disruptions. The project will also assess the potential for safer alternative processes that may reduce risk to a select subset of high-volume toxic chemicals. In FY 2010, the project plans to develop a scenario-driven approach for assessing the hazard due to a release from the chemical supply chain. The project plans to develop objectives for improved models.

Large-Scale Chemical Transport Release Modeling Project – Develops an improved understanding of the consequences of release of large volumes of hazardous chemical in transport (e.g., rail cars or tankers). CSAC will execute this effort. Starting in FY 2009, the project will conduct a critical assessment of existing dispersion models compared to observations made during and following releases from rail car accidents. Subsequent efforts will identify improvements in models that more closely approximate the actual effects of large-scale releases and validate those improvements through test and comparison with existing field data. In FY 2010, the project plans to target development of improved source terms for incorporation into models.

Increase Safety of Hazardous Chemicals Project – Develops an understanding and identifies solutions to improve the safety of hazardous chemical formulations for their intended uses. Additionally, develops an understanding and scientific basis for alteration of changes in hazardous chemical formulations during transit to minimize overall risk due to accidents or intentional disruption of hazardous materials transport devices. Starting in FY 2010, this project plans to review current industry use of hazardous materials and formulations and initiate a study to identify hazardous materials with highest volume use whose formulations may be changed to increase safety without undermining value to industry and consumer. The project also plans to assess which, if any, of the most commonly used toxic and explosive chemical formulations can be modified to increase their safety during its use and transport while minimizing implications on cost and effectiveness toward intended purpose. Plans are to identify hazardous chemical products that can be modified during transport and permit reversion back to original formulation at point of distribution or use.

Chemical Forensics and Attribution (FAP) Project – Develops and maintains a robust and enduring national capability for the collection, preservation, and processing of chemical threat agents (CTAs) and associated evidence for the purpose of comprehensive and timely forensic analysis and attribution. CTAs include Chemical Warfare Agents (CWAs), Non-traditional Agents (NTAs), Toxic Industrial Chemicals (TICs) and Toxic Industrial Materials (TIMs). This capability supports the investigation of terrorist and criminal incidents involving CTAs by enabling their association with people, places, and other events, as well as their potential attribution to their original source. This information is a critical component of criminal prosecutions and intelligence analysis activities, which serve to prevent, deter, detect, disrupt and respond to chemical terrorists and chemical incidents. In FY 2008 and FY 2009, the project evaluated chemical forensic analytical methods for several nerve and blister agents, Ricin, and

TICs, and studied their chemical attribution signatures extracted from an initial set of common materials. In FY 2009, the project is evaluating forensic analytical methodologies for V-series nerve agents, other CWAs and TICs, as well as techniques for the collection, preservation and analysis of samples recovered at the scenes of chemical incidents. In FY 2010, the project plans to evaluate collection, preservation and analytical methods for additional CTAs, prioritized by risk and intelligence.

Chemical Infrastructure and Supply Chain Model – Develops a chemical infrastructure analytical capability that will enable DHS to look at policy analysis of the chemical sector as a whole, consequence analysis of the impacts of natural and man-made events on the chemical industry and chemical-dependent sectors of the economy, and analysis of individual chemical assets.

Detection Program – FY 2009: \$17.021 million; FY 2010 estimate: \$18.992 million. Develops technology to warn and notify of a chemical threat release. It includes technologies responders need to survey potentially contaminated scenes, while limiting their exposure to chemical agents. This program aims to provide technologies that can, in a single package, sense chemical agents and more commonly monitored chemicals, at costs that will support dual-use application. Developing this capability requires a leap forward in technology for next-generation systems. Due to the various physical properties associated with detecting high-vapor pressure versus low-vapor pressure chemical threats, an array of technologies is required to ensure that the full spectrum of chemical hazards is adequately addressed. This program will develop the detection systems described below.

Two of the detection systems – The Autonomous Rapid Facility Chemical Agent Monitor (ARFCAM) and the Lightweight Autonomous Chemical Identification System (LACIS) – are the first-generation chemical detection systems for facility monitoring and handheld use, respectively. Current systems are unable to detect a wide range of CWAs and TICs and often exhibit high false-alarms rates. ARFCAM and LACIS address these gaps.

ARFCAM Project – Develops a low-cost, fully autonomous, networkable chemical monitor that will “detect-to-warn” the presence of up to 17 CWAs and high-priority TICs simultaneously within a single device at both Immediately Dangerous to Life and Health (IDLH) and Permissible Exposure Limit (PEL) concentrations. This project will improve protection of facility occupants by detecting a wide range of agents with increased reliability. In FY 2008, the project refined the ARFCAM prototype detectors (software and hardware) using results from independent testing and evaluation (IT&E). Also in FY 2008, the project initiated testbed trials and additional independent test and evaluation (IT&E) of prototype detectors. In FY 2009, the project will complete test bed trials and expand the IT&E. In FY 2010, the project plans to conduct a critical design review to down-select successful prototype detectors for developmental field-testing in FY 2011. The IT&E will also continue in FY 2010.

LACIS Project – Develops a networkable handheld detector for responders, which will detect up to 17 TICs and CWAs in a single sensor package. The S&T Directorate is targeting LACIS to detect TICs and CWAs below the Immediately Dangerous to Life and Health (IDLH) level, emphasizing a very low false-negative response. This system will allow for detection that is

more reliable across a broader range of chemical agents for improved protection of responders to a chemical incident. Additionally, it will enable enhanced detection capabilities at borders, portals and other nodes of people and cargo flow. In FY 2008, the project refined the LACIS prototype detectors (software and hardware) using results from independent testing and evaluation (IT&E). Also in FY 2008, the project initiated additional IT&E of prototype detectors. In FY 2009, the project initiated and will complete test bed trials and expand and continue the IT&E of prototype detectors. In FY 2010, the project plans to conduct a critical design review to down-select successful prototype detectors for developmental field-testing in FY 2011. The IT&E will continue in FY 2010.

Advanced Chemical Vapor Detection System (formerly Next-Gen ARFCAM & LACIS) – Targets the development of a single concept system that can be used to support the need for both an autonomous, networked continuously running facility monitor and a hand-portable, networked chemical detection system with the capability to quickly (<1 min) “detect-to-warn” the presence of up to 40 high-priority TICs and CWAs. Starting in FY 2010, this project plans to explore concepts that enable such broad range detection.

Integrated CBRNe Detection System Project – Develops an architecture that integrates reporting from disparate chemical, biological, radiological, and potentially nuclear and explosive (CBRNe) detection/collection systems. This system will provide timely CBRNe detection, identification, and assessment of the threat and enables appropriate response by local, State and Federal officials. It will greatly improve the integration of alarm and response assets across multiple potential attack modes, resulting in more rapid and informed decisions at the appropriate response level. In FY 2008, the project completed a survey of five potential pilot cities, detailing current detection information-sharing architectures, identified gaps in the current capabilities, and initiated a two-city pilot of the chem/rad portions of the integrated CBRNE detection. In FY 2009, the project will expand Integrated CBRNe pilot testing to include biological and explosive detection integration. Upon successful pilot testing of all portions of the Integrated CBRNe Detection System, the project will perform a full-scale demonstration. In FY 2010, the project plans to complete a lessons learned package and a technical template/guidance document to support implementation by other federal, state, and local agencies.

Low-Vapor Pressure Chemicals Detection Systems (LVPCDS) Project – Investigates man portable technology to detect and identify persistent low vapor pressure chemical threats on surfaces. This system will enable a rapid, standoff survey of areas potentially contaminated with persistent chemical agents, thus accelerating facility restoration. In FY 2008, the project conducted independent test and evaluation on laboratory prototypes. In FY 2009, the project will conduct test and evaluation of an engineering development model in a simulated operational environment. In FY 2010, the project plans to build, test, and evaluate a field prototype system and deliver the final Project Report.

Non-Intrusive Container Monitor – Investigates technology to rapidly and efficiently determine the contents of suspicious containers in cargo or passing through security portals. Starting in FY 2009, work will focus on enhancing security at portals within and at the perimeter of key elements of our national infrastructure. This technology will promote the interception and confiscation of illicit materials by a variety of customs, law enforcement, and responder

personnel. In FY 2009, the project will conduct research to characterize the range of hazards that can be interrogated effectively through common packaging materials. In FY 2010, the project plans to explore new technology concepts.

Response and Recovery Program – FY 2009: \$19.698 million; FY 2010 estimate: \$18.695 million. Provides technologies for restoring a chemically contaminated area to a normal condition. This work primarily supports the development of technologies and guidelines for decontamination and the analysis of contaminated areas both before and after restoration processes. These efforts will decrease the the time it takes to cleanup after an attack with a chemical agent on key infrastructure and include supporting capabilities such as the development and demonstration of facility restoration and decontamination technologies and guidelines; development of a mobile chemical analysis laboratory; and the development of fixed-site chemical analysis laboratories for CWAs.

Facility Restoration Demonstration Project – Develops a systems approach to response and restoration (R&R) of critical transportation facilities following a chemical agent release. This project develops efficient planning tools, identifies decontamination methods, identifies sampling methods, and develops decision analysis tools. Facility Restoration Demonstration will enable rapid recovery from a chemical agent release in a major transportation facility, minimize the economic impact of a chemical agent release, and provide defensible public health decisions concerning the re-opening of major transportation facilities following a chemical agent release. In 2008, the project completed a draft, site-specific, final restoration plan for a major U.S. airport and a general restoration guidance document. In FY 2009, the project completed a tabletop exercise to demonstrate restoration guidance. The project will also complete an operational demonstration and final restoration guidance document. Final demonstration will occur in early FY 2010. There is no funding requested for FY 2010.

Fixed Laboratory Response Capability Project – Develops prototype environmental laboratories and protocols to assist with the assessment and remediation of CWA contamination. These laboratories will have full EPA quality certification, standard methods for analysis of CWAs in environmental matrices, and standard reporting protocols. The laboratories will be located in high-threat areas and be available to assist law enforcement with rapid identification of unknown chemical hazards. The optimization of laboratory protocols will maximize overall throughput and the capability will be appropriately sized to assist in remediation of incidents involving CWA or non-traditional agent (NTA) releases. This project will greatly reduce the time needed to restore contaminated facilities and inform public health decisions regarding re-use. In FY 2008, the project selected four additional laboratories for prototyping in the West and Southeast regions. In FY 2009, the project will complete optimization of the high-throughput analytical methods, jointly with EPA, establish a proficiency testing process that will be demonstrated by the original three prototype laboratories, and quantitatively determine via round-robin tests the improved analytical capacity for environmental samples containing CWAs. In FY 2010, the four additional prototype laboratories plan to complete proficiency and high-throughput tests. In addition, the project will transition the network of seven CWA Fixed Laboratories to EPA.

NTA Laboratory Capability Project – Develops a high-throughput chemical laboratory system for analysis and identification of NTAs. The project will enable high-throughput analysis for

rapidly mapping contamination and supporting the recovery of contaminated areas. This product will help government officials make rapid determinations and expedite the return of areas contaminated with classified chemical threats to normal use. In FY 2009, the project will complete initial conceptual designs following selection of the appropriate laboratory platform (fixed site, mobile or transportable). In FY 2010, the project plans to validate analytical assay performance across multiple matrices, optimize sample preparation methods to maximize agent recovery/detection, and complete a system design. The project also plans to initiate lab construction in FY 2010.

Integrated Detection/Decontamination Demonstration Project – Demonstrates newly evolving tools for detecting the release of classified chemical threats, mapping chemical contamination, and monitoring the decontamination process through facility clearance. This project plans to reduce the overall time for recovery of critical infrastructure by focusing response on affected areas. Starting in FY 2009, this project will define and identify operational test environments and perform a market survey of existing and evolving detection/decontamination technologies. In FY 2010, this project plans to demonstrate and evaluate performance of surveyed technologies.

Chemical Decontamination R&D Project – Develops and tests technologies that decontaminate NTAs, CWAs, and persistent TICs. The project will assess the validity of current techniques for decontamination of NTAs, describe performance gaps, and begin to fill performance gaps through a measured R&D program. In FY 2008, the project continued fundamental studies of stability and transport properties of NTAs on common indoor surfaces (e.g., transportation facilities such as airports) and approaches to decontamination. In FY 2009, the project will complete the initial study and describe key performance gaps. In FY 2010, the project plans to select the most promising new approaches for use in proof-of-concept demonstrations against NTAs and traditional persistent chemical threat agents.

Integrated Consortium of Laboratory Networks (ICLN) Project – Consists of a national homeland security infrastructure with a coordinated and operational system of laboratory networks that provide timely, high-quality, interpretable results for early detection and effective consequence management of acts of terrorism and other events requiring an integrated laboratory response. This project will provide optimized national laboratory preparedness by improving 1) coordination of laboratory response to incidents and 2) common standards of performance across laboratory response assets. In FY 2009, the project will develop an integrated laboratory response architecture and assess through table-top exercises. In FY 2010, the project plans to transition the operational aspects of the ICLN to OHA and continue to support specific laboratory response technological assessments and improvements in the S&T program.

PPA: COMMAND, CONTROL, AND INTEROPERABILITY

	Perm Pos	FTE	Amount
2008 Actual			\$66,171
2009 Enacted			\$74,890
2010 Adjustments-to-Base			\$0
2010 Current Services			\$74,890
2010 Program Change			\$5,374
2010 Request			\$80,264
Total Change 2009-2010			\$5,374

The Science and Technology (S&T) Directorate requests \$80.264 million for Command, Control, and Interoperability in FY 2010, of this amount \$2.007 million supports the SBIR Program.

CURRENT SERVICES PROGRAM DESCRIPTION

The Command, Control and Interoperability Division (CCI) creates and deploys technologies and information resources to enable seamless and secure interactions among Federal, State, local, and tribal stakeholders ensuring that they have comprehensive, real-time, and relevant information to create and maintain a secure and safe Nation. CCI's science and technology efforts work toward providing operational capabilities that ensure:

- Operability and interoperability of communication systems for emergency responders;
- Protection and integrity of cyber systems that are critical to homeland security; and
- Knowledge management tools and capabilities that can detect potential threats.

CCI thrust areas include: Cyber Security; Communication, Interoperability, and Compatibility; Knowledge Management Tools; Basic/Futures Research; Surveillance, Reconnaissance and Investigative Technologies; and Emergent Threat Assessment.

Cyber Security Thrust Area – Leads cyber security research, development, testing, and evaluation to secure the Nation's current and future critical cyber infrastructure. Cyber attacks are increasing in frequency and impact. As outlined in the President's *National Strategy to Secure Cyberspace* (NSSC), our Nation's economy and national security depend on information technology and the information infrastructure. Information networks directly support the operation of all sectors of our economy – energy (electric power, oil and gas), transportation (rail, air, merchant marine), finance and banking, information and telecommunications, public health, emergency services, water, chemical, defense industrial base, food, agriculture, and postal and shipping. Computer networks also control electrical transformers, trains, pipeline pumps, chemical vats, radars, etc. Cyber attacks can have serious consequences including the disruption of critical operations, loss of revenue and intellectual property, and loss of life.

This thrust area consists of three programs: Information Infrastructure Security, Research Tools and Techniques, and Next Generation Technologies.

Information Infrastructure Security (IIS) Program – FY 2009: \$16.889 million; FY 2010 estimate: \$10.726 million. Facilitates the implementation of the President’s NSSC. This program leverages the collective resources of private companies and technology vendors to identify and demonstrate new technologies to help protect the Nation’s infrastructure. Through the IIS program, the S&T Directorate engages with industry, government, and academia to ensure that the core functions of the Internet develop securely and benefit all owners, operators, and users, including Internet Operations Organizations. In addition, the IIS program addresses economic assessment, risk analysis, and modeling requirements to implement and deploy cyber security technologies that support internal Department of Homeland Security (DHS) customers and external partners.

Secure Protocols Project – Develops secure protocols for the cyber-components that make up the Internet, specifically the Internet’s Domain Name System (DNS) and routing infrastructure. This project combines Domain Name Security System Security (DNSSEC) and Secure Protocol for the Routing Infrastructure. In the area of DNS security, activities focus on enabling all DNS-related traffic on the Internet to be compliant with the DNSSEC standard protocol that secures DNS communications. The DNS translates alphabetic domain names (such as website addresses) into their corresponding numeric Internet Protocol (IP) addresses, which is what computers, networks, and Internet sites actually use to ‘call’ one another. The entire Internet relies on DNS to function, so its security is paramount.

In FY 2008, within DNSSEC, the project completed the modification of end-user applications such as web browsers and e-mail clients to provide end-to-end security to assure authenticity and integrity of information; provide step-by-step operator guidance documentation for various operating environments, along with training, procedural, and development documentation, as well as executable software, patches, commented source code files, and packaging requirements; and developed and deployed a Public Key Infrastructure (PKI) with the American Registry for Internet Numbers (ARIN), which controls and allocates IP addresses for North America. In FY 2009, the project will deploy additional DNSSEC protocol and gather operational DNSSEC query data in an effort further analyzing DNS security, and initialize deployment within government networks

In FY 2010, the project plans to conclude PKI deployment activities with global registries to enable effective and efficient connections between URLs; develop and deploy standards for secure routing; and gather operational DNSSEC query data to further analyze DNS security, and accelerate deployment of DNSSEC policies and technology.

Process Control Systems (PCS) Security Project – Improves security for PCS, a statistics and engineering discipline that deals with architectures, mechanisms, and algorithms for controlling the output of a specific process. PCSs control water supply, electrical power, gas and oil pipelines, and other distributed processes. Project deliverables will include advances in interoperability with existing PCS systems. This interoperability will allow PCS systems to easily integrate new products into existing systems and enhance information sharing within the critical infrastructure sectors using PCS. In FY 2009, the project will initiate activities in the area of PCS Security to support improved security for process control systems used across multiple critical infrastructure sectors and developed PCS model applications to Oil and Gas

Sector(s) to ultimately better secure those infrastructures. In FY 2010, the project plans to deliver Secure Wireless end devices that will assist in securing wireless transmission for process control systems.

Insider Threats Project – Addresses advanced methods of document control and management in order to provide an unalterable accounting of document access and dissemination. Ultimately, this project will ensure that appropriate control requirements are translated into a security policy that can be applied to documents and preserved from cradle to grave. No single description of an insider is applicable in all cases, and trusted insiders have “inside knowledge” of these countermeasures and controls. In FY 2009, the project will develop and evaluate graph-based approach for insider threat; design, prototype and analyze Document-based Management, Access Control, and Security (DocuMACS). In FY 2010, the project plans to develop and implement graph-based approach performance enhancements; pilot DocuMACS Version 1.0; and deliver a Source Code/Executables and DocuMACS Computer Based Training (CBT) Guide.

Cyber Infrastructure and Emerging Threats Project – The Distributed Environment for Critical Infrastructure Decision-Making Exercises (DECIDE) effort is a distributed scenario-based exercise (war-gaming) environment designed to enable large businesses in critical infrastructures to develop coordinated responses to a variety of disruptions based on their individual and collective business models. In FY 2009, the project will provide a dedicated exercise capability for several critical infrastructures in the U.S. In FY 2010, the Web*DECIDE will facilitate distributed infrastructure protection exercises by providing a multi-user simulation framework aimed at business continuity managers. Also in FY 2010, Web*DECIDE will demonstrate more complex user interfaces and decision trees, and scenarios involving equities and options trading, clearing and settlement, and investment banking.

Cyber Security Research Tools and Techniques (RTT) Program – FY 2009: \$8.911 million; FY 2010 estimate: \$7.000 million. Provides secure facilities and methods for testing cyber security technologies under real-life conditions. Neither existing research network infrastructures nor the operational Internet provides adequate means for testing defense technologies. Over the last decade, the network-security research community could not test their research prototypes and prove the utility of their research in large-scale network environments. To accelerate research, development, and deployment of effective defenses for U.S.-based computer networks, CCI is developing a cyber security-testing infrastructure that allows researchers, developers, and operators from government, industry, and academia to experiment with potential cyber security technologies. CCI will produce scientifically rigorous testing frameworks and methodologies to support national-scale experimentation. The end-users for these research tools and techniques include cyber security researchers, developers, and operators.

Experimental Research Testbed Project – Provides a cyber security testbed to evaluate defense mechanisms against attacks on the infrastructure and support mitigation of attacks. The project supports the S&T Directorate by working with the National Science Foundation (NSF) to create the Defense Technology Experimental Research (DETER) cyber security testbed. Existing testing facilities cannot handle experiments on a large enough scale to represent today’s operational networks or the portion of the Internet that might be involved in a security attack. Industry has only been able to test and validate new security technologies in small- to medium-

scale private research laboratories that do not adequately simulate a real networking environment. The DETER cyber security testbed addresses these gaps. In FY 2008, the project increased the test bed's capacity to allow large-scale malicious-code experiments and increased the number of testbed users and large-scale data sets applications. In FY 2009, the project will test five new technologies. In FY 2010, the project plans to test additional technologies that may include: worm defense, routing security, distributed denial of service defense, malware detection, and domain name system security.

Research Data Repository Project – Creates and maintains a large-scale data set repository of real network and system traffic for use by the cyber-security research community to accelerate design, production, and evaluation of next-generation cyber-security solutions, including commercial products. In FY 2008, the project built Protected Repository for the Defense of Infrastructure against Cyber Threats (PREDICT) datasets. In FY 2009, the project will increase the large-scale data sets applications to 200. In FY 2010, the project plans to add 50 cyber-security data sets to the Research Data Repository each year to allow users to more effectively test technologies using a wider sample of data.

Experiments and Exercises Project – Addresses cyber security requirements from internal Department customers in support of DHS's operational missions in critical infrastructure protection. Through this project, DHS participates in experiments and exercises that facilitate the development and deployment of technologies to significantly improve security of key infrastructure sectors. In FY 2009, technology that defends against malware and botnet attacks will be deployed on the recently deployed S&T LABNET, which includes a connection to the Defense Research and Engineering Network (DREN). This will provide an environment for thorough testing and evaluation of the technology so the S&T Directorate can consider a pilot deployment of the technology, possibly extending the deployment across all of DHS. In FY 2010, S&T will work with the oil and gas sector as part of the Linking Oil & Gas Industry to Improve Cyber security (LOGIIC) consortium. LOGIIC is a public/private partnership that allows industry to perform pre-competitive collaborative research and development. During FY 2010, the LOGIIC consortium will complete the Safety Instrumented Systems (SIS) Project which will result in security improvements to individual systems, architectural recommendations to greatly increase the security of SIS/PCS integration, and confidence on the part of the sector that safety systems are verifiably secure. The LOGIIC effort will facilitate a robust and coordinated process involving vendors, end users, and experts in security and SIS applications, enabling improved architectures and future standards while decreasing duplication.

Next Generation Technology (NGT) Program – FY 2009: \$4.852 million; FY 2010 estimate: \$19.498 million. Addresses next-generation cyber security R&D needs in support of DHS components' mission requirements. It will define technical areas of interest, based on customer requirements, and allow university and private sector researchers to submit their best and most innovative ideas to the S&T Directorate. This program will accelerate transition of new cyber security technologies into commercial products and services. End-users for these technologies include: first responders, critical infrastructure providers, the banking and finance sector, private industry, and government.

Internet Route Monitoring Project – Identifies critical internet infrastructure, incorporating an understanding of geographic and topological mapping of internet hosts and routers. These maps will enhance internet monitoring and modeling capabilities to identify threats and predict the cascading impacts of various damage scenarios. In FY 2009, the project will release open source software Prefix Hijack Alert System (PHAS). In FY 2010, the project plans to complete Geographic router-level maps.

Modeling of Internet Attacks – Develops modeling and analysis capabilities that predict the effects of cyber attacks on Federal Government infrastructures. This project will improve public Border Gateway Protocol (BGP) route monitoring capabilities, extract peering relationships from Internet topology and telco hotel datasets, and produce more reliable geo-location tools for visualizing and navigating geographic as well as topological connectivity and increase accuracy of currently available tools for matching Internet Protocol (IP) addresses to router interfaces. In FY 2010, the project plans to collect network traffic data revealing Internet attacks from widely distributed Internet locations that will help to create technologies to combat internet attacks.

Software Quality Assurance- Develops tools and techniques for analyzing software to detect security vulnerabilities associated with our Nation’s critical infrastructure (energy, transportation, telecommunications, banking and finance, and others) and networks. Specifically, this project addresses the presence of internal flaws and vulnerabilities in software threatening its correct or predictable operation and use. Software quality assurance deals with the root of the problem by improving software security. In FY 2010, the project will publish a Broad Agency Announcement (BAA) and award contracts to provide tools and techniques to analyzing software to detect security vulnerabilities.

Enterprise Level Security Metrics Program – Develops a science of security measurement and the supporting tools and techniques to make the measurements practical and useful as decision aids. Specifically this project addresses evaluating security at the system level, providing tools that facilitate decision-making and accountability through collection, analysis, and reporting of relevant performance data. In FY 2010, the project will publish a BAA and award contracts to develop security measurements and the supporting tools and techniques.

Communications, Interoperability and Compatibility Thrust Area – Strengthens interoperable communications to improve effective information sharing at all levels of government. The thrust area coordinates interoperable emergency communications requirements for all voice and data communications systems and equipment purchased with DHS funding and develops and evaluates cross-jurisdictional information-sharing technologies, policies, and processes. CCI initiatives impact end users that include more than 60,000 emergency response agencies nationwide, state homeland security officials, and policy makers at the local, tribal, State, and Federal levels.

Office for Interoperability and Compatibility (OIC) Program – FY 2009: \$11.084 million; FY 2010 estimate: \$9.885 million. Strengthens and integrates interoperability and compatibility activities to improve preparedness and response among Federal, State, local, and tribal governments. OIC addresses the myriad complexities of improving interoperable communications, including:

- Spectrum allocation;

- Incompatible proprietary systems and infrastructure;
- Inadequate standard operating procedures (SOPs); and
- Multi-jurisdictional, multi-disciplinary governance structures.

Emergency responders – police officers, fire personnel, emergency medical services – need to share vital voice and data information across disciplines and jurisdictions to successfully respond to day-to-day incidents and large-scale emergencies. Unfortunately, responders often cannot talk to some parts of their own agencies – let alone across cities, counties, and states. Ineffective communications risk the lives of responders in the field, and can mean the difference between life and death for those awaiting help. OIC relies heavily on input from State and local emergency responders and works cooperatively with the Nation’s 60,000 emergency response agencies, State homeland security officials, associations, and policy makers throughout all levels of government. OIC also conducts the RDT&E and standards aspects of the SAFECOM program.

P25 Interfaces Project – Accelerates emergency response interoperable communications through the development of national voluntary consensus standards. The S&T Directorate partners with National Institute of Standards and Technology (NIST) to execute these standards efforts. Through this project, OIC participates on the Telecommunications Industry Association’s P25 Interfaces standards committee. P25 is a suite of manufacturing standards for interoperable, digital, two-way wireless communications products. The project will ultimately enable connections between multi-vendor and multi-jurisdiction communications infrastructure components and allow for greater interoperability and flexibility. In FY 2009, the project will initiate test, model and evaluate broadband standards. The project will also launch a demonstration between Voice over Internet Protocol (VoIP) and P25 gateways. In FY 2010, the P25 Interfaces project plans to complete the development of network-management interface standards for P25 to improve management of communications systems.

Emergency Data Exchange Language (EDXL) Project – Facilitates the RDT&E of practitioner-driven information-sharing standards and encourages their implementation into software, systems, and devices. In FY 2009, the project will initiate development and piloting data messaging standards for the emergency response community; develop a compliance certification process to ensure industry implements the standards as intended—to encourage interoperability; and conduct a gap analysis to identify the list of gaps between the information sharing requirements of the broad emergency response community (health care, transportation, law enforcement, fire, EMS, etc.) and existing data messaging standards. In FY 2010, the project plans to expand its standards development work to address the list of gaps identified through the gap analysis effort, as well as develop and pilot additional data messaging standards for the emergency response community.

IP Backbone Test and Evaluation Project – Researches IP-enabled communication backbones and evaluates promising technologies. Backbones are the core “back office” components of communications systems. Standards-based, IP-enabled backbones will provide greater flexibility and increasingly scalable architectures. This project will enable the emergency response community to confidently deploy and use IP backbones and integrate cell phone and satellite communications into interoperable communications networks. In FY 2009, the project will

initiate testing and evaluation of IP solutions; prepare a report that analyzes multiple VoIP Briding solutions, which were piloted in FY 2008; and complete Public Safety prioritized VoIP Release Standards profile(s). In FY 2010, the project plans to transition a set of standards for an operational environment that will be prioritized by public safety and confirmed by industry.

Wireless Broadband Productization Project – Tests and evaluates commercially available and emergent wireless broadband products to reveal any existing capability gaps. The overall goal of the project is to ensure that technologies developed in the laboratory work in a real-world environment to support the emergency response community. Ultimately, emergency response agencies will be able to purchase solutions that meet their needs and remain interoperable as future networks are deployed. In FY 2009, the project will develop a strategy for effective emergency response use of and migration to the 700 MHz band. In FY 2010, the project plans to pilot cutting-edge emergency response communications technologies (e.g., wireless broadband prototypes).

Technology Demonstration Pilots Project – Conducts command, control and interoperability pilot projects and technology demonstrations across the country that will test and evaluate voice, data, imagery, and video communications technologies within real world environments. The Technology Pilot Demonstration Project works across all Division Thrust Areas using integrated pilot teams that include scientists/engineers, analysts, and practitioner first responders. Pilot Demonstration Projects will involve a range of technologies including: Thales Communication Multi-band Radio (MBR) with testing and evaluation sites in New York, Colorado, Idaho, New Jersey and Michigan; Fusion Analytics Desktop Environment (FADE) a data analysis tool within California and Washington; Law Enforcement Information Framework (LEIF) a tactical information retrieval and analytics tool for street-level deployment in California, Washington and New Jersey; and, Real Eyes video streaming and data transfer technology at various sites across the country with TSA Federal Air Marshalls. Critical Incident Inspection Management System (CIIMS), an aerial technology that enables flight crews in fixed wing and helicopters to efficiently manage inspections of critical infrastructures such as dams, bridges, and large industrial complexes, will have pilot demonstration sites in Maryland, California and additional sites to be determined. In FY 2008, the project launched the Radio-Over Wireless Broadband project to research how to connect existing Land Mobile Radio (LMR) systems with advanced broadband technologies, such as Push-To-Talk over Cellular and the Geographic Information System. In FY 2009, the project received the initial delivery of prototype MBR for lab testing and short- and long-term demonstrations. When fully implemented in 2010 the project will facilitate more rapid deployment of technologies from labs to emergency management preparedness; promote information sharing and state-to-state communications; and, accelerate transition of new technologies to first responders within all-hazard response disciplines.

Compliance Assessment Project - Evaluates existing and emerging technologies to ensure operational effectiveness and conformance to standards. Current work focuses on validating that P25 standardized systems are indeed P25-compliant and that equipment from different manufacturers can interoperate, thereby ensuring that Federal grant dollars are being used appropriately. OIC works with NIST to execute this project. This project develops open and rigorous processes to ensure equipment from different manufacturers can interoperate. In FY 2009, the project will recognize laboratories qualified to test for compliance for the P25

Common Air Interface and require its testing through grant guidance. In FY 2010, the project plans to extend the program to the P25 Inter-RF Sub-System Interface, which will require the evaluation of laboratories and assisting in the completion of the relevant testing standards.

Knowledge Management Tools Thrust Area – Provides knowledge management capabilities to reduce the risk of terrorist attacks and to prepare for and respond to natural and man-made disasters. The thrust area is developing new capabilities for the DHS Office of Intelligence and Analysis (I&A), National Protection & Programs Directorate (NPPD), U.S. Immigration & Customs Enforcement (ICE), U.S. Coast Guard (USCG), Federal Emergency Management Agency (FEMA), State/local/tribal DHS partners and the DHS information sharing enterprise, which is a gateway for users to retrieve information, services or resources from the Department. This includes tools and methods to handle massive amounts of information that are widely dispersed in a great variety of forms. Work in this thrust area is collaborative and complements efforts in the intelligence, law enforcement, and homeland security communities. In addition, the thrust area focuses on applied R&D in visualization and information analytics because they are critical to the usability and effectiveness of converting raw data into useful information. This thrust area conducts its work through the Knowledge Frameworks and Collaborative Information Sharing programs.

Knowledge Frameworks Program – FY 2009: \$13.425 million; FY 2010 estimate: \$12.550 million. Reduces the risk of terrorist attacks and enhances preparations for and responses to natural and man-made disasters. Efforts include developing tools and methods to handle massive amounts of information that are widely dispersed in a great variety of forms. The best way to save lives is to identify pertinent information, understand its meaning, and then use it to assess an actual threat and determine the level of risk before an attack or incident occurs.

Collective Situational Awareness Project – Researches and develops technologies for accessing and exchanging situational awareness information among the USCG and its maritime, law enforcement, and intelligence partners. The project establishes information sharing protocols to enable the exchange of information across disparate National System security networks. In FY 2009, CCI plans to provide a basic demonstration of the Global Command and Control System-Joint (GCCS-J) Track Management System (TMS) as a web service. In FY 2010, the project will build on the FY 2009 demonstration using accepted Service Oriented Architecture (SOA) standards. In FY 2010, the project plans to continue to provide technical services to the DHS Office of Applied Technology to collect test and validate requirements across the DHS Enterprise.

Common Operating Picture (COP) Data Fusion Technologies Project – Develops sensor integration technologies to fuse massive volumes of surveillance information from government agency and private sector sensor systems. Rapidly analyzes the nature, composition, and pattern of the threat in support of a common operating/intelligence picture. In FY 2009, the project will initiate development of the Automated Continuing Evaluation System (ACES) for the DHS Office of Security and deploy the Fused Analytic Desktop Environment (FADE) for USCG Maritime Intelligence Fusion Center, Pacific (MIFCPAC). In FY 2010, the project plans to automate the verification and validation process for FADE, along with producing emerging requirement analysis papers. The project plans to develop a mission blueprint that delineates

core systems requirements, futuristic technical requirements, and recommendations to address revolutionary technical needs specific to the National Response Coordination Center and other Regional Response Coordination Centers.

Integrated Data Processing and Analysis Project – Develops scalable technologies for the integrated analysis of free text, database records, audio, video, imagery, transactional data, geographical data, and sensor information. Establishes and validates reliable performance metrics for integrated data processing and analysis. This project provides technological tools for intelligence analysts to “connect the dots” of information that has been legally collected to protect the homeland. In FY 2009, the project plans to launch Integrated Text Analytics for the ICE Office of Intelligence. In FY 2010, the project plans to transition text analysis/geospatial capability to the production environment and demonstrate a proof-of-concept prototype to ICE and State and local partners.

Law Enforcement and Intelligence Sensor Fusion Project – Develops comprehensive sensor fusion standards and protocols for sharing sensor information between traditional law enforcement organizations and intelligence partners. It also accelerates integration of sensor fusion standards and protocols into the Department’s cross-domain threat assessment and mitigation systems to support common operating picture. In FY 2009, the project will initiate development of a prototype of multiple visualization environments and demonstrate the exchange of Geospatial Information System (GIS) Data between NPPD and the State of Alabama. In FY 2010, this project plans to pilot the integration of multiple technologies such as Smart Closed Circuit TV, Automatic License Plate Recognition (ALPR), a digital dashboard for incident management and coordination, an infrastructure inspection management capability, Automatic Vehicle Locator (AVL), and Link analysis software into GIS Software.

Real-Time Data Processing and Visualization Project – Develops technologies for dynamic, real-time processing and visualization of information in multiple forms and from diverse, distributed sources. The project automates the selection, ranking, and correlation of relevant information for purpose-driven, decision making. In FY 2009, the project will initiate development the Generalized Data Driven Analysis and Integration (GDDAI) system for the ICE Office of Investigations, the Scalable Exploration of Network Flows for the U.S. Computer Emergency Readiness Team (US-CERT) and the Sea, Lake, Overland Surge for Hurricanes (SLOSH) system for FEMA. In FY 2010, this project plans to develop an ICE Office of Investigations’ infrastructure capable of supporting enterprise-wide data fusion and web-based visualization of queries across data cubes and GIS systems. The project plans to roll out handheld access to the field as well as anomaly detection, and offer cube-to-link analysis integration to ICE. CCI will evaluate these handhelds and wireless federated query applications in integrated Federal/State/Local law enforcement information sharing environments in FY 2010. In addition, the project plans to interconnect fragmented regional systems using existing public safety network infrastructure and non-proprietary software components.

Network Identity Management – Develops a highly scalable architecture for managing user identities, rights, and authorities used within and external to an organization’s networks. The project will enable timely, complete evaluation of an individual’s status and eligibility for access – enhancing the security of DHS information sharing environments by improving authentication

for persons, hardware devices, and software applications. In FY 2009, this project will evaluate the Homeland Security Presidential Directive (HSPD)-12 Backend Attribute Exchange (BAE) Architecture, the proposed government-wide standard for exchanging user attributes, developed by the HSPD-12 Architecture Working Group. Currently, the BAE concept is a paper document, but DHS S&T is working with DOD to test this concept in a lab environment. In FY 2010, this project plans to conduct an operational test of the BAE to share information between FEMA state and local first responders and the United States Northern Command (NORTHCOM) in a secure and timely manner. S&T is working in partnership with the National Security Agency (NSA) to provide the research and development for their relevant missions and information sharing capability gaps. S&T is also working in conjunction with the DHS Office of the Chief Information Officer (OCIO) to collaborate on the enterprise roadmap on Identity and Access Management for the department.

Collaborative Information Sharing Program – FY 2009: \$9.133 million; FY 2010 estimate: \$7.854 million. The purpose of this program is to focus on the development and deployment of advanced technologies to support inter-organizational and multi-level dissemination of information and intelligence products. This includes:

- Pattern recognition and correlation technologies for creating broad threat awareness;
- Operational support capabilities for protecting infrastructure, guarding against threats, and providing relevant, actionable intelligence to operators;
- Strategic analysis capabilities to recognize, track, and accurately assess the significance of patterns and trends in suspicious activity reports; and
- Advanced encryption and redaction tools, digital rights management technologies, and automated destruction capabilities to increase the multi-level security of distributed products.

Threat Dissemination Standards Project – Disseminates intelligence products to State, local, and private sector security partners. In FY 2009, the project will conduct a pilot test to deploy the Critical Infrastructure Inspection Management System (CIIMS) to the Los Angeles Police Department (LAPD) ARCHANGEL program to be integrated into the patrol, assessment, prevention, response, and after action process of critical infrastructure protection. In FY 2010, the project plans to design specifications for sensor fusion standards, exchange protocols and conduct a pilot test to deploy CIIMS to the LAPD ARCHANGEL program for integration into the patrol, assessment, prevention, response, and after action process of critical infrastructure protection. The project will also design technology specifications for threat assessment and mitigation exchange standards. Starting in FY 2010, CIIMS plans to evolve to include capabilities that would enhance the prototype for a broader law enforcement community and on various platforms (e.g., cars, boats, locomotives, and on foot).

Multi-Level Information Dissemination Project – Provides secure inter-organizational and multi-level dissemination capabilities for its information and intelligence products to State, local, and private sector(s). In FY 2008, the project performed comparative scenario-based exercises to evaluate implementation of the Controlled Unclassified Information (CUI) framework. Beginning in FY 2009 and continuing into FY 2010, the project plans to assess and document requirements for external intelligence product dissemination and evaluate relevant multi-level security technologies. Also in FY 2010, the project plans to support CUI implementation and

rollout pilots for additional multi-level security technologies.

Suspicious Activity Reporting (SAR) Project – Assists with the technical development of a cross agency suspicious activity reporting tool/system to track, in real-time, all encounters with individuals on government watch lists, while protecting privacy. It will build and sustain a strategic analysis capability to recognize, track, and accurately assess the significance of patterns/trends in suspicious activity reports. In FY 2009, the project plans to initiate development of mission-based reports and requirements for improving each DHS component's SAR capabilities, including an integrated approach to SAR analytics based on best practices and knowledge of common analytic tools and techniques. In addition, it will demonstrate how to ingest, track, and analyze SAR. Also in FY 2009, the project will deliver a Capability Migration Roadmap that will outline how DHS components could deploy the SAR tool. In FY 2010, the project plans to perform technology assessments, system interface specifications, and software development for SAR. This work is fully coordinated with related efforts within the Department of Justice (DOJ).

Basic/Futures Research (BFR) Thrust/Program Area – FY 2009: \$4.536 million; FY 2010 estimate: \$4.744 million. Addresses the increasing difficulties associated with discovering, processing, analyzing and synthesizing, understanding, securing, and communicating information. Customers and partners include the various first responder, law enforcement, public safety, and public health officials and organizations throughout the Federal, State, local, and tribal homeland security community. For this diverse group, receiving real-time, accurate information is critical to effectively anticipate threats; prepare for, prevent, and respond to natural disasters and terrorist incidents or threats; quickly and efficiently recover from such incidents; and restore our nation's critical infrastructures. The BFR thrust promotes an effective homeland security risk management process based on comprehensive, real-time situational awareness and informed decision-making. The programs will accelerate the development of automated knowledge management capabilities to help identify and analyze potential national threats, strengthen communications interoperability, improve the security and integrity of our nation's cyber infrastructure and the internet, and apply integrated, network- and database-aware sensors and investigative tools.

Visual Analytics, Precision Information Environments (VAPIE – formerly, Visual Analytics and Physics-based Simulation Research) Project - Visual analytics refers to techniques and technologies that enable the broad spectrum of homeland security stakeholders to access, organize, analyze and synthesize, communicate, and disseminate the massive, diverse, distributed, and diffuse information required. Starting in FY 2009 and proceeding into the future, this project will shift focus from analytical reasoning and information synthesis to the creation of environments, all based on a common hardware and software architecture, that can be specifically tailored for the precise needs of the diverse CCI user set. This project works to create Precision Information Environments (PIEs) that are tailored for diverse users in a broad range of situations. Such environments, when available to the myriad local, tribal, state, and Federal organizations or individuals engaged in homeland security, are critical to accurately understanding threats, quickly assessing consequences, proactively determining responses, and then establishing effective remediation activities.

In FY 2008, the program delivered algorithms and capabilities for research evaluation; designed and installed a simple, first-level data analysis and visualization capability at the Port Authority of New York and New Jersey (PANYNJ); developed enhancements for a common knowledge management architecture, which included interactive full-text analytical visualization capabilities for large document sets; and established a joint 5-year DHS-NSF Visualization Research Program. In FY 2009, the project plans to develop a multi-modal common visual analytics framework; demonstrate a lightweight Scalable Reasoning System (SRS) for Visual Analysis at the San Diego Automated Regional Justice Information System (ARJIS); and pilot a full visual analytics suite tailored for its CompStat (Computer Statistics) system at the PANYNJ. In addition, the program plans to integrate into the new CCI Center of Excellence (COE) with the National Visualization and Analytics Center (NVAC) and expand the NVAC Industry Consortium to 35 members.

In FY 2010, the program plans to design and demonstrate a combined PANYNJ CompStat and ARJIS SRS capability in both locations; complete integration of the CCI CoE with the DHS-NSF Foundations of Data and Visual Analytics (FODAVA) research activity; and demonstrate a limited, metropolitan-scale precision information environment for San Diego and Seattle. In addition, program efforts plans to support the 2010 Olympics by implementing a Common Operation Picture and a Visual Analytics Center and will establish a basic Science-Industry-Funding Transfer framework (SIFT) for moving research products to Federal, State, and local applications.

Discrete-Element Computing, Privacy and Forensics (formerly data-Intensive Computing, Privacy, and Forensics) Project - As a complement to visually based techniques for interacting with large, diffuse data sets or information sources, CCI is developing specialized technologies and techniques for accessing, managing, and processing multiple data types, modes, and structures. These include structured information in databases as well as unstructured text in documents and messages, images, video, audio, sensor data, and instrumentation, among other information sources. To be most effective and useful, these techniques must operate in real-time on dynamic, streaming data and include networked sensor or surveillance data. In addition, they allow privacy, computer and network security, and forensics attributes to be directly incorporated into the software algorithms being implemented for accessing, managing, and disseminating or sharing information, rather than being added as special privacy or security layers operating on top of the processing algorithms.

In FY 2009, the project will test mathematical parameters for discrete-element computing, creating the discrete computing software architecture, and demonstrating a discrete computing/visual analytics integration system based on hypothesis-driven analysis. In FY 2010, the project plans to design and create the discrete-element computing hardware architecture, demonstrate a discrete element framework for synthetic simulation environments, and pilot discrete-based techniques for incorporating information privacy and security.

Collaboration Project (formerly included within above efforts) –In FY 2008, the S&T Directorate and CCI created formal links, through a Memorandum of Understanding (MOU) and a CCI-specific Cooperative Activity Agreement, respectively, with the National Science Foundation and the Canadian Government (Defence Research and Development Canada).

Further collaborations with Germany, of the European Union (EU), and the CIA and Department of Defense (DOD) within the United States are beginning in FY 2009. Plans for FY 2010 involve expansion of those joint programs, to include machine learning (NSF FODAVA); visual analytics based cyber security techniques (EU), cognitive science for visual analytics (Canadian VAC), and large-scale database visualization (Germany).

Reconnaissance, Surveillance, & Investigative Technologies (RSIT) Thrust Area –

The RSIT thrust area develops advanced integrated tools for law enforcement agencies within the DHS and other Federal, state, and local agencies. The programs focus on reducing the time required for forensic analysis; creating new capabilities for examiners to evaluate evidence; strengthening national security by deterring terrorist and criminal activity; and effectively prosecuting criminals and terrorists. CCI will develop pilots with State/Local Law Enforcement to provide technology-based solutions to challenges faced by State and local Law Enforcement agencies. The thrust area will address the full spectrum of crimes investigated by Law Enforcement organizations with a focus on the following program areas:

Law Enforcement Support Systems (LESS) Program - FY 2009: \$0.000 million; FY 2010 estimate: \$0.500 million. Develops advanced integrated tools to enable the collection and display of information to support the requirements of the law enforcement community. Projects developed through this program will provide standards and advanced analytical tools for the analysis of audio and video evidence. In addition, this program develops integrated sensor support, collection, display, and transmission of information for situational awareness by officers in the field or at a command center.

RealEyes Project – Tests the operational effectiveness and efficiency of streaming video for first-responder and law enforcement applications. RealEyes is a prototype software system that enables first responders and law enforcement officials equipped with Personal Digital Assistants (PDAs) to send and receive live video and geospatial coordinates; view video from fixed or mobile cameras; and receive data (video, photos and text) from a field command post using basic cellular technology. In FY 2010, the project plans to focus on testing the system’s applicability for state and local law enforcement applications.

Sensor Web Project – The project develops intelligent sensor webs for law enforcement applications and emergency response. In FY 2010, the project plans to focus on the development of robust, low cost, easily deployed sensor platforms that may be deployed to detect and track intruders; identify threats (such as carrying weapon, crawling, or loading/unloading trucks); provide information on emergency situations (such as the location of fire, smoke and occupants in a building); and increase situational awareness

Forensic Analysis Tools Program- FY 2009: \$0.000 million; FY 2010 estimate: \$0.600 million. Develops and demonstrates advanced investigative and crime-scene forensic technologies to analyze evidence. Efforts in this area will introduce new capabilities in the examination and characterization of forensic evidence, which will reduce analysis time from days to hours. This program will develop advanced forensic document, fingerprint, simulation, and situational awareness technologies. The program will also develop Personal Electronic Device (PED)

analysis; global positioning system (GPS) device analysis; first responder field kit development; and information sharing clearinghouse.

Searchable Toners and Printing Inks Library (STPIL) Project – STPIL will create a searchable library for toners, inkjet ink, and printing ink (impact and non-impact). STPIL will fully characterize print media (i.e., toners and printing inks) from both fraudulent documents and corresponding genuine exemplars and create a searchable library of printing media to compare questioned documents with genuine specimens based on their respective analytical chemical and morphological profiles. In FY 2010, the project plans to determine the most appropriate equipment for characterization of ink categories and document current best-practices in print media recognition.

GPS Forensics Project – Develops a universal tool for forensic analysis of GPS devices seized during criminal and terrorist investigations. In FY 2010, the project plans to build upon research completed in the previous first year of development and continue to make progress toward the development of a universal GPS device analysis tool.

First Responder Field Kit Project – Develops an easy-to-use tool for non-technical law enforcement officers investigating cyber forensic crimes in the field. In FY 2010, project plans to research and develop a universal device to aid law enforcement officers in the quick investigation and extraction of evidence from computers and other devices captured or involved in an active criminal or terrorist investigation.

Tagging, Tracking, and Locating Technologies Program- FY 2009: \$0.000 million; FY 2010 estimate: \$0.400 million. Develops tagging, tracking, and locating devices for the law enforcement community. The program focuses on cell phone and portable device tracking, beacons, illuminators, marking material, and electronic devices. Technologies developed in this area will expand the ability of federal, state, and local law enforcement components to efficiently monitor and capture criminal and terrorist suspects.

Wireless Tracker Project – Provides advanced tools to four Federal and more than sixty State and local law enforcement agencies. Technology developed earlier in this program enabled numerous arrests in high profile cases. In FY 2010, the project plans to expand the capabilities of current direction-finding equipment adapted to the changing cellular landscape.

Emergent Threat Assessment Thrust Area – Provides components of DHS, the Intelligence Community and other government agencies programmatic and technical expertise in emerging threats, risk sciences, intelligence, surveillance, and reconnaissance (ISR) and other areas applicable to homeland security that may be especially sensitive, classified or requiring of extraordinary security protection.

Emerging Threats Program – FY 2009: \$3.900 million; FY 2010 estimate: \$1.836 million. Determines potential emerging threats through commissioned and interagency threat assessments; through the expertise brought by the customers in the Integrated Product Team (IPT) process; and through an assessment of existing counter-measure availability and

capabilities. Individual activities under the project areas including deliverables, technology capabilities, customer, performer, and/or overall program focus may be classified.

Identification and Assessment Project – Anticipates and defines potential threats emerging from new scientific and technological advances, and evaluating terrorists' innovative or novel use of existing technologies. In FY 2008, the project initiated research and documentation of international communities' thoughts and response procedures in dealing with emerging and persistent infectious diseases. In FY 2009, the project will support a Center for Strategic and International Studies (CSIS) which will examine the affects of Israel's use of journalists in simulations and training exercises to mitigate society-wide, psycho-social affects of terrorist attacks; and to assess India's emergency response plan for nuclear and radiation effects following a nuclear detonation. The Intelligence Based Threat Assessment project scheduled for FY 2009 plans to examine the innovative use of technology from the terrorists' perspective. Also in FY 2009, the project will initiate a study to examine the potential homeland threats and vulnerabilities associated with the emerging U.S. hydrogen fuel cell infrastructure in support of the nation's energy requirements. The study will include counter-measure recommendations to discover the problem areas and policy implementation recommendations to support the findings. In FY 2010, the project plans to complete the threat assessment of hydrogen fuel cells; provide up to two threat assessments on over-the-horizon technologies and harmful innovative uses of that technology; and provide science and technology intelligence based threat assessments to the 12 functional area DHS S&T IPTs.

Countermeasures Development Project – Addresses the dynamic nature of emerging threats previously identified through threat assessments of new technology. The project focuses on identifying capabilities to counter emergent threats for which countermeasures capabilities do not yet exist. In FY 2009, Countermeasures Development will complete project SWITCHBLADE to include an operational prototype and design package. The SWITCHBLADE system will provide the capability to identify/detect a wide range of undeclared electronics, both on and off. In FY 2010, the project plans to identify and continue countermeasure development needs based on FY 2009 and other pertinent science and technology threat assessments.

Future Capabilities Research and Development – Supports activities that include research collaboration with external agencies and international partners. In FY 2008, the project transitioned a holographic imaging device that will enable key stakeholders to identify hidden threats within concrete surfaces. In FY 2009, the future capabilities research and development project transitioned a detection device to key stakeholders to enable detection of electronics in the power on and/or power off mode. In FY 2010, the project plans to complete the development of a nanosensor detector in collaboration with outside agencies. The outcome will result in a library of nanosensors tuned to compounds of human odors with technology that uses Deoxyribonucleic acid (DNA)-coated carbon nanotube field-effect transistors as sensing elements. Also, in FY 2010, the project plans to continue working on the Detect and Identify Threatening Plant Pathogens activity that focuses on investigating the ability to detect and identify the presence of foreign plant pathogens that are potential threats to U.S. agriculture sector using high resolution satellite imagery to differentiate the presence of threatening plant pathogens from endemic pathogens that are present within crops. In addition, the project plans

to continue developing an UltraFast Sequencing Model that involves the development of a rapid, tagging-free, DNA sequencing technique using solid-state nanopores to analyze single DNA and Ribonucleic acid (RNA) molecules.

Intelligence, Surveillance, and Reconnaissance (ISR) Program/Project – FY 2009: \$0.000 million; FY 2010 estimate: \$1.377 million. Supports research activities to improve the collection and dissemination of intelligence information using satellites, radars, sensors, and unmanned platforms in support of DHS components and Northern Command. In FY 2009, the project will continue with an airspace modeling effort, which identified the multi-function possibilities of the surveillance system; to determine if the analysis to date is accurate and comprehensive; to ensure that the planning process to date has been appropriate; and to conduct a surveillance systems analysis. In addition, the project plans to perform systems analysis of DOD surveillance, information gathering, and decision-support technology investments to benefit the complex DHS needs in CBP Air and Marine and Coast Guard operations, protecting critical infrastructure, and integrating operations with other government agencies.

In FY 2010, the project plans to continue the GAP Filler effort, which the S&T Directorate initiated in FY 2009. The GAP Filler program is a collaborative effort with NORTHCOM. The project will leverage technological advances in sharing data across enterprises, bi-national and interagency, for shared situational awareness, to correlate and fuse data to enhance current architecture, and transition an improved capability as proven through a test-bed.

Risk Sciences Program – FY 2009: \$0.000 million; FY 2010 estimate: \$1.377 million. Fosters systematic, transparent, and goal-focused application of risk concepts and tools to better support strategic, operational, and tactical decision-makers across the national homeland security enterprise. In addition, this program enables for informed decision-making across government, and particularly in DHS.

Risk and Decision Support Project – Conducts R&D aimed at advancing the state of the art in the risk and decision support sciences (risk analysis, risk communications, performance metrics, etc.) helping those who hold primary responsibility for risk assessments and other risk-related functions (e.g., risk communications, evaluation of alternative courses of action, etc.) to conduct their work in a conceptually sound and analytically rigorous manner.

In FY 2009, the project will support the development of a risk-assessment methodology model using actual information from a transit security project. In FY 2009, the project will also produce a Risk and Intelligence Communities Integration Study and provide support to National Protection Programs Directorate (NPPD). In FY 2010, the project plans to continue improving risk practices in DHS with particular emphasis on improving both internal and external DHS risk communications practices.

Comparative Studies Project – Conducts research and analytic studies (e.g., historical, competitive strategies, net assessment, etc.) to examine the past and future evolution of the terrorist vs. security force competition over time. The objective is to generate information and insights useful to decision-makers in developing future strategies that will help avoid repetition of past mistakes and future “failures of imagination. In FY 2009, the project will deliver a report

on “Consequences of Worldwide Immigration.” In follow-on to another study “Reasons for Success and Failure of Terrorist Attacks,” the project will conduct a comparative study looking at the success and failure of on-the-ground security forces in U.S. and foreign settings. The project will also conduct a series of workshops and other activities examining the use of emerging consumer-oriented communications technologies in domestic emergency response scenarios. Additionally, the project will prepare a number of focused issue papers to support the Quadrennial Homeland Security Review and released the Proceedings of an earlier Homeland Security 2015 workshop, held jointly with Georgetown University and the Canadian R&D counterpart to DHS S&T. In FY 2010, the project plans to conduct at least one comparative study and/or net assessments as directed in support of the Office of Policy DHS.

PPA: EXPLOSIVES

	Perm Pos	FTE	Amount
2008 Actual			\$ 116,883
2009 Enacted			96,149
2010 Adjustments-to-Base			0
2010 Current Services			96,149
2010 Program Change			24,660
2010 Request			120,809
Total Change 2009-2010			24,660

The Science and Technology (S&T) Directorate requests \$120.809 million for Explosives, of this amount \$3.020 million supports the SBIR Program. The increase in FY 2010 includes \$10.000 million to support the High Throughput Air Cargo Program and \$5.000 million to address the high-priority mass-transit counter improvised explosive device (C-IED) gaps identified in the Transportation Security Integrated Product Team (IPT). These efforts support the President’s homeland security initiatives of safeguarding mass public transportation and improving airline security.

CURRENT SERVICES PROGRAM DESCRIPTION

The Explosives Division develops the technical capabilities to detect, interdict, and lessen the impact of non-nuclear explosives used in terrorist attacks against mass transit, civil aviation, and critical infrastructure. This includes passenger-, baggage-, and cargo-screening technologies; blast-resistant aircraft construction; and integrated protective systems for high-value facilities.

The Division’s primary Federal customers include the Transportation Security Administration (TSA), the U.S. Secret Service (USSS), the U.S. Coast Guard (USCG), and the Office of Bombing Prevention (OBP). Other end-users include federal, state, and local first responders and the aviation industry.

The Explosives Division carries out its activities through four thrust areas: Explosives Detection; Mitigation; Explosives Research; and C-IED.

Explosives Detection Thrust Area: Develops advanced technologies to detect explosive threats to the Nation’s aviation, rail, and ship transportation systems. Activities in this thrust area include: improving existing explosive detection methods; developing new detection methods for screening people, baggage, and cargo; and ensuring freedom-of-movement for people and commerce. The Explosives Detection Thrust Area includes the following programs: Cargo, Checked Baggage, Check Point, Homemade Explosives, and Manhattan II.

Cargo Program - FY 2009: \$3.450 million; FY 2010 estimate: \$13.450 million Develops the next generation of air cargo screening systems to mitigate the threat of explosives placed in air cargo containers based on Department of Homeland Security (DHS) customer identified capability gaps developed during S&T’s Capstone Integrated Product Team (IPT) process. The program will continue research, development, testing, and evaluation of the next generation of

air cargo screening systems that will enable the screening of 100 percent of air cargo, while reducing operating costs and achieving a low rate of false alarms. In addition, the program will work to optimize canine explosive detection performance to enable DHS canine user agencies such as TSA, Customs and Border Protection (CBP), USSS, and National Protection and Programs Directorate (NPPD) meet new threats and the increased demand for canine inspections. The program includes the following projects:

Air Cargo Project – Identifies and develops the next generation of air cargo screening systems to mitigate the threat of explosives placed in air cargo containers. Activities include developing technologies to enable 100 percent air cargo screening (including break-bulk screening) with reduced operational costs and a low false alarm rate. In FY 2008, the project continued research, development, test and evaluation (RDT&E) and developed technology to detect metallic IED components and disable intact IEDs in cargo. In FY 2009, the project delivered valid, reliable, and fair screener selection and qualification tests at technology readiness level (TRL) 6. In FY 2010, the project plans to deliver validated air cargo screener training based on procedures and equipment at TRL 6, as well as assess state-of-the-art commercial-off-the-shelf (COTS) and near COTS equipment to screen break-bulk, palletized, and containerized air cargo.

Additional requested funds support the High Throughput Air Cargo Screening Project, which will accelerate current efforts to develop effective and operationally acceptable technologies to detect explosive materials within a wide range of perishable and non-perishable commodities in break-bulk, palletized, and containerized configurations. This technology will protect commercial airliners, as well as the Nation's supply chain and economy. The technology will: reduce reliance on human screeners to detect artfully concealed threats; provide automated equipment to screen air cargo to increase throughput; reduce the government's oversight costs; reduce the costs of industry compliance to air-cargo screening regulations; and provide additional layers of security to enhance and verify air cargo supply-chain integrity. In FY 2010 with additional funding, the project plans to begin the development of human-operator inspection and resolution tools.

Canine Explosives Detection Project –Improves tools and techniques for and further understand canine explosives detection in the DHS operational mission space. The project has two main activities – (1) Canine Structure and Function and (2) Canine Training and Operational Enhancements.

Canine Structure and Function - Studies the canine olfactory system, genetic markers that can predict high-performance explosive-detection canines, and canine physiological limitations and strengths. In early FY 2009 the project completed a canine gait analysis mat and written protocols, which can be used to model canines with existing knee and hip problems. Also in FY 2009, researchers will complete computer and physical models of the canine nose that will measure airflow within the canine nasal cavity in order to better understand odorant deposition within a canine nose. At the end of FY 2009, the activity will determine the potential to develop a genetic test that can predict good olfaction ability in canines. Additionally the project will determine the feasibility of enhancing canine olfaction using zinc nano-particles to improve canine trace explosives detection. In FY 2010, the project plans to initiate a multi-year program to observe Department of Homeland Security (DHS) breeding programs to determine

Deoxyribonucleic acid (DNA) markers associated with desirable behavioral, physiological, and genetic traits of a successful explosives detection dog. Results will lead to the use of DNA markers for selection of breeding pairs and for selection of procured working dogs.

Canine Training and Operational Enhancements – Enhances canine training tools and implementation. In FY 2009, researchers will complete an analysis of high-priority homemade explosives (HME) formulations that lack canine training aids to identify unique chemical signatures that can be used as markers to develop low-cost, non-hazardous HME canine training aids. In late FY 2009, this activity will assess and field-test currently available HME canine training aids to determine the effectiveness of these aids against the actual explosive type in a TSA operational environment. Additionally in FY 2009, the activity will complete a systematic analysis of Remote Air Sampling for Canine Olfaction (RASCO) as deployed in the United Kingdom (UK) to determine the potential application of RASCO for screening U.S. air cargo. In late FY 2009, researchers will also complete a ruggedized canine vest with a suite of sensors to command and communicate with the canine remotely. In FY 2010, the activity plans to develop and transition low-cost, non-hazardous canine training aids for the highest priority HME threats identified by TSA.

Check Point Program - FY 2009: \$11.653 million; FY 2010 estimate: \$8.150 million. Develops advanced capabilities to detect explosives and concealed weapons (including homemade explosives) that could be detonated in passenger cabins or used in the hostile takeover of mass transit systems. The program is designing a next-generation checkpoint that will enable passengers to travel seamlessly from public areas to secure areas via a high-tech corridor that will automatically identify threats. The check point corridor will contain an integrated system of detectors (sensors, biometrics, radio frequency identification technologies) networked with command control operations to effectively meet TSA's requirements for automation, efficiency, and cost reduction. This program includes the following projects:

Automated Carry-On Detection Project – Develops advanced capabilities to detect explosives and concealed weapons, such as IEDs. This project also will introduce new standalone technologies or adjunct technologies, such as computed tomography (CT), to continue the improvement of detection performance and the detection of novel explosives. In FY 2009, the project will award a development contract for the detection of novel explosives in the next-generation checkpoint detection system. It completed certification for the detection of novel explosives in the new generation checkpoint system. In FY 2010, the project plans to develop visual search performance aids that reduce bag-search rates for faster checkpoint throughput.

Explosives Trace Detection Project – Develops advanced capabilities to detect explosives (including homemade explosives) through non-contact trace residue technologies. This project is developing the capability to perform trace detection without the use of swabs and is working to deliver a fully functional laboratory breadboard Portal for aerodynamic wake sampling to improve throughput by real-time sampling of a passenger's wake while he or she is walking through the portal. In FY 2009, the project completed a fully functional laboratory breadboard portal for aerodynamic wake sampling. In FY 2010, the project plans to conduct a demonstration of a bench-top non-contact trace detection system.

Next Generation Passenger Check Point Project – Develops the next-generation detection system to screen passengers for explosives at mass transit portals. This project investigates new emerging liquid- and gel-based explosive threats and includes them in a comprehensive detection system. In FY 2009, the project transitioned a dual-energy checkpoint detection system to identify potential threats based on atomic number, mass, and other physical characteristics to TSA. In FY 2009, the project will also collaborate with the Explosives Trace Detection Project to deliver a fully functional laboratory breadboard portal to improve passenger checkpoint throughput using real-time sampling of a passenger's wake while he or she walks through the portal (no stopping required). In FY 2010, the project plans to deliver a Whole Body Imager at technology readiness level (TRL) 7.

Homemade Explosives (HME) Program - FY 2009: \$7.000 million; FY 2010 estimate: \$5.300 million. Numerous attempted and executed terrorist attacks involving Homemade Explosives (HME) have led to an urgent operational need to detect HME. As a result, in 2004 DHS S&T stood up a rapid response team to address the HME Threat and established a program responsible for the identifying and detecting HME in the U.S. transportation infrastructure. The program consists of three main activities.

Homemade Explosives (HME) Project – Evaluates all potential technologies capable of detecting and distinguishing explosives and flammable liquids from benign liquids. The project includes: improving products and systems capable of detecting HME; supporting the research and development of next-generation, novel technologies, algorithms, or prototypes for the detection of HME; and addressing potential operational venues, including airport and mass-transit checkpoints for passengers and carry-on baggage (not including cargo or checked baggage). In FY 2008, the project completed COTS technology demonstrations and in FY 2009 is producing a final report for TSA. In FY 2009, the project will complete new technology test and evaluation and provide a report to TSA. Funding for this program will end in FY 2009.

Homemade Explosives Characterization Project – Determines the impact, friction, and electrostatic discharge sensitivities of HME threats. The project provides a better understanding of the potential damage of HME and their impact on aircraft. Further, this work assists the division in determining the necessary technologies to counter this threat. This data also facilitates the safe handling and storage of volatile materials that S&T Directorate researchers and their customers routinely use to develop explosive detection systems. In FY 2009, the project will conduct detonation assessment tests and publish the results. The project plans to continue to conduct these in assessments in FY 2010, as well as continue to conduct phenomenological testing of HME threats and address the prioritized list of HME formulas.

Homemade Explosives Stand Alone Detection Project - Identifies, evaluates and improves HME detection technologies and screening methods through the collection of raw data and images from explosives detection equipment from a wide variety of COTS Explosive Detection Systems (EDS), CT and x-ray diffraction equipment. This work helps TSA to determine how best to improve EDS performance through hardware and software (image processing) upgrades. In addition, the project evaluates COTS equipment in laboratories to determine detection limits, false-alarms rates, and documents unique HME properties for detection exploitation. The

characterization activity also provides raw and analyzed data from COTS tests in near real-time peer reviewed reports to TSA.

In FY 2009 the detection activity will achieve the following:

- Support the Broad Agency Announcement (BAA) for the test and evaluation of HME detection technology that meets TSA technical requirements for screening bottles and medical essential liquids
- Complete test and evaluation of COTS devices and deliver reports to TSA
- Examine HME material selection and its impact on HME safety testing processes at several laboratory locations to generate best practice approaches and determine the error associated with equipment and test method selection for different safety data tests
- Collect raw data and images from COTS EDS, CT and x-ray diffraction equipment and develop a draft data compendium to be shared with TSA and the explosives community

In FY 2010 the detection activity plans to:

- Continue to evaluate emerging COTS equipment and HME detection techniques in laboratories to determine detection limits, false alarms rates and document unique HME properties for detection exploitation
- Examine HME synthesis methods for HME safety testing processes at several laboratory locations to generate best practice approaches and determine the error associated with equipment and test method selection for different safety data tests
- Collect raw data and images from COTS EDS, CT and x-ray diffraction equipment and develop a definitive compendium for TSA and the explosives community
- Withstand damage from novel explosives of various weights placed at various locations in the passenger cabin and cargo hold through the use of modeling and simulation and through empirical field testing
- Determine technical data/information to serve as the scientific basis for detection technology certification standards

In FY 2010 the damage assessment activity plans to:

- Deliver a validated model for Boeing 737-800 that will be eventually used to model other aircraft in the current fleet
- Develop solid geometry models of the Airbus A-320 and validate models on numerous aircraft
- Continue to characterize aircraft ability to withstand damage from novel explosives of various weights placed at various locations in the passenger cabin and cargo hold.
- Conduct testing of flat and curved panels that are representative of an actual aircraft's structure (e.g. skin, frames, stringers, doors, etc.) against HME threats

In summary, the HME program helps TSA determine threat amounts that must be detected for various HME explosives threats. In turn, these threat amounts drive the detection performance, which must be the requirements for future EDS, CT and x-ray diffraction equipment acquisitions by TSA. Data from the HME program help vendors improve the performance of equipments and help the government determine "the best of the best" technologies to meet detection requirements for an ever expanding list of potential HME threats. The HME program must understand the threat, develop technology and screening methods, and evaluate COTS detection

technology that can minimize false alarms and improve HME detection probability with the end goal of distinguishing true HME threats from the many innocent gels and liquids.

Manhattan II Program - FY 2009: \$12.641 million; FY 2010 estimate: \$12.630 million
Drives commercial development of next-generation systems that will substantially improve performance and affordability for screening checked baggage. Test and evaluation of these systems will focus on probability of detection, number of false alarms, and throughput. The project also measures affordability of these systems by evaluating initial purchasing cost, operating costs, maintainability, and other elements of the full life-cycle costs. In FY 2009, the project will complete detection technology demonstrations and produce a final report for TSA. In FY 2010, the project plans to complete system performance analysis and metrics in coordination with TSA to develop a performance standard for future acquisition programs. The standard will link hardware and software development for future EDS.

Mitigation Thrust Area – Reduces the impact of undetected bombs that cannot be rendered safe through available means. This thrust area hardens conveyance against threats (e.g., blast-resistant cargo containers) to enhance the protection of high-value transportation targets.

Conveyance Protection Program - FY 2009: \$1.500 million; FY 2010 estimate: \$2.200 million
Assesses risks and mitigates the consequences of an intentional assault on air, surface, and maritime conveyances. The overall objectives of this program are to:

- Assess the vulnerability and survivability of commercial vehicles to high-energy explosives;
- Develop materials, technologies, and techniques to decrease vulnerability or improve survivability of commercial vehicles;
- Develop domain awareness systems and other information technology that help security organizations thwart intentional assault; and
- Develop information systems that allow first responders to react in the most effective way to terrorist attack, other intentional assault, natural disaster, or other catastrophes.

TSA, the aviation industry, and the traveling public are the primary customers for this program. Current program activities focus on aircraft hardening and preventing the catastrophic loss of passenger aircraft from explosives devices detonated in passenger cabins or cargo holds. Specific projects include:

Aircraft Vulnerability Tests Project – Assesses the vulnerability of narrow- and wide-body aircraft passenger cabins and cargo holds to explosives. These vulnerability assessments will analyze blast and damage effects of explosives and determine the minimum quantities of HME required to cause catastrophic damage to various aircraft types. The assessments will also identify the limits necessary for detection systems. In FY 2009, the project will deliver computational models to predict aircraft vulnerability to HME threats at various locations within the passenger cabins and cargo holds. In FY 2010, the project plans to test the full-scale effects of aircraft vulnerability on narrow-body overhead bins, wide-body and narrow-body window-belts, and wide-body and narrow-body lavatories.

Conveyance Protection Project – Enhances and broadens the investment in the Conveyance Protection Program, which focuses on aircraft hardening and the risk of catastrophic loss of passenger aircraft, resulting from various sizes of IEDs detonated in the passenger cabins or cargo holds. In FY 2008, the project continued assessments of aircraft vulnerability, focusing on narrow-body aircraft, and blast testing of fuselage liners. In FY 2009, the project will deliver computational models to predict aircraft vulnerability to HME threats at various locations within the passenger cabins and cargo holds. In FY 2010, the project plans to evaluate state-of-the-art mitigating technologies.

Explosives Research Thrust Area – Conducts basic research to support an integrated execution of the division’s responsibilities for explosive detection and mitigation to support future customer needs in the area of explosive detection with customer capability gaps identified by the Capstone IPT.

Explosives Research Program - FY 2009: \$8.423 million; FY 2010 estimate: \$8.717 million. Improves explosive-detection capabilities by performing multi-disciplinary research and development in imaging, particle physics, chemistry, and algorithms. Through this work, the program will develop enhanced detection capabilities and next-generation detection systems.

Algorithm and Analysis of Raw Images Project – Develops a non-proprietary database of explosive detection images provided to all detection program participants. Collects and consolidates images from commercial vendors and coordinates the purchase of additional images and data from CT, EDS, Trace, and new emerging devices to include novel explosives and other technologies. The evaluation of these images will help determine the causes of false alarms over many types of fielded and new scanning systems. In FY 2009, the project will complete preliminary research and data analysis to identify the potential application to customer capability gaps and detection programs. In FY 2010, the project plans to continue its research and image data analysis to produce a report that will help guide future development work.

Detection Technology and Material Science Project – Employs the latest advances in high-performance materials to enhance aircraft survivability in the event of an on-board blast. The project will study blast-resistant materials, develop, and implement advanced materials within aircraft to reduce the effects of an explosive detonation, including the attenuation of the explosive shock wave and containment of blast fragmentation (shrapnel). In FY 2009, the project will integrate promising materials technologies into products to improve protection of people, conveyances, and infrastructures. In FY 2010, the project plans to conduct assessments and complete testing to identify new materials that may have crossover potential for other transportation applications.

Fundamental Particle Physics Project – Researches phenomenology to improve technology to best exploit particle behavior and properties. This fundamental research can lead to the development of new sampling technologies and the enhancement of current technology. Advances in understanding particle behavior can potentially lead to the next generation of sampling technologies. In FY 2009, the project conducted preliminary data analysis in advanced signature and detection concepts. In FY 2010, the project plans to complete research and data analysis and produce a report to help identify technologies for potential customer transition.

Liquid and Homemade Explosives Chemical Characterization Project – Identifies and quantifies the physical and chemical properties of HME as part of an ongoing effort to counter this increased threat. This project will identify explosive properties including density, dielectric constant, chemical composition, molecular structure, and thermal decomposition rates of products. In FY 2009, the project will continue work based on prior-year analysis. In FY 2010, the project plans to complete data collection and analysis for a specific group of HME physical and chemical properties and provide the test results to the user community.

Counter IED Thrust Area – Develops technologies that will counter the threat of explosive attacks in our homeland in support of Homeland Security Presidential Directive (HSPD)-19 and its resulting National Strategy for Improvised Explosive Devices, which calls for “the detection of, protection against, and response to terrorist use of explosives in the United States.” The S&T Directorate has a balanced long-term basic research and technology development program to deliver critical Counter-IED technologies and products to address three major domestic threats: person-borne IEDs, vehicle-borne IEDs, and devices targeting valuable infrastructure. In addition to leveraging existing multi-agency Counter-IED investments from DOD, NPPD’s Office for Bombing Prevention, USSS, TSA, and CBP, C-IED has incorporated related projects from the Explosives, Human Factors, Infrastructure and Geophysical Divisions to advance efforts in this area.

Additional requested funds will enable the thrust area to support additional high-priority projects identified by DHS customers to address high-priority mass-transit C-IED gaps identified in the Transportation Security IPT.

The C-IED Thrust Area carries out its activities through five programs: Prevent/Deter; Predict; Detect; Respond/Defeat; and Mitigate Thrust areas and includes some crosscutting activities.

Prevent/Deter Program – FY 2009: \$3.310 million; FY 2010 estimate: \$2.800 million
Conducts social and behavioral science research to help the homeland security community identify groups and individuals who are moving towards conducting IED attacks and analyzes the efficacy of intent-focused prevention efforts. This program has one project, Actionable Indicators and Countermeasures, which addresses multiple aspects of IED prevention/deterrence.

Actionable Indicators and Countermeasures – Uncovers actionable indicators to aid the intelligence and law enforcement communities in identifying actors that pose significant IED threats and provides policymakers with scientifically tested strategies to prevent radicalization and IED attacks before they occur. This project will develop practical tools through the synthesis of state-of-the-art social and behavioral science databases, case studies, surveys, and fieldwork. It will also examine how social and behavioral science principles can support the development of counter-radicalization efforts and use advanced computational modeling, simulation, and visualization technologies to test scenarios and present findings of relevance to end-users. In FY 2009 the project will analyze trends and provide reports on support for Jihadi terrorism in the U.S., and characteristics of groups that use IEDs. In FY 2010, the project plans to identify characteristics that distinguish the rhetoric of violent and non-violent Jihadi groups.

Predict Program – FY 2009: \$4.608 million; FY 2010 estimate: \$6.250 million

Develops technologies to secure U.S. borders that will automatically identify, alert on, and track suspicious behaviors that precede a suicide bombing attack, as well as automatically identify and prioritize the risk of potential targets of attack. The program also develops technologies to rapidly and automatically identify potential IED targets and staging areas within the U.S. These capabilities will enhance the people-screening capability of DHS customers by reducing their reliance on subjective processes.

Predictive Screening Project – Develops technologies to automatically identify, alert authorities to, and track suspicious behaviors that precede suicide-bombing attacks. The S&T Directorate will test technologies at ports-of-entry, transit portals and special events. Operational benefits derived from predictive screening include increased probability of identifying suicide bombing behaviors before an attack occurs; significant expansion of active surveillance within a target environment; and increased deterrence of travelers carrying illegal weapons and false documents. In FY 2009, the project will use knowledge elicitation, an interviewing technique, with eyewitnesses and operation experts and begin operational experiments. In FY 2010, the project plans to conduct operational testing of semi-automated tracking of designated suspicious behavior.

Risk Prediction Project – Develops technology to rapidly and automatically identify potential IED targets and staging areas within the U.S. This project will leverage existing geo-behavioral pattern discovery algorithms from overseas attacks and the understanding of domestic infrastructure, terrorist tactics, and demographic data to identify U.S. vulnerabilities. In FY 2009, the project will develop multi-cultural data sets related to IED use and begin operational tests at customer sites. In FY 2010, the project plans to deliver a final test and evaluation report benchmarking the performance characteristics of existing technologies and deliver an interim architecture for integrated geospatial, social, and anomaly detection technologies.

Detect Program – FY 2009: \$28.891 million; FY 2010 estimate: \$45.912 million
Conducts research on underlying science for advanced approaches to IED and explosive detection and develops advanced technologies to detect explosive threats to the Nation's aviation, rail, and ship transportation systems. Activities in this program will:

- Improve existing explosive detection methods;
- Develop new detection methods for screening people, baggage and cargo; and
- Ensure freedom of movement for people and commerce.

This program includes funding for both basic research and transition. It supports projects that address four specific aspects of IED detection: Person-Borne Improvised Explosive Device Detection (PBIED), Technology Demo/System Integration, Vehicle-Borne Improvised Explosive Device Detection (VBIED), and Standards.

Person-Borne Improvised Explosive Devices (PBIED) Detection Project (formerly Suicide Bomber Improvised Explosive Device Detection) – Investigates technologies capable of detecting all types of explosive threats such as homemade, commercial and military explosives. In FY 2008, the project tested a prototype, backscatter x-ray portal at TRL 7. In FY 2009, the project will continue basic research efforts, including advancement of scientific understanding behind deposition, sampling, removal and trace detection of explosive particles on people and

packages; and the fundamental science behind explosive particle behavior for insight into sampling technology. The project will also expand contamination studies for non-intrusive sampling and detection of explosive residues, algorithm development for fusing multiple detection technologies, and investigate increased automation for PBIED detection. In FY 2010, the project plans to develop prototypes of standalone detection technologies using spectroscopic technologies and demonstrate a laser system as part of a project for broad bandwidth dynamic control.

Additional funding requested in FY 2010 under PBIED will enable the project to support additional high-priority projects identified by DHS customers to address high-priority mass-transit C-IED gaps identified in the Transportation Security IPT.

Technology Demo/System Integration Project – Consolidates work with first responders, State and local public safety officials, and Federal DHS officials to develop a comprehensive plan and venue for technology demonstrations. The project also leverages its partnerships to determine and validate system-integrated technologies to detect IEDs to improve system performance definition and integration. In FY 2009, the project will conduct a larger-scale technology field demonstration. In FY 2010, the project plans to conduct an annual technology field demonstration to detect explosives and explosive devices.

Vehicle-Borne Improvised Explosive Devices (VBIED) Detection Project – Develops technologies to detect or image the physical Improvised Explosives Device (IED) within a vehicle. The project also develops technologies to sample and detect explosive residues and components non-intrusively, and fuse multiple technologies to provide a level of automation for VBIED detection. This has the potential to speed screening and enable security screeners to concentrate on high-risk vehicles. In FY 2008, the project completed the assessment and demonstration of vibrometric- and neutron-based technologies to screen VBIEDs. In FY 2009, the project will conduct expanded basic contamination studies for sampling and trace detection of explosives residues from vehicles and develop methods to detect threat explosives for which no acceptable detection method currently exists. In FY 2010, the project plans to develop a prototype for screening moving vehicles remotely, as well as a prototype of standalone spectroscopic technologies to detect both explosives and explosive device components for the standoff detection of VBIEDs.

Respond/Defeat Program – FY 2009: \$3.217 million; FY 2010 estimate: \$4.077 million
Develops technologies and associated tactics and procedures for bomb squads and other first responders to improve their effectiveness and increase safety in dealing with Improvised Explosive Devices (IEDs). Beginning in FY 2010, the program plans to conduct research and systems development of products to increase the operational capabilities of the State and local bomb squads to defeat and mitigate IEDs. The research will focus on basic understanding of IEDs to guide development of technologies that would deliver advanced tools and technologies to access, diagnose, and render safe IEDs.

In collaboration with Federal, state, and local agencies, the S&T Directorate identifies, validates, and prioritizes requirements through an on-going generation and prioritization process. The program consists of the following projects:

Defeat Project- Conducts R&D to better respond to and defeat explosive threats. The non-explosive defeat tools develop technology to non-explosively defeat IEDs without activating them, causing detonation and collateral damage. In FY 2009, the project will begin characterization of the response of VBIEDs to various disruption techniques to quantify the requirements for disruption tool effectiveness. In FY 2010, the project plans to continue disruption tool characterization using overpressure techniques and to develop a system capable of penetrating a simulated vehicle wall without initiating reactive material. Also in FY 2010, this project plans to develop standoff technologies that place the bomb technician outside the blast zone of an explosive device. This system will provide remote access to VBIEDs with minimal disturbance or impact. Additionally, in FY 2010, this project plans to develop technologies to enable public-safety bomb-squad technicians and divers to disrupt and defeat waterborne IEDs including devices attached to port infrastructure and small craft used as explosive devices.

Electronic Countermeasures (ECM) Project – Improves the technology used to counter Radio-Controlled Improvised Explosive Devices (RCIED), by providing a secure and safe radius of operations. In FY 2010, the project plans to improve and enhance current State and local capability by developing enhanced waveforms and jamming algorithms (load sets) that can effectively address the challenges defined by the Domestic RCIED Threat List; Optimizing the selected wave form; and Testing and validating operational load sets for use in current ECM systems; examining the potential improvements based on antenna, amplifier, receiver and signal processing technologies. In addition, the project plans to provide an evaluation of COTS ECM systems to identify potential systems that may support future U.S. domestic ECM requirements.

Render Safe /Diagnostics Project – Increases standoff capabilities, reduces collateral damage, and provides precision disruption and disablement capabilities and techniques. In FY 2008, the project transitioned a proof-of-concept study for a non-explosive IED defeat tool. In FY 2009, the project will deliver a complete IED tool characterization guide to aid bomb technicians in the tactical decision making process for disabling the threat device. Also in FY 2009, the project will develop technologies for precision disruption, aiming and ranging systems to disable and render safe IEDs and to assist bomb squads in accessing and analyzing improvised terrorist devices. In FY 2010, the project plans to transition a decision support tool, for tactical decision making in disabling the threat.

Outreach Project – Coordinates requirements from user communities, first responders, public safety officials, and various Federal organizations. The project includes requirements development, vetting and coordination, as well as coordinating Test and Evaluation Master Plans. In FY 2008, FY 2009, and FY 2010, the S&T Directorate plans to conduct an annual outreach meeting with first responders and other customers to further develop requirements for technology advancements.

Mitigate Program – FY 2009: \$7.491 million; FY 2010 estimate: \$7.491 million
Reduces the effects of undetected bombs that cannot be rendered safe through practical and available means. This program includes the protection of high-value or prominent buildings and infrastructure, as well as addressing methods to help communities prepare for and recover from IED

attacks. The program area contains the following projects: Blast-resistant Materials, Bridge Vulnerability, Enhanced Blast in Urban Canyons, Blast Analysis of Complex Structures, Stabilization of Damaged Structures, Active Blast Protection and Community Resilience.

Blast-resistant materials - Develops proof-of-concept material technologies to mitigate the explosive and damaging force from an IED. This project includes basic research studies on advanced blast-resistant materials with properties that provide added protection to high-value structures that are likely targets of IED attacks, including new materials and deflecting structures that reduce damage to critical infrastructure and/or personnel. In FY 2008, the project identified potential mitigation opportunities and formulated a technology development plan. In FY 2009, the project will initiate material properties studies to understand blast resistance. Also in FY 2009, the project will perform experiments on materials to protect against high-velocity, kinetic energy, penetrator-type weapons. In FY 2010, the project plans to characterize new materials to define their critical blast-resistance properties.

Bridge Vulnerability – Develops an understanding of the vulnerabilities of different types of bridges. Provides more accurate vulnerability information for aging bridges and improves existing numerical models for failure of bridge components. The project is using the Waldo Hancock Bridge, a suspension bridge, completed in 1931 and now scheduled for demolition, for Homeland Security research on potential effects of an IED attack against a bridge. This effort is a partnership with Maine Department of Transportation (DOT) and the Federal Highway Administration. In FY 2008, the project conducted a series of nondestructive onsite experiments to measure simulated blast loading effects on the Waldo Hancock Bridge main cable. In FY 2009, the project will implement strategies for recovery of key components (sections of the bridge towers, cables, and suspenders) during the bridge demolition. In FY 2010, the project plans to complete recovery of bridge components and develop a plan for explosive testing with recovered components at an offsite location.

Enhanced Blast in Urban Canyons – Characterizes the effect of IED events in urban canyons, (i.e., city landscapes populated with tall buildings) and develops a high-quality database of blast overpressure measurements that can ultimately be used to refine numerical models to accurately predict the complicated reflection, diffraction, and diffusion of blast waves in these scenarios. Accurately characterizing the explosive air blast in an urban environment is critical for predicting casualties and building damage, developing structural retrofits and blast mitigation methods, and planning response operations. The S&T is collaborating with the Technology Support Working Group on this project. In FY 2009, the project will investigate instrumentation for large-scale blast testing with enhanced novel explosives, such as those containing aluminum particles, and develop a test plan. In FY 2010, the project plans to conduct a series of half- to full-scale explosive tests in a wide range of simulated urban environments.

Blast Analysis of Complex Structures - Develops computational tools to quickly calculate structural responses to a range of explosives. Provides methods for blast engineers to calculate blast loads in dense urban environments and perform calculations to estimate the relationship between an overcast sky and blast. In FY 2009, the project will perform nonlinear explicit dynamic finite element analyses on a variety of structural systems to determine response to blast loading in dense urban environments and potential for developing a progressive collapse. In

FY 2010, the project plans to conduct a detailed investigation of airblast interaction with novel curtain walls such as blast resistant glass and laminated glass in urban environments.

Stabilization of Damaged Structures – Develops a research agenda that will identify research priorities and gaps on building stabilization and investigates materials that might stabilize buildings after an IED attack. In FY 2009, the project will create a Technical Committee for the Stabilization of Buildings. In FY 2010, the project plans to create a research clearinghouse of available technologies to help stabilize buildings. Also in FY 2010, the project plans to conduct up to three product test simulations based on preliminary computer and small-scale lab evaluations of repaired structure elements.

Active Blast Protection –Researches materials that can be used in the protection of infrastructure and buildings in case of an IED attack. The project will develop new materials that enhance the performance of existing structures and buildings, making them increasingly more energy-efficient, environmentally friendly, and multi-hazard resistant, with self-healing and self-monitoring capabilities. In FY 2009, the project will issue a report on Advanced Materials and Counter-IEDs Effects. In FY 2010, the project plans to report on ultra-high-performance concrete (UHPC) materials.

Community Resilience Project – Conducts research into methodologies for effective hazard and risk communications to enhance the ability of local officials to convey understandable and credible warnings of IED activity to the public. This project will help local government and civic officials understand how to properly frame risk warnings and post-event instructions to the public in a manner that maximizes the public's understanding of the instructions and maintains public trust and confidence. In FY 2009, the project will issue a preliminary report detailing state of knowledge and recommended guidelines for government and civic officials for effective IED communications strategies. In FY 2010, the project plans to validate preliminary guidelines against historical events, experiential reasoning, and expert knowledge among authorities in terrorism, risk perception and communication, media communications, and public administration.

Crosscutting Program – FY 2009: \$1.561 million; FY 2010 estimate: \$1.187 million
Develops science and technologies that cross over more than one of the programs within the Counter-IED Thrust Area. The program currently addresses Community Perceptions of Counter-IED Technology.

Community Perceptions of Counter-IED Technology – Provides an improved understanding (through group and survey analysis) of public perception regarding IED countermeasures to design more acceptable and effective Counter IED methods. Focused panel workshops will help analyze community perceptions of C-IED strategies and technologies. Researchers will use qualitative workshop results to develop a broad-based, quantitative survey to capture community implications from a larger, more diverse population. The results will inform program managers and technology developers, resulting in more acceptable and effective Counter-IED methods. In FY 2010, the project plans to conduct and report on two Community Perceptions of Technology (CPT) panels.

PPA: HUMAN FACTORS

	Perm Pos	FTE	Amount
2008 Actual			\$13,889
2009 Enacted			12,460
2010 Adjustments-to-Base			0
2010 Current Services			12,460
2010 Program Change			2,627
2010 Request			15,087
Total Change 2009-2010			2,627

The Science and Technology (S&T) Directorate requests \$15.087 million for Human Factors, of this amount \$0.377 million supports the SBIR Program. The increase of \$2.627 million is to support increased research and development (R&D) efforts in Biometrics, Suspicious Behavior Detection and Human Systems Research and Engineering.

CURRENT SERVICES PROGRAM DESCRIPTION

The Human Factors/Behavioral Sciences Division applies social, behavioral and physical sciences to improve the detection, deterrence, analysis, and understanding of threats posed by individuals, groups, and radical movements. This division supports the preparedness, response, and recovery of communities impacted by catastrophic events and advances homeland security capabilities by integrating human factors into the development and deployment of homeland security technologies. The division also develops and tests biometrics-based technologies to identify known terrorists and criminals and prevent their movement into, out of, or within the United States while reducing delays of legitimate travelers.

The primary Federal customers include Customs and Border Protection (CBP), Federal Emergency Management Agency (FEMA), Immigration Customs Enforcement (ICE), Transportation Security Administration (TSA), U.S. Coast Guard (USCG), U.S. Citizenship and Immigration Services (USCIS), Office of Intelligence and Analysis (OIA) and U.S. Secret Service (USSS). End users include Federal, State, and local emergency management officials, first responders, and private sector infrastructure owners and operators.

Social Behavioral Threat Analysis Thrust Area – Improves the detection, analysis, and understanding of threats posed by individuals, groups, and radical movements using theory and data from the social and behavioral sciences. It also draws on and conducts research addressing the psychological, social, and economic impacts of catastrophic events to inform risk analyses, risk communications, community and individual preparedness, response, resiliency, and recovery efforts. Programs within this thrust area include Community Preparedness and Resilience; Motivation and Intent; and Suspicious Behavior Detection.

Community Preparedness and Resilience Program (formerly the Community Preparedness, Response, and Recovery Program) – FY 2009: \$0.725 million; FY 2010 estimate: \$1.200 million. Conducts analytical research to support the preparedness, response, and recovery of

communities impacted by catastrophic events. The program enhances the ability of the public and government to prepare for, respond to and recover from catastrophic events. The program includes the following projects: Enhancing Public Response and Community Resilience; Resilient Social Networks; Quantitative Psychosocial Impacts Index; and Muslim Community Integration.

Enhancing Public Response and Community Resilience Project – Identifies and measures public needs that were generated during hurricanes Katrina and Rita and makes empirically based recommendations about prioritizing and addressing such needs. The goal is to capture and communicate lessons learned to enhance Federal, State, local responses to future catastrophic events. In FY 2008, the project developed a unique database of more than 900,000 hurricane-related calls to the Texas 2-1-1 emergency response number. These will be coded and integrated with geospatial information systems (GIS) mapping to track needs of a population during a disaster. In FY 2009, the project will provide a report detailing temporal analysis of needs for shelter, food, and disaster relief as identified by callers into the Texas 2-1-1 System. In FY 2010, the project plans to provide a report detailing the geospatial analysis of needs for shelter, food, disaster relief, and other services. This will enable first responders/response planners to more accurately plan for resource requirements, evacuation strategies, and to anticipate needs for assistance during hurricanes and other catastrophic events.

Risk Perception, Public Trust and Communication Project – Identifies effective messaging strategies for public officials in order to provide more effective hazard and risk warnings and public service announcements during a catastrophic event. In FY 2008, the project analyzed exercise data from TOPOFF 4 to establish baselines to improve communications with the public during catastrophic events. In FY 2009, the project delivered a report summarizing conclusions from the exercise and providing recommendations for effective messaging strategies for public officials.

Resilient Social Networks – Examines the application of social network analysis to the identification and strengthening of social networks across public and private sector entities in local communities to improve collaboration, planning, response, and recovery. Starting in FY 2009, the National Research Council (NRC) will deliver a report on the state-of-the-art in social network analysis and its applicability to community resilience. In 2010, the NRC plans to complete a report highlighting research opportunities and methodologies to enhance public and private sector collaboration to strengthen community resilience against natural and man-made disasters.

Quantitative Psychosocial Impacts Index Project – Produces a quantitative index of the direct and indirect psychological, social and economic impacts of catastrophic events. A valid quantitative index will improve Department of Homeland Security (DHS) risk and cost assessments and will help DHS prioritize its preparedness, response and recovery activities. Drawing on social and behavioral science theory and data, starting in FY 2010 this project plans to begin construction of a sophisticated multivariate model to produce and validate the index.

Muslim Community Integration Project – Supports ethnographic research to examine the experiences of Muslims and non-Muslims in communities throughout the U.S. The project will

provide insights into the current state of Muslim communities, focusing on their role and status in America and on Muslim perceptions of American society. In FY 2009, the project will conduct a seminar on research findings to an audience that includes homeland security policymakers from inside and outside of DHS. In FY 2010, the project plans to deliver a book-length manuscript reporting on the integration of Muslim Americans into communities in the U.S. for policymakers, operational components, and academia.

Motivation and Intent (M&I) Program – FY 2009: \$3.028 million; FY 2010 estimate: \$2.015 million. Leverages social and behavioral science research, data and theory to understand the determinants and timing of terrorist conversions and terrorist intentions to engage in violence. Knowledge from this program informs analytical, operational, and policy concerns related to the terrorists and terrorist activities. The program plans to model likely scenarios for the rise, fall and activities of groups engaged in violence.

Violent Intent Modeling and Simulation (VIMS) (formerly known as Group Violent Intent Modeling) Project – Develops tools to assist analysts in determining whether radical groups are likely to engage in political violence. This project draws on social science theories and methods to build models and data retrieval systems that will allow analysts to better understand how behavioral, social, and organizational factors may contribute to and predict the emergence of violence. In FY 2008, the project completed VMIS 1.0, an integrated group-level analytical framework for the Office of Intelligence and Analysis. In FY 2009, researchers will meet with TSA representatives. Additionally in FY 2009, the project will carry out and report on work to further verify modeling capabilities, identify reliable data sources for the various VIMS components, and evaluate information extraction and content analysis tools for integration into VIMS. In FY 2010, the project plans to update VIMS 2.0, to increase user friendliness and better integrate social science theory and data into the analysis.

Suspicious Behavior Detection Program – FY 2009: \$4.417 million; FY 2010 estimate: \$6.365 million. Builds the capability to non-invasively detect suspicious behavior that indicates the intent to cause harm. This program's activities support DHS's operational screening and interviewing missions.

Hostile Intent Detection-Automated Prototype Project – Develops a real-time, non-invasive, multi-modal, and culturally independent, hostile-intent detection prototype to identify unknown or potential terrorists through an interactive process with 75 percent accuracy. In FY 2008, the project demonstrated near real-time intent detection. In FY 2009, the S&T Directorate will demonstrate real-time automated detection of hostile intent and transition expanded multi-cultural behavioral indicators of hostile intent. In FY 2010, the project plans to demonstrate multi-cultural, real-time intent detection.

Cross-Cultural Validation of SPOT Project (formerly Hostile Intent Detection—SPOT) – Provides cross-cultural validation of behavioral indicators employed by DHS's operational components to screen passengers at air, land, and maritime ports, including those contained within TSA's Screening Passenger by Observation Techniques (SPOT). This effort complements the automated prototype work and will support development of an enhanced capability to detect behavioral indicators of hostile intent at a distance. The project will integrate

these validated behavioral indicators into the screening concept of operations through each component's existing training program. In FY 2009, this project will establish protocols for collecting cross-cultural research data and will transition validated multi-cultural indicators of hostile intent. In FY 2010, the project plans to insert multi-cultural indicators into the Intent Training and Simulation project and demonstrate a mobile, collaborative collection and reporting tool.

Intent Training and Simulation Project (formerly Hostile and Intent Detection – Training and Simulation) – Develops a computer-based simulation to train behavior-based, standoff detection of hostile intent in support of screening and interviewing interactions at air, land, and maritime portals. It will leverage the interactive and observational behavioral indicators, as analyzed in the Hostile Intent Detection – Automated Prototype and Cross-Cultural Validation of SPOT projects, respectively. In FY 2009, the project will demonstrate and test a courseware prototype and transition a validated simulation product. In FY 2010, the project plans to transition validated cross-cultural upgrades to the classroom and simulation-based training.

Insider Threat Detection Project – Delivers improved tools to identify behavior patterns and characteristics before, during, and after employment that are associated with insider threats. Starting in FY 2009, this project will collaborate with other U.S. agencies and international partners to leverage their work and develop a greater capacity to deter and detect insider threats before substantial harm has been done. In FY 2009, the project will launch a market survey of existing insider countermeasure technologies and related behavior research, and develop a program plan to include addressing privacy and legal issues. In FY 2010, the project plans to assemble enabling data including research, training and testing sets; develop metrics to measure tools and provide linkages to standard threat measurements; and identify behavioral indicators. Ultimately, this project will pilot and transition the insider-threat detection tools to critical industrial bases and to Government agencies.

Personal Identification Systems Thrust Area (formerly part of the Human Systems Research and Engineering Thrust Area) – Develops an accurate, contactless, near real-time capability to identify known terrorists and criminals at U.S. checkpoints while speeding the unconstrained movement of legitimate travelers. In FY 2010, the S&T Directorate is separating the biometrics and credentialing programs from the Human Technology Integration Thrust Area to create this new thrust area.

Biometrics Program – FY 2009: \$2.600 million; FY 2010 estimate: \$2.800 million. Develops biometrics-based technologies to identify known terrorists and criminals and prevent their movement into and out of the U.S. through effective, interoperable multi-biometrics capabilities in diverse areas, such as border crossings, ports-of-entry, and visa application sites. Projects in this program are Multi-modal Biometrics and Mobile Biometrics System.

Multi-modal Biometrics Project (formerly Biometrics Project) – Delivers a department-wide capability to non-intrusively collect two or more biometrics (e.g., fingerprint, face image, and iris recognition) in less than 10 seconds at a 95% acquisition rate without impeding the movement of individuals. This project provides robust, standards-based, interoperable multi-modal biometric technologies to identify threat individuals accurately and rapidly. Technology developed under

this project will support entrance and exit solutions that US-VISIT will need to provide to the Office of Field Operations (OFO) within CBP. In FY 2008, the project initiated development of a multimodal biometrics test and evaluation (T&E) framework. In FY 2009, the project will award Phase II Small Business Innovation Research (SBIR) to develop a contactless multi-modal biometrics identification prototype and create a corresponding reference dataset. In FY 2010, in conjunction with the National Institute of Standards and Technology (NIST) and other Federal partners, the project plans to demonstrate and test biometric prototypes. The project will also analyze the performance of biometrics vendors against the T&E framework to ensure they meet design criteria important for the Department's screening of travel documents and the traveling public.

Mobile Biometrics System – Develops prototype component technologies that provide mobile biometrics screening capabilities for use at remote sites along U.S. borders, during disasters and terrorist incidents, at sea, and in other places where communication access is limited. The project will demonstrate mobile biometrics screening capabilities and technologies that meet the needs of DHS Operational users, but currently elude conventional or interim biometrics systems. To accomplish this, the S&T Directorate has partnered with US-VISIT and the USCG to identify and capture DHS user needs for Mobile Biometrics. In FY 2009, the project will continue its work developing Mobile Biometrics System functional requirements. In FY 2010, the project plans to begin to integrate the components into a Mobile Biometrics System prototype.

Credentialing Program (formerly part of the Biometrics Program) – FY 2009: \$0.800 million; FY 2010 estimate: \$0.400 million. Develops and demonstrates tamper-proof credentialing systems incorporating multi-modal biometric information that can be used across the entire DHS customer base. It will also develop and test an accurate, near real-time, contactless, biometrics-based card-and-reader system. Projects in this program are Credentialing and Commercial Data Sources.

Credentialing Project – Develops tamper-proof credentialing systems that incorporate biometric information; such as a biometrics-based card-and-reader system. Homeland Security Presidential Directive 12 (HSPD-12), *Policy for a Common Identification Standard for Federal Employees and Contractors* directed the use of this technology for DHS personnel. In FY 2008, the project developed a laboratory test and evaluation protocol for the Transportation Worker Identification Credential (TWIC) reader. In FY 2009, the project is funding the National Institute of Standards and Technology (NIST) to develop DHS-specific accreditation protocols, advocate for DHS positions on national and international standards groups, and analyze gaps and needs for development and revision of biometrics and credentialing standards. Funding for this project ends in FY 2009.

Commercial Data Sources Project – Assesses quantitatively the utility of commercial data sources to augment governmentally available information about people, foreign and domestic, being screened, investigated, or vetted by DHS. Commercial data sources may provide valuable corroborating information to ensure that an individual's identity and eligibility for a particular license, privilege, or status is correctly evaluated during screening conducted by USCIS, CBP, and TSA. Starting in FY 2009 the project will develop a project demonstration design. In FY 2010, the project plans to deliver a final report on the feasibility of Commercial Data Sources for

identity verification to the DHS Office of Screening Coordination and Operations, TSA, USCIS, and CBP.

Human Technology Integration Thrust Area (formerly the Human Systems Research and Engineering Thrust Area) – Improves the effectiveness of technologies by working independently and with the S&T Directorate divisions to incorporate the needs of all technology users, including the public, operators, and maintainers, into the research, design and development of technology from its inception. By promoting research, development, and deployment processes that incorporate the knowledge of human capabilities and limitations, one can increase levels of satisfaction and overall acceptance, mitigate program risks, reduce costs, and enhance system safety, efficiency and effectiveness. Sponsored projects aim not only to enhance the capacities of technology users but also to ensure public trust in technologies with due regard for civil rights and civil liberties.

Human Systems Research and Engineering Program (formerly Human Systems Optimization Program) – FY 2009: \$0.228 million; FY 2010 estimate: \$1.567 million. Incorporates human systems integration activities into the contracts, planning and execution of DHS research and technology development to ensure that human systems integration analysis, design and test activities are conducted throughout the system life cycle. This program also conducts research in Human Systems Integration to better understand the underlying cognitive, behavioral, and physiological processes that affect human performance. Projects supporting this program are Human Systems Engineering and Human Systems Research.

Human Systems Engineering Project (formerly Human Performance project) – Develops and defines requirements for systems and technologies, and methods and measures that can be used to evaluate the degree to which new and existing technologies addresses human performance needs. This project develops a human systems integration roadmap that will aid the S&T Directorate’s divisions and DHS’s constituent agencies to identify, develop, and apply technologies to enhance system design, system safety, operational efficiency, and total performance to best recruit, train, and retain DHS operational staff. Starting in FY 2009, the project will establish a DHS wide Human Systems Integration Community of Practice/ Working Group. In FY 2010, the project plans to validate and demonstrate the evaluation process.

Human Systems Research Project (formerly Human Performance Project) – Develops ways to use advanced technologies to maximize human performance in screening-related tasks and activities. This project explores brain-based sensor technology and how it can provide real-time cognitive state and operational performance feedback for customized training and personnel selection. Starting in FY 2009, the project will review existing brain-based sensor technologies to determine applicability and identify three candidate systems for further evaluation and development. In FY 2010, the project plans to deliver an initial system evaluation in a simulated training situation.

Technology Acceptance and Integration Program – FY 2009: \$0.350 million; FY 2010 estimate: \$0.350 million. Researches public perceptions of new technologies and processes to identify factors that have the potential to advance or impede technology deployment and to identify adjustments to technologies and processes that make them more effective in achieving

their intended purposes. This research generates knowledge that can drive process improvement and guide the development and deployment of technologies along paths most likely to meet with public use and acceptance.

Community Perceptions of Technology (CPT) Panel (formerly known as Community Acceptance of Technology (CAT) Panel) – Brings together representatives of industry, public interest, and community-oriented organizations to better understand and integrate community perspectives and concerns in the development, deployment, and public acceptance of technology. In FY 2008, the S&T Directorate participated in three panel meetings that focused on vehicle/vessel pursuit termination, standoff detection of explosives, and mobile biometrics. These meetings lead to a better understanding of the limitations, correct perceptions, and misperceptions of emerging homeland security technologies. In FY 2009 and FY 2010, the project plans to coordinate four meetings per year. In FY 2009, panels will focus on Acoustic Non-Linear Standoff Threat Detection and Radio frequency identification (RFID) vehicle registration and Low Resolution Imaging for improved Northern Border Security. These meetings continue to yield feedback to aid ongoing technology and process developments as well as strategies to accurately inform the public of new approaches to securing the homeland to better ensure acceptance of the technology within the affected communities.

Transportation Technology-Human Integration Program – FY 2009: \$0.000 million; FY 2010 estimate: \$0.000 million. Addresses integration of human-in-the-loop technology systems as used by transportation screeners.

Enhanced Screener-Technology Interface – Characterizes screener-performance issues, proposes new screener technologies and procedures, and develops training curricula to optimize security effectiveness and to reduce human fatigue and injury, while reducing training requirements and overall cost. Starting in FY 2008, this project built on existing data on screeners' perceptual and cognitive processes to develop a more helpful display for baggage screening sensors used at transportation checkpoints and to increase the acuity of screeners in evaluating the pictures they see. The project completed a pilot study of new training techniques for the X-ray visual search task. TSA will integrate the results into system upgrade designs. In FY 2008, funds will support work on this project continuing through early FY 2010. In FY 2009, a pilot test will be conducted on an attention focusing technique for increasing TSA screener hit rate. The project will also conduct Phase II of the "threat-discrimination" screener-training pilot for TSA and a field-test of new fatigue detection technology for X-ray screeners. In FY 2010, the project will create a motion x-ray prototype. Research indicates that these approaches could yield an increased detection rate of up to 30% with a reduction of false alarm rates of up to 15%.

Institute for Homeland Security Solutions – FY 2009: \$0.000 million; FY 2010 estimate: \$0.000 million. As directed by Congress, in FY 2008, the Human Factors Division funded the Institute for Homeland Security Solutions to conduct applied technological and social science research with universities, other Federal agencies, State and local security agencies and the private sector. The project is focusing on developing near-term technological solutions to practical, real world problems that have broad applications. In addition, this project addresses critical policy and operational implications of new technologies and will narrowly focus on

information analysis tools and policies, including anomaly detection. Funding was not requested in FY 2009 or FY 2010.

PPA: INFRASTRUCTURE AND GEOPHYSICAL DIVISION

	Perm Pos	FTE	Amount
2008 Actual			\$52,424
2009 Enacted			75,816
2010 Adjustments-to-Base			(38,000)
2010 Current Services			37,816
2010 Program Change			6,926
2010 Request			44,742
Total Change 2009-2010			(31,074)

The Science and Technology (S&T) Directorate requests \$44.742 million for the Infrastructure and Geophysical Division, of this amount \$1.119 million supports the SBIR Program. The \$6.926 million increase to current services supports planned intensification of development of 3D locators and physiological monitors for first responders. It also supports acceleration of research and development (R&D) on extremely strong, lightweight, resilient materials. Incorporation of these materials may lead to stronger panels and windows for buildings, liners to protect transportation tunnels, materials to protect bridge cables and towers, and unobtrusive strengthening measures for monuments.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Infrastructure and Geophysical Division’s mission is to improve the Nation’s preparedness for and response to natural and man-made threats through superior situational awareness, enhanced emergency response capabilities, and critical infrastructure protection. The Division develops technical solutions and reach-back capabilities to improve Federal, State, local, tribal, territorial, and private sector preparedness for and response to all-hazards events impacting the U.S. population and critical infrastructure. The Division also develops modeling, simulation, and analysis (MSA) capabilities for critical infrastructure and key resources (CIKR) applicable to communities, regions, and the Nation. These MSA capabilities examine interdependencies between sectors; determine how various scenarios will affect each sector; provide decision support tools to guide decision makers in identifying gaps and vulnerabilities; and develop predictive tools and methods to aid in preparing for and responding to various catastrophes. The primary Federal customers for the Infrastructure and Geophysical Division are the Department’s Office of Infrastructure Protection (IP), National Protection and Programs Directorate (NPPD), and the Federal Emergency Management Agency (FEMA), which represent end-users including first responders; Federal, State, and local emergency managers; and critical infrastructure owners and operators.

Successful transition of the technologies managed by this Division will improve Department of Homeland Security (DHS) components’ performance and support the Secretary’s goals of:

- Protecting the Nation from dangerous people;
- Protecting the Nation from dangerous goods;
- Protecting Critical Infrastructure;

- Building a nimble and responsive emergency response system; and
- Strengthening and unifying DHS operations and management.

The Infrastructure and Geophysical Division carries out its activities through three thrust areas: Critical Infrastructure Protection, Preparedness and Response, and Geophysical.

Critical Infrastructure Protection (CIP) Thrust Area – Conducts research and development (R&D) activities on the 18 Critical Infrastructure/Key Resource (CIKR) Sectors identified in the *National Infrastructure Protection Plan* (NIPP). This meets the requirements of IP in the NPPD, and requirements that the President set forth in Homeland Security Presidential Directive 7 (HSPD-7), *Critical Infrastructure Identification, Prioritization, and Protection*. The NIPP provides the overarching approach for integrating the nation’s many CIKR protection initiatives into a single national effort. The CIKR sectors identified by HSPD-7 and the NIPP are: Agriculture and Food; the Defense Industrial Base; Energy; Public Health and Healthcare; National Monuments and Icons; Banking and Finance; Drinking Water and Water Treatment Systems; Chemical; Commercial Facilities; Dams; Emergency Services; Commercial Nuclear Reactors, Materials, and Waste; Information Technology; Telecommunications; Postal and Shipping; Transportation Systems; Government Facilities; and Critical Manufacturing.

Protective Technologies (formerly Risk Reduction Technologies) Program – FY 2009: \$8.368 million; FY 2010 estimate: \$11.665 million. Conducts research on sector-specific and region-specific needs as identified by IP or as requested from CIKR Sectors and Sector Specific Agencies (SSAs), as designated by HSPD-7 and the NIPP. The primary customer for these technologies is IP, although end-users may include the SSAs, State and local governments, and in some cases the private sector. The program is developing revolutionary capabilities to protect the nation’s most vital critical infrastructure targets primarily against blast loads and blast effects such as shrapnel, flying debris fragments, and fire. The goal is to enable infrastructure owners and operators to implement effective, affordable, and reliable materials, design procedures, and innovative construction methods to reduce the risk to critical infrastructure assets. The following projects support this program.

Blast/Projectile - Advanced Materials Design Project – Conducts basic research in conjunction with existing Federal investments in nanotechnology and other material-science efforts to develop extremely strong, lightweight, resilient materials. These advanced materials, design procedures for their use, and innovative construction methods will enable more effective and affordable hardening and increase the resiliency of assets deemed most vital to the safety, economy, and security of the Nation, for both existing infrastructure and new construction. In FY 2009, this project will identify/survey existing materials to consider: the appropriate scale of materials; and the appropriate types of numerical analysis codes needed to model these materials at the molecular level. The S&T Directorate will assemble a team of experts from universities, private industry, national and government laboratories, and international experts, to formulate the project plan; and begin first-year modeling and testing efforts for the new materials. In FY 2010, the project plans to report on the advanced materials in critical infrastructure protection. Additionally, the project plans to accelerate efforts to identify novel materials for a wide variety of blast protection applications in FY 2010. The project will also continue numerical modeling

of material properties and begin development of materials to meet requirements for blast resistance.

Blast/Projectile - Protective Measures and Design Tools Project – Builds upon the basic research conducted through FY 2008. The program will provide enhanced and additional protective measures along with design guidance for protecting the Nation’s most critical infrastructure assets. Protective measures could include mechanisms to reduce blast effects, rapid mitigation and restoration technologies, and other defensive measures. In addition, the project plans to numerically analyze designs against blast and projectile threats and to conduct physical demonstrations to assess their effectiveness. This work will seek to mature and expand existing protective measures by making them less expensive, easier to apply, and more effective, and will develop entirely new materials and design concepts for additional classes of infrastructure. In FY 2009, the project will (1) evaluate and mature protective measures for tunnels, including those initiated in the basic research project; (2) begin development of protective measures for additional classes of vital critical infrastructure such as bridges, dams, and other classes of CIKR identified by IP. Additionally in FY 2009, the project will demonstrate and conduct field experiments of the existing and new prototype protection measures for tunnels and bridges. In FY 2010, the project plans to continue to develop and conduct demonstrations of protective measures and create design guidance for blast protection of high-value assets.

Blast/Projectile - Unified Blast Analysis Tool Project – Develops computational models to assess vulnerability to blast and projectiles and evaluate design of protective measures for key infrastructure assets. The project will establish a suite of tools that provides accurate, efficient analysis and models of diverse classes of infrastructure to include tunnels, bridges, dams, and complex urban environments. These tools will enable infrastructure owners and operators to efficiently analyze vulnerabilities and inform implementation of affordable, reliable protective measures against blast and projectile threats. In FY 2009, the project will begin development of computational models for blast effects on tunnels, bridges, dams, and urban environments, and to conduct experiments to validate the numerical predictions. In FY 2010, the project plans to continue developing the computational models initiated in FY 2009 and demonstrate a first-generation, fast-running blast analysis tool.

Modeling, Simulation, and Analysis Program – FY 2009: \$2.731 million; FY 2010 estimate: \$3.260 million. Develops modeling, simulation, and analysis (MSA) capabilities that can improve the ability of decision makers to evaluate threats to CIKR and changes to risks including interdependencies. This capability will help public service and private industry policy and decision makers, owners/operators, planners and responders to understand the consequences of policy and investment options before enacting solutions, and to provide support during crises. The program will enable:

- Rapid examination of interdependencies;
- Trade-offs between risk reduction benefits and protective action costs;
- Incorporation of threat information;
- Vulnerability assessments; and
- Understandings of disruption consequences (including cascading effects).

Complex Event Modeling, Simulation, and Analysis (formerly the Real-time Decision Support Tool) Project – Activities will focus on interdependencies, cascading effects, and the dynamics of multi-event and multi-vector attacks. This effort will provide significant improvements in timelines, quality, and usability of information to provide decision makers up-to-date information to make informed decisions during an event. The program will leverage the capabilities developed for Critical Infrastructure Protection Decision Support System (CIPDSS) and sector-specific MSA. In FY 2009, the program will continue the development of CEMSA, based on the architecture design started in FY 2008, and include updated databases, as well as focus on the systems-level design and interfaces of the technology. In FY 2010, the project plans to conduct proof of concept and feasibility of the critical infrastructure protection analytical capability.

The National Critical Infrastructure Protection R&D Plan Program – FY 2009: \$11.359 million; FY 2010 estimate: \$0.640 million. The S&T Directorate prepares an annual update to the *National Critical Infrastructure Protection Research and Development Plan* (NCIP R&D Plan), as required by HSPD-7. This plan supports the implementation of the *National Infrastructure Protection Plan* (NIPP), and by corollary, the supporting Sector Specific Plans (SSPs), the Sector Annual Reports and the National Annual Report (NAR) in collaboration with IP. The NIPP, the SSPs, the NAR, and the NCIP R&D Plan integrate near-term (i.e. NIPP), mid-term (i.e., SSPs), and long-term (i.e. NCIP R&D) research objectives to form a coordinated approach to technology development to meet sector infrastructure protection goals and work toward a national vision of a secure homeland. In FY 2008, the program updated the plan to reflect improvements on baseline information established in previous years. In FY 2009 and FY 2010, the program plans to update the plan based on advances in technology. All these activities will be closely coordinated with the NPPD, the SSAs (as designated by HSPD-7), private industry through the NIPP Coordinating Council System, and all other agencies involved in funding R&D relevant to CIP, including international technical collaboration through the agreements established by the S&T Directorate.

Advanced Surveillance and Detection Systems Program – FY 2009: \$3.986 million; FY 2010 estimate: \$5.484 million. Conducts R&D on the surveillance of the 18 CIKR sectors identified in the NIPP and HSPD-7. The program will address IP requirements by automating and increasing the fidelity of tasks currently performed by operators, allowing for detection of subtle changes against a background environment, and incorporating advanced sensors, such as optical, infrared, ultraviolet, and acoustic. The program provides advanced, automated, affordable technologies for monitoring, surveillance, and detection that improve the ability of infrastructure owners and operators to monitor their infrastructure assets efficiently and effectively. The project may also integrate affordable, effective chemical and biological detection equipment into critical infrastructure as appropriate.

Advanced Surveillance Systems Project – Develops advanced surveillance technologies for critical infrastructure to detect intrusion, casing, and other physical disruption. The project will focus on reducing manpower requirements by replacement of operator-dependent monitoring of large numbers of cameras with systems that incorporate advanced algorithms to provide high-fidelity anomaly and change detection. The project will design systems to interpret information from multiple surveillance modes (such as closed-circuit television cameras, infrared cameras, intrusion detection alarms, acoustic sensors) and provide actionable information to infrastructure

operators. In FY 2009, the project will conduct an analysis of existing surveillance technologies and select sets of sensor systems appropriate for monitoring selected infrastructure types. In FY 2010, the project plans to further develop system components for practical use at a chosen infrastructure site and conduct a technology demonstration of surveillance technologies that would effectively monitor critical infrastructure.

Underwater Surveillance-Dams and Tunnels Project – Provides advanced, automated, affordable underwater monitoring and surveillance technologies to detect underwater threats against dams and tunnels. Since these structures are particularly vulnerable to a water-borne attack, detection of suspicious activity is critical to asset protection. These technologies must be capable of operating in harsh environments for extended periods, and should seamlessly and transparently integrate into existing infrastructure security operations. In FY 2009, the project will identify, prioritize, and select potential solutions for underwater surveillance based on cost, performance, and integration. In FY 2010, the project plans to adapt identified technologies to specific requirements for underwater infrastructure.

Underwater Surveillance Project (Basic Research) – Conducts basic research to support the Underwater Surveillance-Dams and Tunnels project. It will study bubble jetting resulting from underwater explosions and its impact on vertical structures (such as dam spillway gates and navigation locks), and then determine appropriate standoff distances for submerged targets, thus defining which areas will require surveillance. The lack of fundamental knowledge of underwater blast effects currently limits researchers' ability to define parameters for effective underwater surveillance. This research will have the added benefit of informing effective design of blast mitigation measures for underwater targets. In FY 2009, the project will evaluate numerical codes that simulate underwater blasts and conduct scaled testing of underwater blasts. In FY 2010, the project plans to conduct large-scale physical testing to describe bubble jetting and inform numerical codes.

CIP Advanced Requirements Development and Studies – Engages critical infrastructure SSA in IP, regional consortiums and owner/operators to assess the current state-of-the-art and establish requirements for the development of advanced technologies within the Infrastructure Protection Advanced Surveillance and Detection Systems Program. This project teams customers with experts to develop those requirements. In addition, experts work with customers to identify any existing innovative capabilities that will meet the customers' needs. These investments, at the early stages of technology acquisition, improve chances of project success and increase project efficiency. In 2010, this project plans to initiate the application of surveillance data-aggregation tools and other leading-edge technologies as a way to quickly integrate surveillance systems with change and anomaly detection information management systems to greatly improve multi-jurisdictional coordination.

Community Based Critical Infrastructure Protection Institute Program - FY 2009: \$10.725 million; FY 2010: \$0. Supports university and private industry partnerships to develop community-based homeland security technologies and mature them so that they can become commercially viable. Projects of this program are diverse and include capabilities for continuous monitoring of beef cattle; monitoring and securing milk from farm to processor; advances in less

expensive biometrics for iris and handprint imaging; and development of affordable nano-materials for blast mitigation.

Response and Recovery Technologies Program – FY 2009: \$4.520 million; FY 2010 estimate: \$5.790 million. Provides automated response and rapid recovery technologies for the nation's most vital infrastructure assets and their long-lead time components. Activities will focus on those infrastructure types where effective, affordable protective measures have not been previously identified. The technologies developed in this program will provide all-hazards infrastructure resilience against multiple natural and man-made threats. Many infrastructure assets need these capabilities to prevent or limit structural failure, and maximize life safety; these measures also add to a layered defense system, thus further buying down risk. The following projects support this program.

Recovery Transformer (previously the New Electrical Grid Transformer) Project – Partners with IP and DOE to specify, design, build, and demonstrate a new type of electrical power transformer for use during recovery from emergency grid blackouts. The recovery transformer will be easy to transport and install, have low maintenance and long service life. This capability will eliminate the two-year lag in transformer replacement and will increase the resiliency of the power grid. In FY 2010, the project plans to design and demonstrate a recovery transformer in a laboratory environment.

Rapid Mitigation and Recovery Project – Basic Research (formerly Rapid Response and Recovery) – Develops rapid mitigation and recovery technologies for CIKR assets to limit damage and consequences and to resume normal operations more quickly. This project includes basic research and transition activities. The basic research portion will focus on longer-term needs and investigate failure mechanisms, damage limitations, and solutions for rapid restoration of service for critical infrastructure such as bridges, tunnels, and dams. The project initially plans to investigate dams that contain both concrete and embankment sections. Better definition of interactions at soil/water/concrete junctions is critical for understanding potential failure modes and determining whether current embankment construction methods provide inherent resiliency for high consequence dams. In FY 2009, the project will conduct numerical modeling to explore whether the current zoned regions of certain embankments are capable of preventing catastrophic internal erosion through cracks potentially induced by an improvised explosive device (IED) attack or natural hazards. In FY 2010, the project plans to conduct additional numerical modeling and scaled physical experiments.

Rapid Mitigation and Recovery Project – Transition (formerly Rapid Response and Recovery) – Develops rapid mitigation and recovery technologies for CIKR assets to limit damage and consequences and to more quickly resume normal operations. This project includes basic research and transition activities. This transition portion focuses on IP's high-priority technological need for technologies to quickly reduce the effect of natural and manmade disruptions and cascading effects specifically related to the release of Toxic Inhalation Hazard (TIH) materials from rail tank cars and stationary storage tanks. Specifically, the project will identify, develop, and assess threat mitigation technologies and/or procedures that will reduce or eliminate the release of TIH products from rail tank cars and stationary storage tanks that have been intentionally assaulted. The threat scenarios of interest will include .50 caliber armor-piercing rounds and small IED. In FY 2009, the project will focus on rail tank cars carrying

chlorine. In FY 2010, the project plans to address stationary storage tanks, additional TIH chemicals, and additional threat scenarios.

Preparedness and Response (P&R) Thrust Area – Develops and deploys capabilities that improve the Nation’s ability to prepare for, respond to, and recover from all-hazards emergencies. P&R applies the best available science and technology to the safety and security of our emergency responders and homeland security professionals so they can effectively and efficiently perform their jobs – saving lives, minimizing damage, and restoring critical services. All programs will comply with the National Incident Management System (NIMS), the National Response Framework (NRF) – previously known as the National Response Plan, and all HSPDs that enable government, private sector, and nongovernmental organizations to work together during domestic incidents of all sizes.

Incident Management Enterprise Program – FY 2009: \$10.292 million; FY 2010 estimate: \$8.761 million. Develops advanced, scalable, interoperable, and non-proprietary incident information-management, decision-making, and training tools for emergency responders and incident commanders to use during everyday episodes to events of national significance that increasingly demand more highly coordinated responses. The need to manage incidents in a comprehensive and transparent way across the government and with various agencies is paramount to the first responder’s ability to prepare, protect, and respond to all-hazard incidents. The program includes the development of logistics and resource tracking systems that are critical in restoring services, replenishing critical infrastructure, and helping disaster victims in a timely fashion. The logistics systems will provide total asset visibility to incident responders and commanders and will help to manage the entire logistics supply chain – from inventory management to distribution and verification of supply disbursements.

Interagency Modeling and Atmospheric Assessment Center (IMAAC) – Coordinates national capabilities in atmospheric modeling and provides the single Federal prediction of atmospheric hazards and their consequences. Incident commands across Federal, State and local jurisdictions use IMAAC model predictions for improved situational awareness. In FY 2008, the program delivered an accredited event reconstruction and building infiltration models. In FY 2009, the S&T Directorate plans to prepare for transition of the operational aspects of IMAAC to another DHS component. In FY 2010, the S&T Directorate plans to transition the operational aspects of IMAAC to DHS OPS.

Unified Incident Command and Decision Support (UICDS) Project – Develops the UICDS framework based on the NIMS/Incident Command System (ICS) and NRF. It also develops compliant tools to manage and share information that will enhance incident command systems and multi-agency coordination with common situational awareness and decision support during all types of incidents. Based on an open-architecture, the UICDS framework will allow multiple responding organizations (using their own equipment) to jointly manage personnel, direct equipment, and seamlessly communicate, gather, store, redistribute, and secure any mission-critical information needed by incident commanders and emergency responders during an emergency situation. In FY 2008, the project initiated development of draft information-management architecture and piloted it in an urban environment to demonstrate multi-jurisdiction incident response. The project will initiate transition into the Advanced Incident

Management Enterprise System (AIMES) project. In FY 2009, the project will complete an advanced concept technology demonstration of the UICDS architecture, publish the UICDS standards-based architecture, and integrate this into the DHS Grant Guidance process through the Department's Office of Grants and Training. Using this standards-based architecture will enable incident decision-makers to better manage a unified response and share a common situational awareness with organizations providing support and coordination. In FY 2010, the project plans to merge into the Advanced Incident Management Enterprise System.

Training, Exercise & Lessons Learned (TELL) Project – Develops a federated simulation-based training and exercise capability that uses advanced computer models and will allow responders at all levels to affordably train and exercise for large and complex events in a virtual/constructive/live environment. TELL will link multiple agencies, functions, and jurisdictions to improve preparedness and decision-making for emergency responders and managers. TELL incorporates training objectives, scenarios, and metrics defined by other programs, and the capability to capture lessons learned to improve future emergency response capabilities. TELL addresses the overarching need of successful implementation of the NIMS and the ability to conduct quick, repeatable, economical, and effective means of training incident commanders so they can better prepare to handle complex incidents. In FY 2008, the project developed a system prototype concept and demonstrated it in Anaheim and Cincinnati. In FY 2009, the project will conduct several joint training exercises, using the TELL prototype, across the United States with various first responder communities. The prototype will incorporate lessons learned to enhance the functionality of the system prior to deployment of the pilot program. In FY 2009, the project will deploy the TELL architecture at the Seattle and Anaheim regional technology integration (RTI) cities. The project also plans to identify sub-components to migrate to the Simulations Based Incident Planning and Response project. In FY 2010, the project plans to transition a federated simulation-based training and exercise capability to FEMA and integrate technology concepts into IMMS/SUMMIT.

Advanced Incident Management Enterprise System (AIMES) Project – Develops the next-generation incident-management enterprise system. It builds upon the UICDS architecture and TELL framework by providing an integrated, interoperable, and unified common operating picture with total visibility into: incident information, resources, environment, logistics supply chain, response and recovery plans, methods, tactics, and policies. AIMES will integrate all elements of the incident management enterprise in order to provide a secure, scalable, interoperable, and unified situational awareness to the responder community. In FY 2009, the project will establish overall system requirements for AIMES through a series of workshops with customers such as FEMA and end-users in the emergency response communities. In FY 2009, the project will complete an execution plan and develop a system concept prototype to establish a high-level architecture for AIMES based on the UICDS effort, demonstrate its functionality, as well as validate and prioritize its requirements. In FY 2010, the project plans to design, develop, and test an AIMES prototype enterprise framework.

Incident Logistics and Resource Tracking System Project – Provides a comprehensive and transparent disaster logistics enterprise across the entire area of responsibility of all disaster response, public and private, partners. Lessons learned from past incidents, such as Hurricane Katrina, identified the need for an integrated logistics capability to provide relief supplies to victims in a timely manner—a capability that does not exist today. This capability will provide

decision makers overall situational awareness relative to availability for timely procurement and disbursement of public and private material inventories, locations of resources, and supplies to respond to an emergency. The tracking system will allow FEMA to manage critical resources more effectively and will enhance real-time coordination and situational awareness, setting the standard for all disaster response partners. This capability will be scalable and interoperable with Federal, State and local systems (legacy and future) to enable efficient use of the supply chain. In FY 2009, the project will develop a prioritized list of FEMA logistics system requirements, establish a program execution plan, and develop a functional logistics system prototype. In FY 2010, the project plans to develop the logistics system and begin integration into FEMA's Total Asset Visibility (TAV) capability.

P&R Advanced Requirements Development and Studies – Engages emergency response communities at the Federal, State, and local levels to assess the state-of-the-art and establish requirements for the development of advanced technologies within the Incident Management Enterprise Program. This project teams customers with experts to develop those requirements. In addition, experts work with customers to identify any existing innovative capabilities that will meet the customers' needs. These investments at the early stages of technology acquisition improve chances of project success and increase project efficiency. In 2009, this project will pioneer the application of "virtual world" and other leading-edge technologies as a way to quickly integrate disaster information management systems that currently do not easily exchange data and information to greatly improve multi-jurisdictional coordination. In 2010, the project plans to pilot the use of very high-resolution geospatial data in conjunction with a number of physics-based hazards models to provide emergency managers and incident commanders with realistic 3-D virtual environments that support consequence assessments, training, planning and after action reviews.

First Responder Technologies Program – FY 2009: \$3.901 million; FY 2010 estimate: \$5.979 million. Develops advanced life-saving technologies to track, locate, monitor, and protect first responders, emergency managers, and incident commanders as they respond to all-hazard incidents. The mission-critical technologies developed by this program will go through test and evaluation (T&E) before they become part of any acquisition programs. The following projects support this program.

Geospatial Location Accountability and Navigation System for Emergency Responders (GLANSER) [formerly Advanced First Responder Locator Project] – Develops an advanced first responder locating system. It builds off prior year efforts by including integrated sensor components and software for visualizing locations and tracks for incident commanders. The technology uses building diagrams, floor maps, and office/apartment location and it securely connects to emergency operations centers (EOCs). This system will enable incident commanders and decisions makers to visually track responders to enhance overall situational awareness. In FY 2009, the project will release a Broad Agency Announcement (BAA) in order to develop the GLANSER system as a product for the first responder community. The basis of the BAA was a prioritized list of requirements developed by a working group of first responders, industry experts, and government stakeholders. The BAA seeks to develop a system that will improve accuracy and signal penetration through difficult structures (i.e., underground, over ground) and conduct testing in major urban areas and demonstrate key 3D-locator prototype sub-

components to track first responders within an accuracy of less than three meters. In FY 2010, the project plans to develop the system prototype and deliver an initial set of locators for field-testing at several locations across the nation.

Physiological Health Assessment Sensor for Emergency responders (PHASER) [formerly First Responder Physiological Monitoring Project] – Develops an integrated sensor package that will monitor a responder’s vital signs such as cardiac rhythm, heart rate, blood pressure, body temperature, and oxygen saturation, which could indicate Pre-Ventricular Contractions (PVCs) or cardiac arrhythmias. First responders need a highly reliable metric and notification system for on-scene identification of firefighters who are about to experience an immediate heart attack or other life-threatening condition. This project plans to fuse these measurements to establish the physical health of the responder based on a set of metrics, and warn both the wearer and command staff to potential life threatening physiological conditions. In FY 2009, the project will establish system requirements through interaction with FEMA’s U.S. Fire Administration (USFA) and other end-users across the Nation. The program plans to issue a Broad Agency Announcement to solicit proposals for the development of a PHASER system to become a product for the first responder communities. The project will also demonstrate a concept prototype to validate system requirements, architecture, and concept of operations. In FY 2010, the project plans to develop an engineering model and a brassboard model and conduct system tests at several test facilities to verify design and performance.

Integrated Modeling, Mapping and Simulation Program – FY 2009: \$2.438 million; FY 2010 estimate: \$2.044 million. Develops and integrates advanced modeling and simulation technologies to support the incident management teams of first responders, commanders, and decision makers to better understand, prepare, and plan for emergency operations to enhance the quality of response and recovery operations. Specifically, this program plans to conduct R&D in the following three technology areas: advanced models of critical infrastructure; standard integration process and methodology to enable plug and play of legacy and new models; and support for a real-time modeling framework. This program will integrate these technologies in an advanced simulation infrastructure so that the first responders can conduct simulation-based planning exercises to economically verify and validate their response plans.

Standard Unified Modeling Mapping Integrated Toolkit (SUMMIT) [formerly Simulation Based Incident Planning and Response Project] – Provides FEMA analysts, decision makers, policy makers, emergency managers, and infrastructure operators an integrated modeling and simulation capability to effectively, economically, and rapidly verify and validate response tactics, plans and procedures and to conduct “what-if” type analyses prior to an incident (preparedness, analysis, training) and during/after an incident (operational, lessons learned). The project will develop accurate and reliable estimates of possible hazards from a wide range of natural and terrorist events; analyze and use route mapping to effectively manage transportation assets during mass evacuations or the post-event flow of emergency supplies; and conduct impact analysis to provide better understanding of possible impacts from natural disasters and terrorist events. This capability will leverage the results of the TELL project and will follow three tracks: model development, integration framework, and support for conducting planning exercises. The project will use a spiral-development process to insert technology as it matures and to refine requirements and concepts before committing to significant development efforts. In

FY 2009 and beyond, the program will conduct workshops with stakeholders from FEMA and the modeling and simulation communities across DHS and other government agencies, universities and the private sector to identify, capture, and prioritize the simulation model requirements and capabilities. In FY 2009, the program will also conduct disaster planning training scenarios to prepare FEMA decision and policy makers to validate their plans, procedures, tactics, and doctrine when responding to major events. In FY 2010, the project plans to develop framework specifications for new models.

Geophysical Thrust Area - FY 2009: \$10.725 million; FY 2010: \$0. Develops technologies and systems to address the geophysical concerns of the Nation, i.e., hurricanes, flooding, earthquakes. The thrust area has previously included the Southeast Regional Research Initiative (SERRI) program. There is no funding requested in this thrust area for FY 2010.

PPA: INNOVATION

	Perm Pos	FTE	Amount
2008 Actual			\$46,515
2009 Enacted			33,000
2010 Adjustments-to-Base			0
2010 Current Services			\$33,000
2010 Program Change			11,000
2010 Request			44,000
Total Change 2009-2010			11,000

The Science and Technology (S&T) Directorate requests \$44.000 million for Innovation activities. The increase will fund existing programs whose scopes increase as they mature and allows for two additional projects that would address gaps identified by the S&T Capstone Integrated Product Team (IPT) process. The increase allows existing projects to conduct major demonstrations and the start of two new projects in multi-modal tunnel detection and low cost biological detection. Unlike transition program products, Innovation projects are high-risk in nature but if successful, dramatically increase capabilities in responding to threats posed by terrorism and natural disasters.

CURRENT SERVICES PROGRAM DESCRIPTION

The Office of the Director of Innovation oversees the S&T Directorate’s Homeland Security Advanced Research Projects Agency (HSARPA). Established by the *Homeland Security Act of 2002*, HSARPA funds research and development (R&D) of homeland security technologies to

“...support basic and applied homeland security research to promote revolutionary changes in technologies that would promote homeland security; advance the development, testing and evaluation, and deployment of critical homeland security technologies; and accelerate the prototyping and deployment of technologies that would address homeland security vulnerabilities.”

The Director of Innovation/HSARPA works closely with the Under Secretary for Science and Technology, the S&T Directorate’s divisions, Department of Homeland Security (DHS) Components, industry, academia, and government to determine topic areas for projects. The Director’s many sources of guidance and recommendations include:

- Congressional direction;
- DHS Goals and Priorities as described by the Secretary of Homeland Security;
- Office of Management and Budget (OMB) and Office of Science and Technology Policy (OSTP) Research and Development Budget Priority Guidance;
- Goals set by the Under Secretary for Science and Technology;
- DHS Components’ input regarding their operational capability gaps; and
- The S&T Directorate’s Integrated Product Team (IPT) process.

Innovation focuses on high-risk/high-reward, homeland security R&D that could lead to technology breakthroughs and products that significantly enhance DHS operations. Its efforts are complementary to the S&T Directorate's other programs and projects, pushing scientific limits to address gaps in areas where current technologies and R&D are inadequate or non-existent.

Given the nature of this work, Innovation must be flexible to quickly adapt projects to maximize their high-payoff potential. As part of this process, Innovation will constantly assess its activities to determine whether they should continue, end, be adopted by a division, or be transitioned to a customer – taking into consideration the impact of emerging technologies and new opportunities leveraging other Federal programs and activities for homeland security. This process may cause Innovation's projects to deviate from the normal life cycle expected of transition programs. As projects fail or stop at critical decision points, Innovation will initiate new high potential projects so it can quickly adapt to such changes. Innovation always has a number of potential projects in reserve, and new high potential projects may begin during the course of the year.

Innovation carries out its activities through two thrust areas: Homeland Innovative Prototypical Solutions (HIPS) and High Impact Technology Solutions (HITS), as described in further detail below.

Homeland Innovative Prototypical Solutions (HIPS) Thrust Area – FY 2009: \$21.930 million; FY 2010 estimate: \$35.500 million. Deliver prototype-level demonstrations of game changing technologies in two to five years. These projects are moderate-to-high-risk with high-payoff if successful.

Project Chloe – FY 2010 estimate: \$0.000 million. Investigates innovative solutions for defense against man-portable air-defense systems (MANPADS), focusing on technology that can protect airports over a wide area instead of relying on technologies installed on individual aircraft. Project Chloe uses a single, high-altitude platform, such as an Unmanned Aerial Vehicle (UAV), to protect aircraft at an airport, or at a cluster of airports, rather than installing full detect-to-engage systems on every commercial aircraft. This approach would reduce the number of systems required; eliminate the need to add weight to aircraft; and lower operations and maintenance costs for end-users. Other DHS mission areas, including border and maritime surveillance, critical infrastructure protection, and disaster relief support, can leverage many of the technologies developed under Project Chloe.

In FY 2008, Project Chloe successfully demonstrated the detection of the launch of MANPADS from a height of 65,000 feet and tested both detection and disabling technologies that would effectively work with a high-altitude platform for comprehensive detect and defeat. Project Chloe demonstrated that it could detect, track, and engage from high altitude. In FY 2009, the project's final deliverables include performance specifications, laser power requirements, integration design, and requirements for placing the missile warning and laser systems into a high altitude unmanned aircraft. Depending on available funds, Innovation will also deliver the design of a laser system, "Responsive Flyaway Package," to quickly mount on a larger manned aircraft and flown at the lower attitudes of national airspace in the event of an emergency.

Scalable Common Operational Picture Experiment (SCOPE) Project – FY 2010 estimate: \$0.000 million. Leverages an existing effort by the Department of Defense (DOD). The DOD effort, called the Joint Concept Technology Demonstration for Global Observer (GO), is developing a high-altitude, long-endurance unmanned aircraft system (GO UAS). This aircraft-mounted system will enable homeland security personnel at the Federal, State, and local levels to collectively see what is happening during an event and potentially provide a communication platform for regions where infrastructure has been destroyed. This will allow responders to quickly understand the extent of a natural disaster or terrorist attack, enable communications, and provide sufficient time to make critical decisions to mount a coordinated response. Today, no such capability exists.

In FY 2008, the project developed and integrated modular sensor and communication payloads and began the formal GO Critical Design Review (CDR). In early FY 2009, the project will complete a CDR and conduct a series of operational utility assessments that will serve as a proof-of-concept for DHS operational security needs.

Rapid Liquid Component Detector (MagViz) Project – FY 2010 estimate: \$3.000 million. Uses ultra-low-field Magnetic Resonance Imaging (MRI) technology to screen baggage for liquid explosives. To mitigate the liquid explosives threat, airline passengers currently must pack liquids or gels (such as certain toiletries and medicines) in containers that are 3 ounces or smaller. Air passengers must place those containers in a 1-quart-sized, clear plastic, zip-top bag; and are only allowed one bag per traveler. These are known as “3-1-1 bags”, which undergo an X-ray inspection and possibly secondary screening using multiple methods, such as visual inspection. The goal of MagViz is to eliminate the 3-1-1 rule and allow passengers to place liquids in their carry-on baggage. MagViz will scan and identify individual materials that may be packaged together or separately as they go through the scanning process and evaluate them against a database that will differentiate between those items considered safe for carrying onto an aircraft (e.g., benign liquids and gels like mouthwash, toothpaste, etc.) and harmful ones. The intent is to detect liquids in baggage without contact at the same rate as current X-ray machines, thus not hindering passenger throughput.

In FY 2008, the project built and demonstrated a 3-1-1 bag-screening prototype in a lab. The August 2008 laboratory demonstration of this system showed that it can discriminate between harmful and benign liquids and gels with greater sensitivity and discrimination capability than previous demonstrations and overcome operational challenges such as the orientation of containers and containers within containers. Also in FY 2008, the project designed and built a second, research prototype for a 20 cm standoff system.

In December 2008, the project conducted a full demonstration of the 3-1-1 bag-screening prototype in an airport to assess its ability to detect liquid explosives within baggage in an operational setting. This public demonstration successfully showed that the prototype could distinguish between liquids in an operational environment, overcoming challenges that could affect its sensitivity. Also in FY 2009, the project will build an exhaustive database of liquids through magnetic characterization and further address clutter in the operational environment; evaluate the capability of MagViz to detect dangerous solids; and demonstrate the capability of its research prototype to inspect to a depth of 20 cm. In FY 2010, the project plans to continue

building the magnetic characterization database of liquids and demonstrate the capability of MagViz to seamlessly screen segregated liquids (without the 3-1-1 bag constraint) in an operational environment and subsequently evaluate termination or transition options.

Safe Container (SAFECON)/Time Recorded Ubiquitous Sensor Technology (TRUST) Project – FY 2010 estimate: \$5.000 million. Investigates various technologies, including probe systems that detect and identify dangerous cargo and could be mounted on cranes used for on- and off-loading ship-carried containers. SAFECON also looks for sensors and specialized container materials designed to make screening more effective. The project aims to provide the capability to scan containers entering the country while minimizing the impacts on commerce; high reliability, high-throughput detection of weapons of mass destruction (WMD), explosives, contraband, and human cargo; and immediate detection and isolation of suspected threat containers.

In FY 2008, the project completed threat characterization and container characterization studies at the ports of Charleston, South Carolina and Boston, Massachusetts to inform decisions on sensor and prototype development. SAFECON also began the development of a remote vapor inspection system using advanced laser techniques to detect and identify threat chemicals and explosives. In FY 2009, the project will demonstrate integrated chemical and explosives sensor performance in a laboratory. The project will also identify additional container-screening technologies from industry that justify further development. In FY 2010, the project plans to develop and test technologies at ports or in a test bed that can provide a relevant environment.

In addition to a crane-mounted detection system, the S&T Directorate is also pursuing an alternative approach to container screening that takes advantage of the long transit time most shipping containers undergo from their port of origin to the United States. This part of the SAFECON program is called **Time Recorded Ubiquitous Sensor Technology (TRUST)**. TRUST would allow detect Chemical, Biological, Radiological, Nuclear, Explosive, and personnel (CBRNE/P) threats within any container while in its port of embarkation or in transit, thus enabling authorities to route suspect containers to a safe location for special handling and an entry determination prior to entering a U.S. port.

Future Attribute Screening Technologies Mobile Module (FASTM2) Project – FY 2010 estimate: \$10.000 million. Develops a prototype screening facility and a suite of real-time, non-invasive sensor technologies to rapidly, reliably, and remotely detect behavior indicative of malintent (the intent or desire to cause harm). The system will measure both physiological and behavioral signals to automatically make a probabilistic assessment of malintent based on sensor outputs and advanced fusion algorithms. Federal, State, and local authorities may use the fully developed FAST system in primary and secondary screening environments to increase the accuracy and validity of people screening at special events, airports, and other secure areas. FAST will measure indicators using culturally independent and non-invasive sensors.

In FY 2008, the project identified specific behavioral, physiological, and paralinguistic cues that likely indicate malintent (FAST: Survey of Sensing Abilities – Martin, Martin, & Coskren, 2007) and identified remote sensors capable of detecting the associated physiological signals. FAST researchers presented their theory for initial peer review to independent, nationally recognized

subject matter experts and received positive feedback and guidance. The FY 2008 demonstration of the sensor suite laboratory and the command and control framework documented the project progress with new advances in human-centered screening theory while validating technical requirements and establishing performance metrics for the FY 2009 work.

In FY 2009, the project will continue validation and updates to the malintent theory, update sensors, update the module environment, and incorporate the initial elements of data fusion and machine learning to improve screening accuracy through multi-modal sensor architectures (e.g., heart beat, respiration, pore count, etc.). FAST will use independent peer review will be an ongoing element of the project to promote objectivity and ensure all aspects of the project are addressed. Additionally, the project will investigate automatic adjustments to the screening processes to meet changing operational threats; and detect and adapt to additional physiological and behavioral cues. The project will conduct a demonstration in FY 2009 based on an operational scenario of a real-time intent detection capability. In FY 2010, the project plans to identify, integrate, and demonstrate continued advances in physiological and behavioral screening as well as new sensor technology derived from previous research efforts. The project plans to demonstrate the effectiveness of the mobile module in the laboratory and operational environments, such as a special security event or transportation portal.

Resilient Electric Grid (REG) Project – FY 2010 estimate: \$8.000 million. Demonstrates High-Temperature Superconducting (HTS) technologies for reliable distribution and protection of electrical power. REG will protect critical, electric-power dependent infrastructure (like the Manhattan Financial District) from the cascading effects of a power surge on electrical grids. Much of the existing electric grid is highly susceptible to brown outs and black outs, and current methods for preventing power outages and restoring power are often costly, slow and require extraordinary efforts. Existing technologies and planned mitigations also require a lot of space, which is problematic in dense urban areas. This project will demonstrate key components of a future “micro grid” that will instantaneously reduce power surges and allow for multiple alternative pathways of power delivery, providing resilience against natural disasters and deliberate attacks. Across the country, a resilient electric grid will produce savings of billions of dollars each year in the course of normal operations through gains in efficiencies. After a successful laboratory demonstration, the S&T Directorate will implement a REG prototype in Consolidated Edison’s electric grid in the Borough of Manhattan. Following a successful in-grid prototype, Consolidated Edison will incorporate REG in other parts of the New York City electric grid, including the financial district, in order to protect the economic infrastructure of American business. REG will simultaneously transition to other regions and power companies to protect critical infrastructure.

In FY 2008, the project conducted proof-of-concept demonstrations of a three-meter, fault-current-limiting (FCL) HTS cable. The first demonstration in December 2007 showed that an HTS cable could transmit power with no electrical losses and simultaneously prevent cascading failures under normal conditions (by preventing fault currents from being transmitted). The February 2008 demonstration was an important Go/No Go decision point because it confirmed that the HTS cable provides significant fault current limiting. The demonstration also identified potential challenges due to higher-than-expected alternating current (AC) losses in the HTS cable. The project team conducted additional experiments and demonstrations in May 2008 to

isolate the causes of the higher-than-expected AC losses, and performed a third 3-meter cable demonstration focusing on decreasing the AC losses. The demonstration results of the 3-meter cable justified going forward with a 25-meter demonstration in January 2009.

In October 2008, the program completed construction of the testing facility at Oak Ridge National Laboratory (ORNL), which will be the only location in the country with this test capability. In FY 2009, the project will conduct the 25-meter cable demonstration at ORNL. In FY 2010, the project plans to manufacture the cable to be inserted into the Manhattan electric grid and conduct testing to address AC losses. The project will also demonstrate a stand-alone FCL, which is a significant technological advancement and could be installed in the grid as an alternative to the relatively high-risk FCL cable.

If REG is successful, Consolidated Edison will deploy the cable developed by REG in New York City. The technology will also transition to other utility providers and benefits critical infrastructure protection in dense, urban populations.

Hurricane & Storm Surge Mitigation Project – FY 2010 estimate: \$1.500 million. Develops methods to better understand and accurately predict the behavior of a hurricane to reduce the intensity and/or duration of a hurricane or storm. The focus will be on understanding the dynamics of storms as they grow from depressions to full hurricanes, and to try to determine if any of the dynamic variables can be used or manipulated against the storm itself in order to prevent further growth in strength. State and local officials will be able to determine more accurately and quickly which areas to evacuate. This project will determine which variables could reduce the intensity and/or duration of a hurricane or storm before it reaches a point of runaway growth in strength. This project, in partnership with the National Oceanic and Atmospheric Administration (NOAA), will apply knowledge gained in the last 25 years to understand and model the life cycle of hurricanes and identify/evaluate the effects of salt seeding, carbon black aerosol, upper ocean cooling, ion generators, and monolayer films.

In FY 2009, the project will fund equipment for NOAA aircraft to collect data in parts of the hurricane that are not yet well understood, such as the eye wall and the transitional layer (400-500 feet above the surface of the water), and that have previously presented challenges in data collection. In FY 2010, the project plans to analyze the measurements; model and simulate the lifecycle of hurricanes; and model and simulate the effects of different modification strategies. The goal is not to stop hurricanes, which are an important part of nature's cycle, but to mitigate damage to life and property.

Levee Strengthening & Damage Mitigation Project – FY 2010 estimate: \$4.000 million. Develops techniques to (1) strengthen levees through natural covers or engineered armoring in order to prevent levee failure by soil erosion or breaching; (2) rapidly and remotely detect the condition of a levee; and (3) rapidly repair failure locations. Innovation provided funds for this project in FY 2007. With limited funding since 2007, Innovation has been able to demonstrate one technology by working with the Infrastructure/Geophysical division. Adjustments to the FY 2008 and 2009 budgets delayed many activities, particularly efforts in levee breach remote detection and strengthening.

In September of FY 2008, the project conducted a successful demonstration at a United States Department of Agriculture (USDA) facility in Stillwater, Oklahoma. The Portable Lightweight Universal Gasket (PLUG) greatly impeded the flow of water, and its success at quarter scale will lead to the development of a full-scale version and associated concept of operations (CONOPS) in FY 2009. In FY 2010, the project plans to demonstrate the full-scale version of the PLUG and begin developing solutions for remote detection of a levee's condition and strengthening. The Innovation PPA plans to eventually transition the PLUG to the S&T Directorate's Infrastructure and Geophysical Division, once a thorough evaluation determines that the technology is ready for transition.

New HITS and HIPS - The projects in this section are new HITS or HIPS starting in FY 2010. Because the very concept of innovation is to address known problems with emerging solutions that have not yet been fully defined, details on exact solutions are not definitive until solutions are proposed by private entities, universities, laboratories, and others in response to Broad Agency Announcements. For this reason, only high-level details of these new projects are included.

Multi-modal Tunnel Detect Project – FY 2010 estimate: \$2.000 million. Builds on the existing HITS tunnel detection project to develop an integrated, orthogonal approach to detect and characterize cross border tunnels. The United States Geological Survey (USGS) has actively participated in the development of all tunnel detection technologies, and the S&T Directorate will continue relying on the geological expertise of the U.S. Army Corp of Engineers – Engineering Research and Development Center (USCE – ERDC), USGS, National Geospatial Agency (NGA), Defense Threat Reduction Agency (DTRA), Defense Advanced Research Projects Agency (DARPA), Defense Intelligence Agency – Underground Facilities Analysis Center (DIA-UFAC), Sandia National Laboratory, and Los Alamos National Laboratory.

No single technology can detect tunnels in all environments. Multi-modal Tunnel Detect will combine magnetic, seismic, acoustic, resistive, radio frequency and other complementary sensor modalities to detect tunnels in differing and complex geophysical conditions. This project will develop revolutionary prototypes that 1) improve the identification and characterization of geophysical conditions found in areas of greatest interest along the border; 2) uncover technological dependencies with respect to location; and 3) detect clandestine tunnels. The goal is to develop new border security system technologies for reliable detection of clandestine tunnels for a variety of geophysical environments. If successful, this program will deliver new border security options to DHS while providing improved problem characterizations for long-term research efforts in S&T's basic research portfolio.

Very Low Cost Bio Agent Detect – FY 2010 estimate: \$2.000 million. Decreases cost and improves efficiency of high-specificity real-time pathogen detection and characterization; conduct comparative experiments between competing approaches; and conduct field pilots within the homeland security community to validate cost and efficiency models. In FY 2010, the project plans to analyze emerging pathogen detection/characterization capabilities and develop low cost models. The project plans to build laboratory prototypes for low cost sensing packages.

High Impact Technology Solutions (HITS) Thrust Area – FY 2009: \$11.070 million; FY 2010 estimate: \$8.500 million. Tests high-payoff, proof-of-concepts which are instrumental in identifying viable technologies to pursue further.

Tunnel Detect Project – FY 2010 estimate: \$0.000 million. Develops detection technologies to locate clandestine underground tunnels used for cross-border illegal activities such as smuggling. Current tunnel detection technologies are almost non-existent, and the few available require experts to operate, significant time to process data, and do not work in all geographical environments. The S&T Directorate's approach to tunnel detection is multi-modal, relying on several indicators to detect tunnels.

In FY 2008, the project conducted a series of demonstrations of an electromagnetic gradiometer (radio frequency) mounted on an unmanned aircraft system, which Customs and Border Protection (CBP) and Immigration and Customs Enforcement (ICE) plan to further evaluate in early FY 2009. The project also initiated a parallel effort to prototype and test advanced ground-penetrating radar for tunnel detection. In FY 2009, S&T will demonstrate the ground-penetrating radar and leverage DOD tunnel-detection efforts for border protection applications. The project plans to evaluate transition options in FY 2009 and FY 2010.

Biometric Detector Project – FY 2010 estimate: \$2.000 million. Develops rapid, non-contact, three-dimensional fingerprint scanner technologies that will allow DHS to collect high-quality fingerprints at screening checkpoints with minimum impact on throughput. Currently the fingerprinting process is slow, and converting contact fingerprints into digitally stored records is time consuming and can require several attempts. Biometric Detector will develop less intrusive technology that produces much higher success rates at capturing fingerprints the first time, with far greater detail, consequently allowing for increased speed and accuracy in records matching and identification. In FY 2008, the project began prototype development of three different, but complementary contactless single-finger scanning technologies whose demonstrations will occur in FY 2009. Based on the demonstration results, the project plans to down-select among the technologies to develop a multi-finger contactless device and conduct a proof-of-concept demonstration. Should these demonstrations prove successful, the project plans to continue to develop a non-contact scanner for the entire hand and demonstrate the biometric detector prototypes in the field in FY 2010.

Wide Area Surveillance – FY 2010 estimate: \$2.000 million. Investigates novel sensors and systems for use in densely populated infrastructure settings and urban landscapes (e.g., airports, train stations, city streets and squares) to provide continuous surveillance of the nation's highest priority infrastructure. The effort will adapt and further develop military-grade optical sensors with far greater image resolution than currently available commercially. This project will integrate sensors into a system that must accommodate large data quantities, camera-to-camera handoff, and advanced image recognition. It will provide high-resolution real-time and forensic surveillance of threats posed by individuals, objects, or vehicles.

In FY 2008, the project constructed an array of multiple high-resolution cameras that were digitally integrated into a single view with an overall resolution of 100 mega pixels. The system provided high-resolution imagery and allowed multiple operators to simultaneously view and

manipulate (e.g., zoom, scan) regions of the scene in high-resolution detail while maintaining a full 360-degree field of view. The system included automated change detection capabilities, and users rapidly scanned video images for forensic analysis. In FY 2009, the project will significantly advance the system hardware by developing a novel optical imager based on military aerial surveillance technology. The new imager will more than double the current resolution and may ultimately improve system cost effectiveness due to its use of a large number of inexpensive imagers. In FY 2010, the project plans to improve tracking of people and vehicles throughout a complex scene by integrating advances in both system hardware and algorithms and plans to conduct a demonstration of a second-generation system.

Cell-All Ubiquitous Chem/Bio Detect Project – FY 2010 estimate: \$2.500 million. Examines proof-of-concept technologies for integrating miniaturized chemical and biological agent detectors into personal devices, such as cellular telephones, in order to create a widely distributed network for detection, classification, and notification in the event of a chemical release, potentially detecting chemical components of some biological agents. Individual device owners on the network would control the detection and transmission of the data, sensor timing, and global positioning system (GPS) location information. The goals of this project include significant improvement to chemical and biological detectors' integration, size, costs, power, maintenance, durability, and response characteristics.

In FY 2008, the project conducted research for concept development. In FY 2009, the project will develop laboratory prototypes. One technology will leverage the National Aeronautics and Space Administration's (NASA) expertise with novel-gas-sensor architectures for manned space missions. The second involves the use of porous silicon based detection devices integrated into a common phone component. A third effort examines device interfacing, emerging commercial sensor designs, and explores the development of an overall concept of operations for successful sensor applications developed under this program and lays the groundwork for this technology to be more widely available to future sensor designs. In FY 2010, the project will demonstrate a concept of operations and several technologies in a multi-phone environment.

Resilient Tunnel Project – FY 2010 estimate: \$2.000 million. Develops technologies to address critical vulnerabilities in U.S. transportation tunnels. Prior assessments have revealed that terrorists using improvised explosive devices (IEDs) could exploit certain weaknesses to cause catastrophic failure of a tunnel. The project will expand upon the analyses performed to date and identify alternative technical solutions to mitigate the vulnerabilities. The project is designing an inflatable tunnel plug to protect mass transit tunnels from fires, smoke, and flooding. In FY 2008, the project initiated a partnership with the Washington Metropolitan Area Transit Authority (WMATA); completed a technical and operational requirements document for an inflatable tunnel plug; and completed specific vulnerability assessment to inform requirements. The project tested a number of inflatable plug prototypes with different geometries in the laboratory and deployed a full-scale plug in a WMATA subway tunnel in August 2008. The demonstration illustrated that a full-scale plug can be inflated quickly and efficiently in a real-world transit environment and that the plug effectively seals against the tunnel walls.

In FY 2009, the project will conduct numerical modeling to optimize plug structure and performance; construct new small-scale plugs with stronger materials; and subject these plugs to

pressurized testing in the laboratory to simulate tunnel flooding. Also in FY 2009, the project will begin design and testing of component subsystems (e.g., inflation, packaging, control, and sensing) for a complete Resilient Tunnel system. WMATA, the Port Authority of New York, and New Jersey's (PANYNJ) operating requirements will drive updated technical and operational requirements for the plug and subsystem designs. In FY 2010, the project plans to conduct a full-scale demonstration of a second-generation tunnel plug. Also in FY 2010, the project plans to optimize the geometry of the plug, generate the final design for the plug, and continue development of an optimized full-scale inflatable tunnel plug with its supporting subsystems.

PPA: LABORATORY FACILITIES

	Perm Pos	FTE	Amount
2008 Actual	0	0	\$109,358
2009 Enacted	124	124	161,940
2010 Adjustments-to-Base	6	6	(33,243)
2010 Current Services	130	130	128,697
2010 Program Change	0	0	25,803
2010 Request	130	130	154,500
Total Change 2009-2010	6	6	(7,440)

The Science and Technology (S&T) Directorate requests \$154.500 million for this activity, a decrease of \$7.440 million from FY 2009. The FY 2010 program request supports National Bio and Agro-Defense Facility (NBAF) site preparation, including central utility plan (CUP) construction; Pacific Northwest National Laboratory (PNNL) construction; operations and maintenance (O&M) and salaries and benefits (\$16.501 million) of non-Headquarters employees at the Department of Homeland Security (DHS) S&T laboratories; and infrastructure upgrades to S&T facilities beginning with the Transportation Security Laboratory (TSL).

CURRENT SERVICES PROGRAM DESCRIPTION

The Office of National Laboratories (ONL) manages the Laboratory Facilities programs. ONL provides the Nation with a coordinated, enduring core of productive science, technology and engineering laboratories, organizations and institutions, which can provide the knowledge and technology required to secure our homeland.

The *Homeland Security Act of 2002* assigns ONL the responsibility for “the coordination and utilization of the Department of Energy national laboratories and other sites under Section 309 in a manner to create a networked laboratory system for the purpose of supporting the missions of the Homeland Security Department.” In addition to oversight of laboratory operations in direct support of the Department and its missions, ONL is also responsible for coordinating homeland security related activities and laboratory directed research conducted within the Department of Energy (DOE) national laboratories.

ONL’s internal customers are the S&T Directorate’s executing divisions, including test and evaluation. The primary external Federal customers are the United States Department of Agriculture (USDA), Transportation Security Administration (TSA), and the Federal Bureau of Investigation (FBI). ONL activities lie in two thrust areas: Laboratory Operations and Facilities Construction.

Laboratory Operations Thrust Area – Manages the operations and maintenance of the DHS laboratories and infrastructure. ONL provides the planning, budgeting and coordination needed to ensure that these laboratories effectively support the S&T Directorate programs. The DHS laboratories include Plum Island Animal Disease Center (PIADC), National Biodefense Analysis

and Countermeasures Center (NBACC), TSL, Chemical Security Analysis Center (CSAC) and Environmental Measurements Laboratory (EML).

Plum Island Animal Disease Center (PIADC) – 2009: \$30.700 million; FY 2010 estimate: \$36.686 million. Researches contagious animal diseases (e.g., foot-and-mouth) identified in other countries. The mission of the facility is to develop strategies and vaccines for protecting the Nation's animal industries and exports from foreign animal diseases accidentally or deliberately introduced into the United States. The R&D work at PIADC is a joint mission between DHS and USDA. Both organizations have a research presence at the laboratory including employees, but DHS is responsible for the operations and maintenance of the facility. The combined work of both agencies at PIADC directly supports the S&T Directorate's agro-terrorism countermeasures programs. Research at the facility occurs in laboratory spaces rated biosecurity level (BSL)-2, BSL-3, and BSL-3Ag.

PIADC is located on Plum Island, off the eastern end of Long Island, New York; it is a self-sustaining operation, with its own power plant, fuel storage, fire protection, waste disposal, and security systems. The S&T Directorate provides the day-to-day operational support and work force at the facility. Other major operations investments include security, utilities, fuel costs, and personnel. The S&T Directorate also provides the only ferry transport to and from the island and is responsible for operating and maintaining ferries, docks and the harbor. These activities represent the largest portion of operations investments for PIADC in FY 2008, FY 2009, and FY 2010. In FY 2010, there are one-time costs for PIADC including roof replacement and ferry engine overhaul.

National Biodefense Analysis and Countermeasures Center (NBACC) Operations – FY 2009: \$32.940 million; FY 2010 estimate: \$30.002 million. Directly supports the S&T Directorate's biological countermeasures programs. ONL oversees two additional centers within the NBACC complex: the Biological Threat Characterization Center (BTCC) and the National Bioforensics Analysis Center (NBFAC). The unique missions of threat characterization and bioforensics analysis complement the mission responsibilities of the Department of Defense (DOD), the Department of Health and Human Services (DHHS), and USDA. Both centers currently conduct research in interim space with limited capabilities.

- BTCC conducts studies and laboratory experiments to fill information gaps in the understanding of current and future biological threats, assess vulnerabilities, conduct risk assessments, and determine potential impacts in order to guide the development of countermeasures such as detectors, drugs, vaccines, and decontamination technologies.
- NBFAC conducts forensic analysis of evidence from biocrimes and terrorism, to assist in identifying perpetrators and determining the origin and method of attack.

Construction on the new NBACC facility began in FY 2006. The construction should be substantially completed and ready for occupancy in FY 2009 (i.e., offices and administrative space, with a fully operational NBACC in FY 2010). The S&T Directorate began operation of the NBACC as a Federally Funded Research and Development Center (FFRDC) in the first

quarter of FY 2007. The FFRDC is responsible for planning, managing and executing the NBACC research programs and operating the facility.

In FY 2008, FY 2009, and FY 2010, operations investments are primarily for NBACC management, security, equipment/furnishings, utilities, and site services, fees, and insurance.

Chemical Security Analysis Center (CSAC) – 2009: \$0.500 million; FY 2010 estimate: \$0.510 million. Develops and informs risk assessments related to national chemical defense. CSAC is located at the Department of Defense (DOD) Edgewood Chemical Biological Center (ECBC) in Aberdeen, MD. CSAC directly supports the S&T Directorate's chemical countermeasures activities in the Chemical and Biological Division and operates in cooperation with the FBI and DOD. The S&T Directorate established the interim CSAC at ECBC in FY 2006 to leverage DOD infrastructure and legacy investments. The operations investments for this facility include rent, security, and utilities for office space and information technology infrastructure and storage.

In FY 2007, DOD commenced construction of a Sample Receipt Facility (SRF) at ECBC. This state-of-the-art facility will house the permanent CSAC, making it the premier facility with the capability to integrate knowledge across the full chemical threat spectrum. The SRF and CSAC commenced operations at the end of FY 2008. In FY 2009, CSAC will commence full operations. In FY 2009 and FY 2010, planned operations investments for this facility include rent, security, and utilities.

Transportation Security Laboratory (TSL) – 2009: \$15.500 million; FY 2010 estimate: \$16.250 million. Develops civil transportation security technologies, such as explosives and weapons detection systems. TSL is a science and engineering laboratory that enhances and accelerates development of promising technologies to the point of operational test and evaluation. TSL supports the S&T Directorate's explosives countermeasures programs and TSA.

TSL is located at the Federal Aviation Agency (FAA) William J. Hughes Technical Center in Atlantic City, N.J. The real property belongs to FAA. The FY 2008, FY 2009, and FY 2010 operations include rent, buildings maintenance, utilities, security, environment, and safety. The other significant portion of operations investment provides infrastructure and personnel to conduct internal TSL research; engineering; and test and evaluation facilities.

Environmental Measurements Laboratory (EML) – 2009: \$7.700 million; FY 2010 estimate: \$1.250 million. Provides testing and evaluation expertise to the S&T Directorate and the Domestic Nuclear Detection Office (DNDO) and acts as the DHS liaison for the deployment of experimental technologies in the New York City metropolitan area. EML is a government-owned, government-operated laboratory located in the Borough of Manhattan in New York City. Prior to its transfer from the Department of Energy (DOE) to DHS, EML's activities focused on the measurement of low-level radiation.

In FY 2006, ONL disposed of surplus materials and radioactive sources and began the decontamination/decommissioning of unused areas in the current EML space. In FY 2009, ONL will conduct the remaining cleanup activities, and the space will be returned to the General Services Administration (GSA). The current office space is larger than necessary and the S&T

Directorate has determined that EML will occupy a smaller set of offices. The move will result in a reduction in rent and lower operational costs. GSA requirements drive one-time EML costs for final cleanup in FY 2009; these will include, at a minimum, the final disposal of contaminated materials and removal of fume hoods, large exhaust ducting, furnaces, and other equipment remaining from DOE program activities. The FY 2008, FY 2009, and FY 2010 operations include rent, security, utilities, and personnel.

Facilities Construction Thrust Area – Oversees the planning, budgeting, and management of laboratory infrastructure construction and upgrade projects. Construction projects are required to maintain and provide R&D capabilities to support the missions of the S&T Directorate, the Department, and other government agencies that have interrelated homeland security missions such as USDA, DHHS, and DOD. The ONL construction investments include the construction of future assets, where a current capability does not exist, and upgrades to extend the life and capabilities of present facilities.

Plum Island Animal Disease Center (PIADC) Upgrades – 2009: \$0.000 million; FY 2010 estimate: \$0.000 million. Provides research capabilities necessary to protect the Nation's agriculture infrastructure. PIADC is the Nation's first line of defense against foreign animal diseases and will need to remain a viable research facility until the National Bio and Agro-Defense Facility (NBAF) is ready to provide this capability. These facility upgrades support ongoing and expanded research activities of USDA and DHS and ensure that this research can be performed in a safe and secure manner. In FY 2006, a detailed study identified essential and optional improvements to maintain and upgrade PIADC operations. In FY 2007, S&T began designs for the upgraded infrastructure. In FY 2008, construction began. Implementation of the upgrades will continue through FY 2010 when they are expected to be completed. The upgrades will enable the PIADC facility to remain operational through 2014.

In FY 2009, ONL plans to continue funding projects identified in the multi-year Corrective Action Plan in a FY 2005 Report to Congress. These projects are in addition to the mission-related upgrades, and occur in five general areas: (1) security programs and systems; (2) information technology and communication systems; (3) environmental, health, and safety systems; (4) buildings, grounds, and infrastructure systems; and (5) administrative and management programs. In FY 2010, the project plans to complete upgrade construction and overall corrective actions.

National Bio and Agro-Defense Facility (NBAF) Construction – 2009: \$35.600 million; FY 2010 estimate: \$36.312 million. Provides an integrated animal, foreign animal, and zoonotic disease research, development, and testing facility that will support the complementary missions of DHS and USDA. NBAF will replace PIADC and provide additional capabilities in state-of-the-art research, development, testing, and evaluation infrastructure that enables research to enhance agriculture and public health. It will house numerous laboratory spaces including BSL facilities to conduct research on high-consequence biological threats involving foreign animal and zoonotic (transmitted from animals to humans) diseases. NBAF will also provide enhanced capabilities to address a broader and more complete spectrum of threats posed by emerging bio- and agro-terrorism agents. In FY 2007, ONL conducted the conceptual design of the facility and down-selected potential sites for NBAF. In early FY 2009, the project completed the

Environmental Impact Statements (EIS) that evaluated the six remaining selected sites to comply with the National Environmental Policy Act. S&T issued a Record of Decision (ROD) identifying Manhattan, Kansas as the chosen site for NBAF. In FY 2009, ONL will begin a detailed design of the facility and, in FY 2010, the requested funds, along with funds provided by the State of Kansas, will fund construction of the central utility plant (CUP) and site preparation, which includes earthwork, roadways and parking, fencing and utility distribution (on-site and off-site). The S&T Directorate plans to start NBAF building construction in FY 2011.

NBAF Facility Space Justification – NBAF will satisfy the requirements identified in Homeland Security Presidential Directives (HSPD) 9 and 10 by providing an integrated facility for studying diseases categorized as foreign animal diseases and zoonotic diseases. The existing animal holding, laboratory, training, and support spaces at PIADC are severely limited in size and present challenges for scientists and building operators. Major limitations exist in the ability to conduct large animal research trials necessary for assessing and countering emerging threats and developing necessary vaccines. The primary limitations at PIADC are an inability to conduct certain research activities because the facility does not meet current standards and there is insufficient space.

NBAF will have approximately 504,000 gross square feet. The overall space is broken out as follows:

Space	GSF
Office/Admin.	35,000
BSL-2*	30,000
BSL-3**	372,000
BSL-4	55,000
Vaccine Prod.	12,000
NBAF	504,000

*BSL-2 includes laboratory and support areas.

**BSL-3 includes laboratory, agriculture threat containment, and training and support areas.

The BSL-3 laboratory space is required for research studies on Foot and Mouth Disease (FMD) and developing countermeasures, while the BSL-4 laboratory space is required for research studies on zoonotic diseases. Upon completion, the facility will include: (1) BSL-4 space, large animal and laboratory space that is not currently available to DHS and USDA programs at PIADC; (2) facility space for a vaccine and reagent production module that will aid in providing biological product candidates for rapid licensure to meet the needs of the National Veterinary Stockpile; and (3) multi-purpose, state-of-the-art, distance-learning equipped, conference/training space, research and collaborative offices, and auxiliary spaces, that will make NBAF the world-class biocontainment research facility identified in HSPDs 9 and 10.

NBAF Construction Offset – The Homeland Security Act of 2002 [Section 310, Public Law 107-296] transferred all assets and liabilities of PIADC, including Plum Island, to DHS. After the planned renovations and upgrades to Plum Island, the fifty-year-old facility will maintain current research capabilities through 2014, until activities can begin transfer to NBAF. Because DHS

did not select Plum Island as the site for the replacement facility, the S&T Directorate, using the authorization given by Congress, has begun actions to sell the island so that it can offset NBAF construction costs as well as clean up and remediation expenses for the island. DHS intends to sell Plum Island, NY following the model used by GSA during the sale and continued use of the Middle River Depot in Baltimore County, MD as follows:

Congress granted GSA the authority to dispose of the Middle River Depot and permitted GSA to deposit the proceeds of the sale into the Federal Building Fund. This authority for a one-time retention of proceeds allowed GSA to use those funds its real property capital needs. The sale involved a former B26 bomber plant that GSA had been using as a warehouse and as office space for DHS and Army tenants. GSA put up the facility and land for auction in mid FY 2005. GSA accepted the final offer in October 2006 selling the assets to a private entity who, by terms of the sale, allowed the existing tenants to remain until September 2008. During this time, the tenants paid the new landlord rent while the new owner finalized plans and financing for the future use and renovation of the facility. GSA closed with the buyer in January of 2007 and deposited the funds into the Federal Building Fund. The auction and final terms of the sale also laid out the environmental liabilities and hazards associated with the facility and the responsibilities of both the government and the buyer in their remediation.

Congress directed the Secretary of DHS to liquidate Plum Island and associated assets, remediate the environmental liabilities on the island, and transfer all operations currently housed at the Plum Island Animal Disease Center (PIADC) to NBAF, if Plum Island was not chosen as the future site for NBAF. Congress also directed that the gross proceeds of such sale shall be deposited as offsetting collections into the Department of Homeland Security Science and Technology Research, Development, Acquisition, and Operations (RDA&O) account for site acquisition, construction, and costs related to the construction of the NBAF, including the costs associated with the sale, due diligence requirements, necessary environmental remediation at Plum Island, and reimbursement of expenses incurred by GSA. GSA will conduct an auction to sell Plum Island and associated assets during FY 2010. DHS intends to sell and close on the property in FY 2011 at which point S&T will deposit the proceeds into its RDA&O account for use in the construction of NBAF and other associate costs. S&T will continue to occupy PIADC and pay the new owner rent until NBAF is ready for full operations in 2017. This will allow the new owner to finalize their plans for the island's use and to begin the early design and preparatory activities for occupation including remediation of environmental liabilities. The S&T Directorate will determine the extent of the environmental liabilities through an environmental impact statement and will negotiate the implementation of the remediation plan as a term of the sale.

The sale of Plum Island purchase agreement would allow current operations to continue during NBAF construction and eventual transfer of functions upon completion of the new NBAF facility. The S&T Directorate is working with GSA to put the island on the market in late FY 2009 or early FY 2010.

Research and development at NBAF will address multiple vulnerabilities related to an agro-attack on the animal agriculture including foreign animal disease and zoonotic disease pathogens. NBAF will directly support the DHS mission by providing the necessary infrastructure to improve our understanding of potential agro-terrorism such as employing FAD and zoonotic disease pathogens that may be transported and disseminated against U.S. targets; and the work at NBAF will be developing the Nation's abilities to improve protection against such threats.

Consequences of such an attack range from regional to national to international damage, economically and socially. NBAF will greatly reduce the adverse consequences of a bio-terrorist attack against the U.S. animal industries or an unintentional spread of disease by providing the foundational research and development of biological countermeasures and new, more sensitive and accurate methods of disease agent detection and identification, strategies to control disease outbreaks, including vaccines, antiviral drugs, and disease-resistant animals.

Pacific Northwest National Laboratory (PNNL), Area 300 – 2009: \$25.000 million; FY 2010 estimate: \$12.000 million. Funds construction of a Capability Replacement Laboratory at the DOE's PNNL in Richland, WA. The DOE Office of Science manages this project. ONL represents DHS to provide project management oversight and coordination for the construction of this DOE-led project, scheduled to be operational in FY 2011. PNNL currently provides DHS with research and development capabilities in several areas, such as radiological detection and analysis, dosimetry for standards, and information analytics, in support of the S&T Directorate, National Protection and Programs Directorate, DNDO and CBP. In FY 2007, ONL supported the joint program's facility design activities. ONL completed the design in FY 2007, and began construction in FY 2008; ONL expects completion of PNNL 300 construction in FY 2011 and no future funds will be required for this activity.

Infrastructure Upgrades – 2009: \$0.000 million; FY 2010 estimate: \$5.000 million. Ensures that DHS S&T laboratories do not reach a point where dilapidated infrastructure or the lack of sufficient infrastructure prohibits conducting needed research and development. These capital upgrades ensure that DHS S&T laboratories meet modern laboratory standards and avoid an unmanageable and unaffordable situation in which numerous key facilities require upgrades at once.

The first project under Infrastructure Upgrades will add storage space, including explosive storage bunkers, at TSL so that the laboratory can continue to support increasing system development testing requirements. TSL currently rents space off-site to store explosives, which it cannot continue to do with the anticipated growth in the need to validate the performance of explosives detection systems. In FY 2010, this project will begin the construction of needed storage space, which will eliminate the need to rent space off-site.

Adequate storage space at TSL is an immediate need, but it is also the first step in developing needed additional capabilities at the laboratory in the future. Currently, the laboratory operates second and third shifts and must rotate equipment amongst various laboratory cells to conduct testing. Any disruptions in these activities impact testing schedules and result in delays in delivering technology solutions to DHS customers.

PPA: TEST & EVALUATION AND STANDARDS DIVISION

	Perm Pos	FTE	Amount
2008 Actual			\$29,704
2009 Enacted			28,674
2010 Adjustments-to-Base			(574)
2010 Current Services			28,100
2010 Program Change			574
2010 Request			28,674
Total Change 2009-2010			0

The Science and Technology (S&T) Directorate requests \$28.674 million for Test and Evaluations (T&E) and Standards development, of this amount \$0.717 million supports the SBIR Program. This request will fund T&E and Standards current programs, including the System Assessment and Validation for Emergency Responders (SAVER) program that started in FY09.

CURRENT SERVICES PROGRAM DESCRIPTION

The Test and Evaluation (T&E) and Standards program provides technical support and coordination to assist the Nation’s emergency responders in the acquisition of equipment, procedures and mitigation processes that are safe, reliable and effective. The program carries out its activities through two thrust areas: T&E and Standards. The T&E thrust area works across the Department of Homeland Security (DHS) to measure whether technologies and tools perform well and are applicable to homeland security operations. DHS uses T&E results to make informed acquisition and deployment decisions. The Standards thrust area supports the development of consensus-based measures from basic specifications to performance criteria. When products meet standards, they give DHS and its customers confidence that technology and systems will perform as required. The S&T Directorate works across DHS and numerous external partners to build consensus on, and encourage the adoption of, voluntary standards.

Standards Thrust Area – Standards are the basic measures of effectiveness that provide specifications throughout the entire development cycle of a technology or system. The Standards thrust area coordinates the adoption of national standards and appropriate conformity assessment methods to ensure that our Nation's emergency responders can rely on the equipment to do their jobs. In addition, Standards ensures that personnel from different jurisdictions can easily communicate with one another; that detection and testing for threat agents produces consistent, accurate results; and that training exercises provide the instruction and practice that will best prepare homeland security personnel for responding to certain events. The lack of effective standards to measure product performance can lead to inconsistent grant guidance and the purchase of inferior or inappropriate products.

DHS does not have authority to impose regulatory standards and must therefore promote the development of voluntary consensus standards. Voluntary consensus standards rely on coordination and consensus between large numbers of entities. The Standards thrust area gathers requirements and facilitates the adoption of standards through formal standards working groups,

interagency task forces, conferences, and workshops with private-sector standards organizations, such as the National Fire Protection Association (NFPA) and ASTM International. The Standards thrust area does not seek to generate new standards, but solicits and endorses existing national-level standards.

Explosives Standards Program – FY 2009: \$3.170 million; FY 2010 estimate: \$3.300 million. Develops standards related to explosives detection, including standards for detectors and protective equipment, body-scanning systems, and cargo. In FY 2008, the program released standards for explosives detection, including draft standards of checkpoint/body scanning. In FY 2009, the program will draft standards for trace explosives detection; develop draft standards for high-energy computed tomography systems; and develop a methodology and test kit for quality control and assurance of field-deployed equipment to determine their effectiveness in detecting explosives. The program will also initiate standards development for standoff explosives detectors, improvised explosive device (IED) countermeasures technology (including radio frequency countermeasures used in jamming technologies), and terahertz technologies that can penetrate a wide variety of materials for body scanning. In FY 2010, the program plans to complete the development of trace explosives standard test materials for RDX and C4 explosives; develop a test kit for evaluation and quality control of walk-through portals; and finalize and adopt standard test methods for X-ray inspection systems and body scanners.

Chemical/Biological Standards Program – FY 2009: \$3.423 million; FY 2010 estimate: \$3.372. Develops standards related to chemical and biological threat detection. This includes development of a comprehensive suite of performance standards for detection equipment, guidance on how to respond to chemical/biological incidents, and the development of simulants (e.g., anthrax bacteria (*Bacillus anthracis*) and ricin) for testing. The program, working through two stakeholder groups, provides State and local authorities with guidance on chemical/biological detectors purchases.

In March 2008, the program conducted an initial decontamination guidance workshop. In FY 2009, the program will work to finalize standard test materials for anthrax and ricin, release interim guidance for chemical and biological decontamination, and develop guidance for first-responders to assess whether chemical and biological detection technologies meet manufacturer claims. In FY 2010, the program plans to develop draft training protocols to support decontamination guidelines. In addition, the program also plans to initiate the chemical warfare agents/toxic industrial chemicals detection standards program, including standoff (optical) detection systems.

Command, Control, and Interoperability Standards Program – FY 2009: \$0.951 million; FY 2010 estimate: \$1.000 million. Develops standards related to interoperable communication and incident management. Specific projects within this area address gaps not covered in the larger, overarching SAFECOM and National Institute of Justice interoperable communications projects, but address issues related to interfaces with protective equipment.

In FY 2008, the program presented these standards to U.S. manufacturers in workshops and test exercises. In 2008, the program initiated work with the National Incident Management System (NIMS) Integration Center to collect, assess, and evaluate FY 2007 compliance data to support

revisions of NIMS-related standards. In FY 2009, the program will adopt and updated existing incident-management standards and complete a gap analysis for new requirements. The program will also establish communication and coordination with the FEMA's newly formed Incident Management System Integration Directorate.

In FY 2009, the program will initiate work on Knowledge Management Standards, which address the need to organize, manage, and protect information databases used during incident management. This work will coordinate DHS standards adoption with national programs like the National Information Exchange Model (NIEM) and the Federal Geographic Data Committee, which is working with the DHS Office of the Chief Information Officer (OCIO) Data Management Working Group and the U.S. Coast Guard Position, Navigation and Timing Working Group. In FY 2010, the program plans to investigate the feasibility of using multiple-input, multiple-output (MIMO) communication concepts to improve ad hoc system performance for Incident Management. In addition, the program plans to incorporate performance requirements into the NFPA standard on radio communication equipment and to develop standards for indoor localization based on NFPA requirements.

Borders/Maritime Standards Program – FY 2009: \$1.321 million; FY 2010 estimate: \$1.000 million. Develops standards for cargo security and Radio Frequency Identification Device (RFID) technologies that are used to tag and track containers. Standards for border security technologies and systems are critical to ensure their effectiveness in protecting the Nation's ports and borders. Program activities focus on: (1) standards to enhance the security of shipping containers and cargo handling processes; and (2) standards to facilitate the reliable use of RFID systems for homeland security and first-responder applications.

In FY 2008, the program worked with Customs and Border Protection (CBP) and other organizations to review existing standards, conduct gap analyses, and gather user requirements to develop cargo security standards. In FY 2009, the program will continue the gap analysis and initiate work with the American National Standards Institute (ANSI) and other organizations to examine the current suite of applicable global trade and supply chain standards. In FY 2010, the program plans to analyze emerging cargo screening and sensor technologies for standards and to deploy a pilot RFID counterfeit detection system. The program also plans to develop consensus standards to comply with upcoming regulations, particularly the Federal Information Processing Standards (FIPS)-140).

Also in FY 2008, the program initiated development of performance requirements for RFID technologies. In FY 2009, the program will support development of additional RFID-based sensor network standards and performance metrics for cargo and border security. The program will also evaluate the feasibility of RFID counterfeit detection by electromagnetic signatures or other means and demonstrate technology required for FIPS 140 Level IV compliant RFID. In FY 2010, the program plans to analyze emerging cargo screening and sensor technologies for standards needs and to deploy a pilot RFID counterfeit detection system. The program also plans to develop consensus standards for reaching FIPS-140 Level IV compliant RFID systems.

Human Factors Standards Program – FY 2009: \$2.285 million; FY 2010 estimate: \$2.200 million. Develops standards for biometrics technologies and government personnel credentials.

A primary focus is on developing biometric standards and tests to ensure that a nationwide biometrics system can accurately identify individuals. To facilitate the identification of individuals, biometric information must be housed in searchable databases that are accessible to many government entities. The overall success of such a database requires standards for acquiring biometric information.

In FY 2008, the program identified and integrated emerging biometric technologies into its efforts, ensuring through performance testing and analysis, that they meet the developing suite of biometrics standards. In FY 2009, the program will provide draft standards for image quality for face, fingerprint, and iris biometrics, specifically to enhance interoperability of U.S. Visitor and Immigrant Status Indicator Technology (US VISIT) and FBI's Integrated Automated Fingerprint Identification System (IAFIS) fingerprint databases. In addition, the program will begin to provide on-line test data sets that manufacturers can use to test and develop next-generation software. In FY 2010, the program plans to implement an accreditation program for biometrics test and evaluation and develop training materials for assessors to use in performing audits under the accredited test lab program.

In FY 2008, the program began developing consensus standards for credentials of officials and responders at various levels in the government. These standards will integrate information stored in various databases to enable the rapid identification of personnel as well as verify their certifications, capabilities, and duties. Also in FY 2008, the program initiated standards development for version two of the Transportation Working Identification Credential (TWIC) and developed a suite of standards based on the universal access control mechanism through ANSI's International Committee on Information Technology Standards Cyber Security 1 (INCITS/CS1). In FY 2009, the program will complete initial standardization of the data model/architecture for first responder credentials. While the TWIC program addresses specific mandates for the transportation sector, the credentialing standards address the needs of all responder and emergency personnel and ensure that their credentials mesh neatly into emerging data and incident command systems. In FY 2010, the program plans to finalize and publish universal access control standards and to develop a reference implementation and conformance-testing tool for responder credentials.

Infrastructure and Geophysical Standards Program – FY 2009: \$4.463 million; FY 2010 estimate: \$4.800 million. Develops standards to enable emergency responders to purchase the appropriate equipment to protect them and the best operational equipment to use in protecting the public. The program focuses on protective clothing and gear, (e.g., breathing apparatus) used by emergency responders. In FY 2008, the program initiated activities that focus on further developing standards for chemical, biological, radiological and nuclear (CBRN) respiratory protection equipment, establishing certification programs, and updating, as necessary, previously developed standards. This included revising the NFPA personal protective equipment (PPE) standards previously adopted by DHS. In FY 2009, the program will support development of draft all-hazards protective clothing standards with attention to dermal hazards posed by toxic industrial chemicals and toxic industrial materials. The program will also continue facilitation of the development of standards for law enforcement officer PPE. In addition, the program will implement standards development for hybrid CBRN respiratory protection equipment, such as combined self-contained breathing apparatus and air purifying respirator systems. In FY 2010,

the program plans to review existing respiratory protection guidelines, and in collaboration with other Federal partners, propose modifications to existing standards.

Current activities also focus on standards for Geographical Information Systems (GIS). In FY 2008, the program coordinated with DHS users of GIS information to ensure that emerging information systems at DHS use the same relevant data standards as other Federal entities. In FY 2009, the program will finalize input to NFPA standards for indoor localization technologies. This supports NFPA development of a next generation Personal Alerting Safety System standard and test method. Funding for this activity ends in FY 2009.

Platforms Program – FY 2009: \$2.113 million; FY 2010 estimate: \$2.000 million. Organizes standards development for Urban Search and Rescue (USAR) robots, sensor networks and alert systems, and HAZMAT equipment. Consolidating customers' requirements for common detection technologies will prevent duplicative development efforts and reflects the move of DHS towards integrated technologies that will respond to a range of scenarios, while lowering operational costs. The program will have two emphasis areas: (1) mobile platforms, which includes robots and Unmanned Aerial Vehicles (UAVs) and other mobile detection applications; and (2) sensors and alert networks, which will include stationary sensor systems and the networks to support them.

In FY 2008 and FY 2009, the program supported the development of standard test methods for advanced sensors and mobility used in USAR robots. In FY 2010, the program plans to calibrate and characterize a test facility that can conduct standard test methods for USAR robots as well as produce user guides that assist in decision-making about appropriate robots for given situations. The program also plans to draft standards, organize review of best practices by responders, and develop data sets for verification of conformance and commercial products to sensor standards.

Also in FY 2008, in the area of sensors and alert networks, the program began to identify standards development efforts needed to ensure packages of sensors work together and provide data to users in a standardized, secure format. In FY 2009, the program will begin technology maturity assessments to identify new candidate sensor technologies for standardization, including sensor interfaces, data transmission/exchange, and security. In FY 2010, the program plans to develop data sets for verification of conformance of commercial products to sensor standards.

Standards Development Program – FY 2009: \$1.110 million; FY 2010 estimate: \$1.700 million. Standards development requires consensus and significant resources across and outside DHS. A unique commitment to partnerships and ongoing infrastructure is needed to support both general activities (databases, working groups) and specific projects (biothreat identification protocols). For some private-sector standards development organizations, the S&T Directorate must pay to maintain its membership and ensure voting rights in decision-making processes. The S&T Directorate maintains important relationships with standards development organizations such as ANSI, ASTM International, Institute of Electrical and Electronics Engineers (IEEE), NFPA, National Institute of Occupational Safety and Health, additional program partners and include FEMA's Incident Management System Integration Division, Transportation Security Laboratory (TSL), Association of Analytical Communities (AOAC) International, Homeland Security

Institute (HSI), and the Interagency Board for Equipment Standardization and Interoperability (IAB).

Voluntary Private Sector Accreditation and Certification Preparedness Program (PS-Prep) - Congress identified four DHS components in Section 524 of Title IX of Public Law 110-53, “Implementing the Recommendations of the 9/11 Commission Act of 2007,” and directed the Secretary to establish a program for accreditation and certification of private sector preparedness. The Division is leading the team on identification of standards to adopt for use in this program.

In FY 2008, the program selected the ANSI-ASQ National Accreditation Board (ANAB) to develop and oversee the certification process, manage the accreditation, and accredit qualified third parties to carry out the certification in accordance with the accepted procedures of the program. The Division established a contract with ANAB and regularly monitors and inspects their operations to ensure that the third party conformity assessment bodies are complying with the accreditation procedures and requirements as well as all other applicable requirements. In FY 2009, the program will develop and refine criteria and processes to continuously evaluate and maintain preparedness standards for use in the program.

Test and Evaluation Thrust Area – Establishes and issues policies and procedures and coordinates T&E resources to verify attainment of technical performance specifications and operational effectiveness/suitability. The goal is to integrate a uniform and centrally managed Departmental T&E process into the entire development and acquisition lifecycle early and through continuous oversight and evaluation of system test requirements, planning, and execution, providing for an independent T&E assessment. The infrastructure area will assess, integrate, and coordinate DHS and non-DHS test assets to ensure adequate test capabilities are available to support acquisition programs. The objective of this thrust area is an integrated T&E process that provides vital information to decision makers and first responders on the capabilities and limitations of proposed systems.

T&E Plans and Policy Program – FY 2009: \$0.317 million; FY 2010 estimate: \$0.500 million. Develops and disseminates T&E policies and procedures that define T&E activities required of all DHS components throughout the system acquisition process. In FY 2008, the program established a T&E Council with representatives from DHS components. This council meets quarterly and addresses T&E policy, processes and infrastructure issues. Also in FY 2008, the T&E policy program worked closely with DHS Undersecretary for Management to ensure the updated Acquisition Directive addressed T&E. The program also initiated development of a robust department-wide T&E policy that is fully integrated into the Department’s Acquisition framework. In FY 2009, the program will finalize the T&E Directive that supplements the Department’s recently adopted Acquisition policy. Additionally, the program will initiate the development of a T&E Instruction that provides guidance to the DHS Components on how to implement the T&E activities addressed in the T&E Directive. The program will also begin development of a T&E Training course and continue to support the DHS T&E employee certification program. In FY 2010, the program plans to implement T&E training courses and will initiate work on a T&E Guidebook for Program Managers across DHS.

Infrastructure Program – FY 2009: \$0.317 million; FY 2010 estimate: \$0.477 million.

Assesses, integrates, and coordinates the physical Federal test assets and non-Federal assets at colleges, universities, local governments, private research institutes, and companies. This program will review the DHS acquisition programs' T&E infrastructure capabilities needed to perform the required T&E program and conduct gap analysis of existing DHS and non-DHS infrastructure to determine required investments or upgrades.

In FY 2008, the program initiated a review of DHS T&E infrastructure capabilities and developed a detailed matrix of DHS T&E infrastructure capabilities. In FY 2009, the program will complete the infrastructure review and provide a T&E capability matrix to the components that will allow DHS acquisition programs to choose existing capabilities that meet their testing requirements rather than build duplicative infrastructure. Additionally, the T&E infrastructure review will be expanded to begin collecting non-DHS T&E capabilities. The program will begin to assess the T&E infrastructure needed by participating in test planning meetings with acquisition programs across DHS. In FY 2010, the program plans to identify DHS T&E Infrastructure needs and work with the DHS components to develop the appropriate funding model. The program will refine the test-capability accreditation process and work with test facilities and laboratories to encourage voluntary laboratory accreditation.

Test Area/Capabilities Program – FY 2009: \$2.623 million; FY 2010 estimate: \$2.500 million.

Works directly with DHS acquisition programs to assist in the development and execution of a robust T&E program that will lead to the evaluation of the program's operational effectiveness and suitability. In FY 2008, the Test Area/Capabilities program worked closely with several acquisition programs over \$1 billion in life cycle costs (Level 1 programs) to mature and implement the department-wide T&E process by: participating in T&E working groups; approving Test and Evaluation Master Plans; approving Operational Test Plans; participating in Operational Test Readiness Reviews; observing testing; and providing Operational T&E support to the Acquisition Review Board (ARB). In FY 2009, the program will expand its oversight function to all DHS Level 1 and non-delegated programs and will begin writing an independent assessment report of the program's Operational Test and Evaluation. In FY 2010, the program plans to continue its oversight function as well as expand to include new Level 1 and non-delegated programs.

In FY 2008, the Modeling and Simulation (M&S) program initiated an assessment of the current modeling, simulation and analysis (MS&A) focus areas for homeland security applications, which evaluated MS&A shortfalls and opportunities and reviewed the M&S policies in federal organizations and agencies. This effort included discussions with M&S/computational science subject matter experts from academia and industry. In FY 2009, the program will develop a DHS M&S T&E policy and establish an M&S working group under the T&E Council with participation by all DHS components. The M&S working group will address issues regarding the evaluation and use of M&S and computational science. In FY 2010, the program plans to implement the M&S T&E policy and work to establish a DHS model verification, validation, and accreditation process.

First Responder Technologies Program – FY 2009: \$5.000 million; FY 2010 estimate: \$4.674 million. Develops an operational T&E program for First Responder Technologies. The

operational test program will conduct operational tests and assessments on commercial equipment and systems. In FY 2009, the Division will collaborate with FEMA to assume management and funding responsibility for the System Assessment and Validation for Emergency Responders (SAVER) program, previously managed by FEMA. The SAVER program tests and assesses commercially available equipment that falls within the categories listed on the DHS Authorized Equipment List and provides the results along with other relevant equipment information to the First Responder community. In FY 2010, the Division will continue to collaborate with FEMA to identify and prioritize specific product categories for assessment through the SAVER program. The SAVER program will continue to produce Assessment Reports that focus on answering responders' questions on how specific products perform. In addition, in FY 2010 the SAVER Program will continue to produce Market Survey reports. These reports identify for the responder community what equipment is available in a specific product category and details the technical characteristics of that equipment.

PPA: TRANSITION

	Perm Pos	FTE	Amount
2008 Actual			\$46,330
2009 Enacted			28,830
2010 Adjustments-to-Base			2,304
2010 Current Services			31,134
2010 Program Change			14,000
2010 Request			45,134
Total Change 2009-2010			16,304

The Science and Technology (S&T) Directorate requests \$45.134 million for Transition, of this amount \$1.128 million supports the SBIR Program. The increase of \$16.304 million supports continued efforts in Program Transition and the First Responder Technologies program.

CURRENT SERVICES PROGRAM DESCRIPTION

The Transition Office delivers near-term products and technology enhancements by working with the Department’s components to expedite the technology transition process. The office provides personnel, processes, and resources to support the transition and transfer of S&T Directorate technologies to customers. Activities involve integrating technology development efforts across the S&T Directorate to develop the most cost effective and timely solutions and processes to meet customer requirements. The Transition Office carries out these core responsibilities through the following two thrust areas: SAFETY Act and Transition.

SAFETY Act Thrust Area – FY 2009: \$8.500 million; FY 2010 estimate: \$8.680 million. The Office of SAFETY Act Implementation (OSAI) evaluates and qualifies technologies for liability protection in accordance with the *Support Anti-Terrorism by Fostering Effective Technologies (SAFETY) Act of 2002* and the supporting regulations of the Final Rule (6 CFR Part 25) implemented on July 10, 2006. As part of the *Homeland Security Act of 2002* (Public Law 107-296), the SAFETY Act provides risk management and liability protections for sellers of Qualified Anti-Terrorism Technologies. The purpose of the SAFETY Act is to ensure that the threat of liability does not deter potential manufacturers or sellers of effective anti-terrorism technologies from developing, deploying and commercializing these technologies. There are three key areas of focus for OSAI: operations, outreach, and coordination.

Operations – OSAI processes applications under the criteria stipulated by the provisions of the SAFETY Act in an expeditious manner. As part of this process, OSAI evaluates the efficacy of candidate technologies based on a set of criteria set forth in the Final Rule, considers the applicant’s current insurance situation, and advises the Department of Homeland Security (DHS) whether to issue SAFETY Act protections to the company.

In FY 2008, OSAI reduced the number of Requests for Information (RFIs) sent to applicants requesting clarification of information, which resulted in a significant decrease in the evaluation process timeline. Also in FY 2008, OSAI conducted an independent assessment of its business

process performance to identify further efficiencies. To improve service to the applicants and keep up with increasing volume, in FY 2009, OSAI will work to modernize SAFETY Act IT system; enabling the Office to handle an increased process flow as the program continues to mature. In FY 2009 and FY 2010, OSAI will continue evaluating and streamlining business processes to ensure that at least 85 percent of applications are processed within the congressionally mandated timeline of 120 days and continue to grow the program by 10 percent a year.

Outreach – OSAI promotes homeland security technologies by raising public awareness of the benefits of liability protections available under the SAFETY Act and thereby expand the creation, proliferation, and use of anti-terrorism technologies.

In FY 2008, OSAI continued expanding its outreach into untapped homeland-security technology markets to encourage full industry participation. To this end, OSAI attended approximately 42 conferences and stakeholder meetings as well as continued its aggressive communication strategy with previously unreached industry groups, trade associations and others involved in strategic areas of homeland security. In FY 2009 and FY 2010, the program plans to continue its outreach efforts into priority homeland-security technologies and under-represented technology areas to further industry participation. Due to the previous successes, OSAI will continue to hold periodic SAFETY Act workshops. OSAI also plans to hold these workshops outside of the Washington, DC Metropolitan Area to reach more potential stakeholders.

Coordination – OSAI coordinates the SAFETY Act application review process across DHS and with other Federal agencies to support these partners in their missions and to minimize the burden on applicants for SAFETY Act protection. This crucial advance coordination regularly occurs wherever the SAFETY Act can play an important role in pending Federal procurements.

In 2008, OSAI continued to align the SAFETY Act process to the Federal procurement process to (1) reduce submission of contingent contracts by offerors; (2) streamline the application process for similar or identical technologies containing the same basic scientific principles (such as different types of X-ray systems); and (3) identify, in advance of Requests for Proposals, appropriate anti-terrorism technologies that will be considered for, or entitled to, SAFETY Act protections. The program also identified, in advance of Requests for Proposals (RFPs), appropriate Qualified Anti-Terrorism Technologies that were to be considered for, or entitled to, SAFETY Act protections. In FY 2009, the SAFETY Act program will expand coordination with other Federal agencies to assist in the creation of Federal best practices, standards and guidelines and work with public and private consortiums/associations to identify promising technologies for prompt consideration under the SAFETY Act as well as sector-specific areas identified by the *National Infrastructure Protection Plan* (NIPP). In FY 2010, OSAI also plans to work with universities and national laboratories that research develop, and pilot new innovative homeland security technologies to educate and inform them about the SAFETY Act.

Transition Thrust Area – Provides personnel, processes, and resources to support the transition and transfer of S&T Directorate technologies to customers. Integrates technology development efforts across the S&T Directorate to develop the most cost-effective and timely solutions to meet customer requirements. This work includes coordinating technology efforts with

international agencies and other government agencies and providing an appropriate venue for first-responder input to the S&T Directorate's transition process.

International and Interagency Programs – FY 2009: \$3.571 million; FY 2010 estimate: \$3.642 million. Leverages the capabilities of external organizations, within the U.S. and abroad, to address high-priority homeland security needs. The International and Interagency Programs facilitate the S&T Directorate's cooperative RDT&E activities across Federal, State, local, territorial and tribal governments, the international community, and the private sector. These activities include:

- Guiding the S&T Directorate's coordination of Federal government and private-sector efforts to identify and develop countermeasures against current and emerging threats;
- Leading a world-wide staff of science and technology liaison officers who help execute S&T Directorate programs of national and international scope and impact; and
- Facilitating both national and international technology awareness to avoid technological surprise and ensure the Department's technological superiority.

In FY 2008, these programs continued to leverage external organizations in three venues: interagency agreements; international agreements; and national and international collaborations, which include visiting scientist collaborations, conference/workshop collaborations, and science and technology collaborations.

The Interagency program sponsored the first in a series of Regional Homeland Security Summits. The Pacific Northwest Regional Summit brought together the Adjutant Generals, State Emergency Management Directors, the State Directors of Public Health, the State Patrol Chiefs, and the FEMA Directors from Regions 8 and 10 with the objective of strengthening DHS collaborative efforts, enhancing identification and prioritization of regional technology needs, and information sharing. The Interagency program recruited a seasoned first responder to help address specific technology needs from that community and to help bring the first responder needs into the S&T Directorate's program development efforts. The Interagency program continued S&T Directorate cooperation, coordination, leverage, and liaison with the Joint Staff and appropriate Combatant Commanders, including U.S. Northern Command, U.S. Joint Forces Command, U.S. Transportation Command, and U.S. Strategic Command. In addition, Interagency programs engaged with State Homeland Security Advisors and Emergency Management leadership and their staffs to address their needs with the S&T Directorate and sought potential linkages between local needs and S&T Directorate initiatives.

The International program funded five international research projects through grant solicitation program to expand DHS's access to worldwide, cutting-edge S&T Directorate research in support of homeland security. The grant program allowed the International program to address significant challenges, including the ability to assess methods to protect the cross-border produce supply chain, to assess the effectiveness of international policies on terrorist activity and to develop an entirely new glass material to protect against blast and projectiles. Other International activities included a bilateral S&T Directorate exercise with the Government of Sweden on maritime domain awareness (MDA) to identify joint strengths and gaps for port and maritime security and development of a coordinated binational MDA S&T Directorate program. The International program initiated a scientist and engineer exchange program with key nations

to facilitate international technology awareness and prevent technology surprise. The program also implemented two more bilateral agreements with the United Mexican States and the State of Israel.

In FY 2009 and FY 2010, the International and Interagency programs plan to continue to leverage external organizations. The Interagency program plans to expand S&T Directorate outreach to State/ Local/ Territorial/Tribal, homeland security, emergency management, and related agencies. It plans to expand collaborative relationships and outreach with other entities, such as the Department of Defense, Department of Energy, the National Guard, the Joint Staff, and appropriate Combatant Commanders to leverage RDT&E efforts and capabilities. The Interagency program plans to conduct additional Regional Homeland Security Interagency Symposia to strengthen DHS regional collaborative efforts and to collect State/Local/Territorial/Tribal input on technology gaps and to communicate achievements. In addition, the Interagency program plans to establish the S&T Directorate First Responder Integrated Product Team (IPT).

The International program plans to expand the grant solicitation program to include funding of six international research projects per year. Other planned International activities in FY 2009 and FY 2010 include numerous international workshops, conferences, and activities that will build capacity for international cooperation in the technical areas of S&T Directorate Divisions. International programs plans to facilitate international participation in an International Conference on Science and Technology in Sweden in FY 2009. The program plans to establish S&T Directorate agreements with at least two new international partners.

Program Transition – FY 2009: \$4.463 million; FY 2010 estimate: \$5.684 million. Aligns and coordinates the S&T Directorate's transition effort with the Departmental component's requirements using Capstone Integrated Product Teams (IPT). This product transition program focuses on delivering near-term technology to meet customer-identified science and technology requirements as well as informing the Basic Research and Innovation Offices of priority customer technology needs. The Capstone IPTs consist of thirteen functional homeland security areas: Border Security; Cargo Security; Chemical/Biological Defense; Cyber Security; Counter-Improvised Explosive Devices (IED); Transportation Security; Incident Management; Infrastructure Protection; Information Sharing/Management; Interoperability; Maritime Security; People Screening, and the newest Capstone IPT, the First Responder IPT.

In FY 2008, the Transition Office continued to mature the IPT process and conduct further analysis to appropriately align the S&T Directorate's advanced technology efforts to the Department's highest priority mission capability gaps. It also conducted quarterly status updates and semi-annual program reviews. In FY 2009, the Office plans to identify appropriate support and analysis of customer gaps through the IPT process. In FY 2010, it plans to refine support and analysis of customer gaps through the IPT process and monitor efforts for cost, schedule, and capability to ensure the technology effectively transitions into acquisition.

In addition to the Capstone IPTs, the Transition Office, through the efforts of the Chief Commercialization Officer (CCO), manages the development and execution of programs and processes that identify, evaluate, and commercialize technologies that meet the operational requirements of DHS operating components, first responder community, and end-users. The

CCO also develops and manages the S&T Directorate's outreach effort with the private sector to establish and foster mutually beneficial working relationships that lead to fielding technologies to secure the Nation. In FY 2008, the Office established the SECURE Program, an innovative business initiative that enables collaboration of public and private entities to develop products and services rapidly for DHS and first responders. It also developed and started implementing a comprehensive commercialization process for all of DHS. In FY 2008, the program developed a detailed database of firms in the private sector with technologies, capabilities and products aligned with the identified capability gaps. In addition the program expects a minimum of five new SECURE Operational Requirements Documents (ORDs) generated by DHS/First Responders in FY 2009 and 15 ORDs in FY 2010.

Within the Transition Office, the Technology Transfer Program manages the Office of Research and Technology Application (ORTA), to conduct technology transfer in accordance with 15 USC 3710. The Technology Transfer Program also represents DHS in the Department of Defense's 1401 Technology Transfer Working Group, used to identify and transfer DOD technology, items, and equipment that can be used by the Federal, State, and tribal first responders. In FY 2009, the Technology Transfer Program plans to commence with its annual Technology Transfer and Intellectual Property Training for all engineers and scientists. The program also plans to implement a knowledge management system to capture and track the use of all technology transfer mechanisms and intellectual property developed within S&T Directorate. In FY 2009, the ORTA will establish an Invention Evaluation Board (IEB) to assess the patentability of DHS' inventions. In FY 2010, the Technology Transfer Program plans to establish a partnership intermediary network to assist with creating partnerships for Cooperative Research and Development Agreements (CRADAs) and licenses, continue training engineers and scientists, and have all DHS laboratories fully participating in the Federal Laboratory Consortium (FLC).

Transition Pilot Program – FY 2009: \$2.000 million; FY 2010: \$0.000. Identifies, researches, develops, and transitions advanced technologies and manufacturing processes in the homeland security industrial base. The Homeland Security Research, Development, & Manufacturing Pilot (HomeTech) will significantly improve the affordability and mission capability of DHS products and systems by engaging in manufacturing initiatives that address the entire system life-cycle and will enable the timely transition of laboratory technology to industry and the marketplace.

HomeTech will aid in the economical and timely acquisition and sustainment of DHS S&T technologies, systems, and components that are developed for the nation's first responders. HomeTech will also ensure that advanced manufacturing processes, techniques, and equipment are available for reducing materiel acquisition, maintenance, and repair costs as well as to bridge the gap from research and development to full-scale production. HomeTech will promote capital investment and industrial innovation in new plants and equipment by reducing the cost and risk of advancing and applying new and improved manufacturing technology. This will also ensure that manufacturing technologies used to produce materiel are consistent with safety and environmental considerations and energy conservation objectives. In addition, HomeTech will sustain and enhance the skills and capabilities of the manufacturing work force, and promote high levels of worker education and training. The S&T Directorate will disseminate the pilot program results throughout the industrial base.

HomeTech's first three projects will look at reducing the cost of a portable chemical detection system developed for first responders, ocular systems that detect chemical exposure to toxic chemicals, and the Safe Against Fire and Embers (S.A.F.E.) quick-cover project which provides protect for homes against wildland fires.

First Responder Technologies – FY 2009: \$0.000 million; FY 2010 estimate: \$12.000 million. Develop and design technologies to address capability gaps identified by Federal, State, local and tribal first responders in the First Responder Capstone Integrated Product Team (IPT). Using the prioritized capability gaps from the IPT, the S&T Directorate's six divisions will propose technology solutions. The First Responder IPT will then prioritize these technology solutions to determine which to fund. This program will also test technologies, assess them for usability, and commercialize them so the technologies are available across all First Responder communities. In FY 2009, the S&T Directorate will stand up the first responder IPT and integrate it into the current product transition program. In FY 2009 and FY 2010, Federal, State, local and Tribal First Responders will identify science and technology requirements and prioritize technology solutions proposed by the S&T Directorate's divisions. In FY 2010, the divisions plan to start these new first responder initiatives. Additionally in FY 2010, the S&T Directorate, in continued partnership with the Naval Post Graduate School, will field test first responder prototype technologies.

Homeland Security Institute (HSI) – FY 2009: \$0.000 million (PPA: HSI in FY09); FY 2010 estimate: \$0.000 million. HSI is a specialized studies and analysis Federally Funded Research and Development Center (FFRDC) established by the Homeland Security Act of 2002. The Institute provides a unique source of in-depth knowledge of homeland security mission objectives, operational concepts and requirements, strategies, resources, systems and technologies. The Institute's mission is to assist DHS and its operating elements in addressing important homeland security issues, particularly those requiring scientific, technical and analytical expertise. The research agenda covers the spectrum of homeland security issues and activities, including threat trends and adversarial perspectives, information sharing and communications interoperability, border and transportation security, law enforcement, infrastructure protection, preparedness, emergency response, and training.

As the primary sponsor, the S&T Directorate provides core funding for HSI. Prior to FY 2008, the S&T Directorate funded HSI's core activities through its division budgets. In FY 2008, the S&T Directorate created a new program within the Transition PPA to fund HSI. HSI customers include all operational components of the Department—Federal Emergency Management Agency (FEMA), Customs and Border Protection (CBP), Transportation Security Administration (TSA), United States Coast Guard (USCG), National Operations Center, United States Secret Service (USSS), Immigration and Customs Enforcement (ICE), United States Citizenship and Immigration Services (USCIS), Office of Health Affairs (OHA), Domestic Nuclear Detection Office (DNDO), DHS Chief of Staff, Policy Directorate, National Preparedness and Protection Directorate (NPPD), Management Directorate, Intelligence and Analysis Directorate, and the Office of Counter-Narcotics.

In FY 2008, HSI conducted studies and analyses for the Department and its components in support of their mission needs. Recent studies conducted by HSI include, but are not limited to:

- Risk Assessment Process for Informed Decision Making (RAPID)
- National Counter-IED Research & Development Strategy for DHS S&T Directorate
- Management Directive (MD) 102-01 Acquisition Management, November 2008
- Biodefense Net Assessment: Countering a Bioterrorism Campaign in the New Century, August 2008
- National Response Framework and the National Incident Management System
- TSA Airport Employee Screening Assessment
- Nuclear Event Public Communications Strategy
- CIS Immigration Reform
- Small Vessel Security Implementation Plan
- Voluntary Private Sector Preparedness
- Independent Program Analyses and Evaluations
- The Institute is finalizing the first three studies: Air Cargo Security; National Bio-surveillance Integration Center (NBIC); National Command Coordination Capability. Bound White Paper by HSI titled: Utility and Integration of Cargo Advanced Automated Radiography systems (CAARS) in the Global Nuclear Detection Architecture (GNDA)
- Advanced Spectroscopic Portal (ASP) Independent Review
- Acquisition Program Baseline (APB) Review Teams
- In order to facilitate successful Acquisition Review Board (ARB) decisions for DHS Level I and II Programs, the Institute provides two teams of Subject Matter Experts to assist the OCPO/APMD in reviewing APB specific documentation.

The authorization for HSI expires April 25, 2009. The S&T Directorate re-competed a studies and analysis FFRDC under the authority of Section 305 of the Homeland Security Act of 2002.

Homeland Security Studies and Analysis Institute (HSSAI) – FY 2009: \$0.000 million; FY 2010 estimate: \$5.000 million. The S&T Directorate awarded a Homeland Security Studies and Analysis Institute (HSSAI) FFRDC contract in March 2009. The purpose of HSSAI is to provide special technical expertise to Department mission owners to analyze and conduct trade-off studies of mission-level goals and strategies, analyze operations and operational requirements, and evaluate performance metrics constrained by cost and schedule. The HSSAI will generally consider all missions within the context of threat, consequence, and vulnerability risk reduction under the constraints of cost and schedule. The research agenda covers the spectrum of homeland security issues and activities, including threat trends and adversarial perspectives, information sharing and communications interoperability, border and transportation security, law enforcement, infrastructure protection, preparedness, emergency response, and training. In FY 2009 and FY 2010, the HSSAI plans to provide recommendations for policy and operational changes as well as technology insertion concepts throughout the Federal, State, local, tribal, public and private sector organizations that make up the homeland security enterprise.

The studies and analyses include, but are not limited to:

- Develop top-level mission risk and risk reduction (threat, vulnerability, consequence) resource allocation models, component tradeoff simulations, and tools and metrics to evaluate mission tradeoffs and mission integration strategies;
- Develop system and system-of-system concepts through analysis of alternatives to address the most strategic and critical needs of the homeland security enterprise;
- Develop top-level program requirements and system performance and effectiveness metrics based on mission goals;
- Develop and promote standardization of effective and efficient operational modeling, simulation, test and evaluation best practices for homeland security programs to provide independent and objective assessments based on mission and program goals;
- Design and provide support for the conduct of homeland security-related exercises, games, and simulations, including the examination of past incidents, tabletop and operational exercises, and nominal operations to determine lessons learned and the implications for homeland security planning;
- Conduct operational analysis, particularly at field activities for extended (months to 1-2 years) periods, to provide objective assessments, systems evaluations, and other technical and analytic support; and
- Use economic (lifecycle) and policy analyses to assess the distributed costs and benefits of alternative approaches to enhancing security including leveraging of homeland security, particularly R&D, assets across the Nation and with international partners.

Technologies to Secure the Homeland and Advance Responder Effectiveness (Tech SHARE) Program – FY 2009: \$9.500 million; FY 2010 estimate: \$9.000 million. Consists of two projects: Tech Clearinghouse and Tech Solutions.

Tech Clearinghouse Project – At the end of calendar year 2008, the project established a certified and accredited web-based central resource system of technical information to serve as a one-stop-shop for the dissemination of homeland security science and technology information to Federal, State, local and tribal agencies. The system and associated efforts will encourage and support innovative solutions to enhance homeland security. Along with other outreach efforts (i.e., publication of a monthly newsletter, participation at key First Responder conferences and events), the website will also fulfill Section 313 of the *Homeland Security Act of 2002*. The Tech Clearinghouse will provide: (1) government organizations with information to support procurement and grant guidance decisions; and (2) technology developers with requirements and operational information that can help them develop tools that are more useful. Tech Clearinghouse continually identifies and integrates new sources of relevant information for first responders into its website development.

In FY 2008, Tech Clearinghouse developed a one-stop-shop portal (www.FirstResponder.gov) to showcase other DHS programs that provide services to First Responders, such as the Responder Knowledge Base and Tech Solutions. The program also developed a tool, within this portal, that enables the dissemination of technology information to Federal, State, local and tribal agencies. In FY 2009, the project will incorporate new functions and capabilities into the portal to meet users' requirements and make periodic system upgrades to keep information relevant. In FY 2009, the project plans to establish testing and evaluation standards for technologies developed

by TechSHARE. In FY 2010, the project plans to integrate content from other existing government agency databases such as the Centers for Disease Control (CDC) and FEMA.

TechSolutions Project – Rapidly addresses the technology gaps identified by Federal, State, local, and tribal first responders. Program fields prototypical solutions within 12 months; establish a cost that is commensurate with the proposal but costs less than one million or less per project; and develops a solution that meets 80 percent or more of the identified requirement. First responders are able to submit gaps to the program through the web site, www.TechSolutions.dhs.gov.

In FY 2008, the project, in conjunction with the Infrastructure and Geophysical Division, demonstrated an enhanced 3D-locator prototype capable of locating first responders within three feet of their exact proximity; it initiated prototype development activities for a stand-off patient triage device capable of acquiring vital sign readings from individuals injured at a mass casualty scene; and evaluated a next-generation Self Contained Breathing Apparatus (SCBA) that is lighter and smaller than current systems to increase first responder effectiveness. After the outbreak of wildfires in southern California during the fall of 2007, the program investigated technologies that mitigate risks posed by wildfire-prone regions under an initiative called the Secure Against Fires and Embers (SAFE). The program also investigated technologies that can mitigate the risks associated with the after-effects of wildfires such as soil erosion and mudslides.

In FY 2009, the program will develop a multimodal assessment system capable of collecting sensor data and analyzing it against carefully tested medical algorithms and initiate prototype development for a vehicle-mounted chemical sensor capable of identifying 13 toxic industrial chemicals and reporting the results to a command post via a wireless network. TechSolutions will validate capability gaps and first responder priorities by working with the Inter-Agency Board (which comprises over 1,000 leaders from fire, police, EMS throughout the United States). In FY 2010, the program plans to continue to collect capability gaps received through the TechSolutions website and determine which prototypes to develop and demonstrate. Tech Solutions plans to demonstrate up to 12 prototypes per year, which potentially include: ocular scanning; extremity protection; location orientation using a fire-ground compass; physiological monitoring; brain music therapy; chem/bio exposure detection; and miniaturized chem/bio detectors.

PPA: UNIVERSITY PROGRAMS

	Perm Pos	FTE	Amount
2008 Actual			\$63,715
2009 Enacted			\$50,270
2010 Adjustments-to-Base			(2,000)
2010 Current Services			48,270
2010 Program Change			(2,270)
2010 Request			46,000
Total Change 2009-2010			(4,270)

The Science and Technology (S&T) Directorate requests \$46.000 million for this activity, of this amount \$1.150 million supports the SBIR Program. The decrease of \$4.270 million below the FY 2009 enacted amount represents the cost for the Naval Postgraduate School and no additional funding to support the Centers of Excellence (COEs).

CURRENT SERVICES PROGRAM DESCRIPTION

The University Programs Division engages the academic community to conduct research and analyses to address high-priority homeland security issues and to provide education and training programs to enhance homeland security capabilities. The program brings together the best scientific talent and resources from diverse academic institutions to help solve complex and technologically challenging homeland security problems. The program focuses on building homeland security expertise in the academic community, creating strategic partnerships among universities and public agencies, and developing a new scientific workforce of homeland security experts. The primary customers for University Programs are the Department of Homeland Security (DHS) S&T divisions, the DHS components, and state and local government agencies.

Increased investments in the Program’s basic research and increased support for students in relevant fields are critical to preserving the U.S.’s strategic and economic security as well as supporting the Secretary’s goals of:

- Protecting the Nation from dangerous people;
- Protecting the Nation from dangerous goods;
- Protecting Critical Infrastructure; and
- Building a nimble and responsive emergency response system and a culture of preparedness.

The University Programs Division carries out its activities through three thrust areas: 1) a coordinated university-based system of DHS Centers of Excellence (COEs), 2) the DHS S&T Educational Programs, and 3) the Minority Serving Institutions programs.

Centers of Excellence Thrust Area – FY 2009: \$36.720 million; FY 2010 estimate: \$34.980 million. Conducts multidisciplinary research in priority DHS mission areas and is aligned to the S&T Directorate’s divisions and their customers. COEs improve understanding of the causes, elements, and consequences of a range of threats from terrorists and natural disasters. The COEs

also support countermeasure, mitigation, and prevention approaches based on both technologies and on human behavior.

The COEs work with and through the S&T divisions and complement other DHS research and development programs including those of Federal laboratories' and federally funded research and development centers (FFRDCs). The COEs take advantage of other relevant Federal agency-sponsored research and provide outcomes useful to Federal, state and local government, private sector, and international partners. The selection process for designating the COEs is highly competitive, peer-reviewed, and merit-based.

Primarily funded through research grants and cooperative agreements, the COEs are building expertise and reach-back capabilities in multi-disciplinary topical areas important to homeland security. Presently, these areas are:

- Risk and economic analysis of terrorism;
- Food system protection and defense;
- Foreign animal and zoonotic disease defense;
- Social origins of and behavioral responses to terrorism;
- Preparedness and response to catastrophic events;
- Advanced microbial risk assessment;
- Advanced mathematical, data and visual analysis;
- Natural disasters, infrastructure protection and emergency management;
- Explosives detection, mitigation and response;
- Maritime, island, remote environment and port security;
- Border security and immigration, and
- Transportation security.

In FY 2008, the program established new five new COEs, whose terms will extend from 2012 to 2014. The five new COEs address:

- Maritime Island and Extreme/Remote Environmental Security
- Explosives Detection, Mitigation, and Response
- Border Security and Immigration
- Natural Disasters, Coastal Infrastructure and Emergency Management, and
- Transportation Security

Additionally, the S&T Directorate extended the Center for the Study of Terrorism and Responses to Terrorism (START), led by the University of Maryland, through FY 2011, based on the results of a comprehensive review of START in FY 2007.

In FY 2009, the program will establish a new Center of Excellence for Command, Control, and Interoperability to run through FY 2015. This COE will address the research and education areas formerly the focus of the Regional Visualization and Analytics Centers and the Discrete Science Centers. Additionally, based on a thorough and objective evaluation in 2008, DHS is extending the Center for Preparedness and Critical Event Response (PACER), at John Hopkins University, through FY 2012.

The current centers include:

1. Center of Excellence for Risk and Economic Analysis of Terrorism Events (CREATE), based at the University of Southern California (www.usc.edu/create)
2. Center of Excellence for Food Protection and Defense (NCFPD), based at the University of Minnesota (www.ncfpd.umn.edu)
3. Center of Excellence for National Center for Foreign Animal and Zoonotic Disease Defense (FAZD), based at Texas A&M University (www.fazd.tamu.edu)
4. Center of Excellence for National Consortium for the Study of Terrorism and Responses to Terrorism (START), based at the University of Maryland (www.start.umd.edu)
5. Center of Excellence for the Study of Preparedness and Catastrophic Event Response (PACER), based at Johns Hopkins University (www.pacercenter.org)
6. Center for Advancing Microbial Risk Assessment (CAMRA), based at Michigan State University, established jointly with the U.S. Environmental Protection Agency (www.camra.msu.edu)
7. Discrete Science Centers (DSCs) led by Rutgers University, with the University of Pittsburg, University of Southern California and the University of Illinois, (www.dydan.rutgers.edu)
8. Regional Visualization and Analytics Centers (RVACs), which partner with the National Visualization and Analytics Center at the Pacific Northwest National Laboratory. The RVACS are located at Pennsylvania State University/Georgia Institute of Technology, University of North Carolina-Charlotte, Purdue University, the University of Washington, and Stanford University.
9. Center of Excellence for Maritime Island and Extreme/Remote Environmental Security collocated at the University of Hawaii and Stevens Institute of Technology
10. Center of Excellence for Explosives Detection, Mitigation, and Response collocated at Northeastern University and the University of Rhode Island; and
11. Center of Excellence for Border Security and Immigration collocated at the University of Arizona at Tucson and the University of Texas at El Paso
12. Center of Excellence for Natural Disasters, Coastal Infrastructure and Emergency Management collocated at the University of North Carolina at Chapel Hill and Jackson State University
13. National Transportation Security Center of Excellence co-located at the University of Connecticut, Texas Southern University, Tougaloo College, Long Island University, University of Arkansas, Rutgers University, and San Jose State University.

Activities conducted through each of these centers are outlined in the following section:

CREATE – Cuts across all six S&T Directorate divisions’ missions, and coordinates activities with the S&T Directorate’s Operations Analysis Office, the Risk Sciences Branch, and the Homeland Security Institute (HSI). CREATE evaluates the risks, costs and consequences of terrorism, and identifies economically efficient investments in countermeasures to improve security and resilience. Research in these areas can contribute significantly to the Department’s ability to identify and select cost-effective options for enhancing national security and minimizing human and economic casualties in the face of a range of hazards, as well as improve DHS’ ability to predict terrorist threats. In FY 2008, CREATE started developing advanced

economic models, with special emphasis on the effects of household, business, and market resilience to terrorism events, and is developing risk assessment models of terrorist threats.

In FY 2009, CREATE will integrate risk and economic models into an overall risk management model that provides support for decisions to invest in countermeasures and allocate homeland security resources. Also in FY 2009, CREATE will extend the terrorism risk assessment framework to incorporate novel experimental approaches and new sources of data. In FY 2010, the Center plans to extend decision analysis methodologies to include dynamic interactions between attackers and defenders; develop specific projects in collaboration with each of the S&T Divisions and the corresponding DHS operational units; develop capabilities for including intelligence data and analysis into decision support tools; extend applications of game theory to homeland security to include dynamic, multi-stage and stochastic games; and develop experimental games as a method for testing alternative theories and models of defender-attacker interactions. Also in FY 2010, CREATE plans to add partners with extensive capabilities in financial risk and economics as well as counter terrorism operators. The synergies with CREATE's existing capabilities as well as those of the START center will create a powerful alliance to predict and counter terrorist attacks.

NCFPD – Aligns with the Chemical and Biological Division. Its mission is to defend the safety of the post-harvest food system by establishing best practices, developing new tools, and attracting new researchers to manage and respond to food contamination events. NCFPD works in system-wide food security, including:

- Supply chain management;
- Food processing protection;
- Detection and diagnostics;
- Public health;
- Disposal and decontamination; and
- Economic impact assessment and risk communication.

This work helps the Department mitigate and counter threats to U.S. agriculture and food. In FY 2008, NCFPD developed prototype food event modeling system now in use by NBACC; developed a prototype of an outline neuro-toxin (BoNT) detection system for low cost/real time detection of BoNT in complex food matrices; and characterized risk of imported foods (China). In FY 2009, NCFPD will extend their analysis of imported food vulnerabilities to global food risk assessment and potential solutions with DHS/FDA/USDA; extended a food transportation model; and further improve the model of food events and multi-state event communication systems. In FY 2010, NCFPD plans to develop a comprehensive information system for biological threats and countermeasures; extend the food event-modeling framework; work on detection in various food matrices; and broaden research on import vulnerabilities.

FAZD – Aligns with the S&T Directorate's Chemical and Biological Division. FAZD's mission is to protect against the introduction of high-consequence foreign animal and zoonotic diseases in the United States, with an emphasis on prevention, surveillance, intervention, and recovery. These diseases could have staggering economic impacts and threaten human health. FAZD is developing a scientific basis for detecting and preventing exotic and zoonotic diseases, which is informing the Department's development of countermeasures and effective control strategies. In FY 2008, the Center developed rapid and accurate methods for detecting and diagnosing

biological agents that could threaten U.S. livestock and poultry, such as Rift Valley Fever (RVF), Avian Influenza (AI), and Foot and Mouth Disease. In FY 2009, FAZD will work on the development of vaccines, antiviral agents, and means to increase resistance against threat diseases: FMD, RVF, Brucellosis, and AI. In FY 2010, the center plans to 1) complete testing and deliver rapid multi-agent field tests for exotic animal diseases; 2) develop prototype host pathogen genetic markers for field use; create the ability to enhance genetic resistance to classes of exotic disease host-pathogen environmental relationships and molecular genetics; and 3) develop second generation scenario and consequence models and use these to provide analyses for third-generation bio-threat risk assessment.

START – Aligns with the S&T Directorate’s Human Factors Division. START provides strategies for intervention against terrorists and terrorist groups, while strengthening the resilience of U.S. citizens to terrorist attacks. The START consortium uses advanced behavioral and social science theories, methods, and data to better understand the origins, dynamics, and impacts of terrorism. Applying this knowledge will provide guidance on how to disrupt terrorist networks, reduce the incidence of terrorism, and enhance the resilience of American society in the face of terrorist threats and natural disasters. Program activities include providing the world’s largest open-source database of terrorist incidents, a Global Terrorism Database (GTD), which enhances our understanding about the occurrences and impacts of terrorism. START will link the GTD to a number of databases that will include data on terrorism using weapons of mass destruction, volatility around the world, and illegal acts committed by extremists in the United States. In FY 2008, the center provided guidance on enhancing societal resilience to terrorist events at the individual, community, and national levels. In FY 2009, START will pilot, revise, and refine a Community Assessment of Resilience Tool, conducting focus groups and interviews among diverse audiences regarding the impact of public communications about terrorist threats. In FY 2010, START plans to continue its work on: 1) Radicalization and Terrorist Group Formation, extending its research to more countries and groups; 2) Terrorist Group Persistence and Dynamics, focusing on improving understanding of how terrorist groups operate, the effectiveness of counterterrorism strategies, and conducting an empirical analysis of IED attacks; 3) Societal Responses to Terrorist Threats and Attacks; 4) Muslim Community Integration: Journey into America; 5) The Role for State Governments in Community Resilience; 6) Potential Populations at Risk from U.S. Chemical Facilities Releases; and 7) Cross-cutting Data Collection and Analysis, including expansion of the Global Terrorism Database (GTD), development of a Quantitative Index of the Public Health Impacts of Terrorism, building Community Resilience through Public Involvement, analysis of Organizational Factors in the Successful Application of ‘Community Engagement’, and identification of Principles for Bioterrorism Preparedness.

PACER – Aligns with the S&T Directorate’s Infrastructure and Geophysical Division. PACER focuses on optimizing our Nation’s preparedness in the event of a high-consequence natural or man-made disaster and develops guidelines to best alleviate the effects of such an event. In the wake of the devastation inflicted by Hurricane Katrina, this center assumes even greater relevance and immediacy. PACER is investigating issues relevant to the theory and practice of emergency preparedness and response to terrorism incidents and natural disasters, including critical decision-making, regional integration of communication and response capabilities, surge capacity, informal and formal response networks, health systems integration, deterrence and prevention, infrastructure integrity, and sensor networks. DHS customers and end-users include

Office of Health Affairs (OHA), the Federal Emergency Management Agency (FEMA), the Office of Infrastructure Protection (OIP) and the hospitals, health departments, and emergency responders. In addition, PACER will engage in joint projects with other DHS University Centers. In FY 2008, PACER developed Electronic Mass Casualty Assessment and Planning Scenarios (EMCAPS), a web-based shareware applet designed around a subset of the Department of Homeland Security planning scenarios to calculate and predict a surge in casualties at the local level. In FY 2009, PACER will identify decision-making approaches and decision support technologies that would improve catastrophic event response. In FY 2010, PACER plans to develop model Memoranda of Understanding (MOUs) for shared resources and services between health care facilities applicable to all acute care hospitals in the United States.

CAMRA – Aligns with the S&T Directorate’s Chemical and Biological Division. The S&T Directorate established CAMRA jointly with the U.S. Environmental Protection Agency to fill critical gaps in the area of microbial risk assessments – answering the question, “How clean is safe?” Following the experience of the anthrax contamination events, the Federal government recognized the need to develop safe standards for cleanup of biological agents of concern (BACs). The CAMRA researchers are developing a scientific basis for standards for BACs in different media – air, water, and on surfaces. In FY 2008, CAMRA completed a single object infectious disease model to redesign an intervention study with the following parameters: advice on sampling strategies; single venue intervention scenario using a single venue model; multiple venue intervention scenarios using the multiple-venue models; and complete the influenza model at the college campus level. In FY 2009 through FY 2010, CAMRA plans to conduct infectious disease models for various agents to assess microbial risks and develop control strategies, assessment-analysis interface, and fate/transport.

Discrete Sciences Centers (DSCs) – Aligns with the S&T Directorate’s Command, Control, and Interoperability (CCI) Division. DSCs represent a collaborative effort with Rutgers University, the University of Southern California, the University of Illinois at Urbana-Champaign, and the University of Pittsburg and the national laboratories, including Lawrence Livermore National Laboratory. In FY 2008, DSCs conducted coordinated research on advanced methods for information analysis and the development of computational technologies to protect the Nation. In FY 2009, the S&T Directorate will transition the activities of the DSCs to a new Command, Control, and Interoperability COE.

Regional Visualization and Analytics Centers (RVACs) – Aligns with the CCI Division and works closely with the National Visualization and Analytics Center (NVAC) at the Pacific Northwest National Laboratory (PNNL). They address issues of synthesizing information and deriving insight from massive, dynamic, ambiguous, and possibly conflicting data sets. The goal of examining data is not merely to acquire information, but rather to be able to understand and inform decision-making. The RVACs research visually based mathematical methods and computational algorithms for handling diverse data and apply the resulting knowledge to anticipate terrorist incidents or catastrophic events. The five current RVACs include Stanford University, the University of Washington, Purdue University, Pennsylvania State University, the University of North Carolina at Charlotte, and the Georgia Institute of Technology. The RVACs are currently coordinating a number of projects with other COEs. In FY 2008, the COE worked with the Port Authority of New York and New Jersey to improve analysis of its data on crimes

and search for evidence of terrorist activity at the ports. In FY 2009, the S&T Directorate will merge RVACs' mission areas into a new Command, Control, and Interoperability COE.

Center of Excellence for Command, Control, and Interoperability – S&T launched this COE in March 2009, following an open competition and selection process in FY 2008. This COE merges activities of the Discrete Sciences Centers and the DHS RVACs and supports the Command, Control and Interoperability division's core activities in the knowledge of management, threat assessment, surveillance and reconnaissance, cyber security, and communications interoperability and compatibility. In FY 2009, the center will provide a set of advanced analytical capabilities for use with the Global Terrorism Database produced and hosted by the START center. In FY 2010, the center plans to develop extensive HS-STEM curricula and research programs to train students in advanced command, control and interoperability related research and analytical methods; and also develop strategy for integration of command, control and interoperability research and analysis with empirical data from other COEs and DHS Components.

Center of Excellence for Explosives Detection, Mitigation, and Response – This COE will conduct research to enhance the Nation's capabilities to prepare for, prevent, mitigate, respond to, and recover from terrorist attacks involving explosives. The COE also develops relevant educational curricula for undergraduates, graduate students and career professionals as well as programs to enlighten secondary school teachers about the scientific foundations and emphasis for homeland security. It also brings teachers and students of all ages into laboratories to participate in actual research and enhance their interest and commitment in homeland security-related professions.

In collaboration with the S&T Directorate's Explosives Division, this COE will provide basic research to advance the technical tools and information that S&T Directorate's customers will need in the future. DHS customers and end-users will include the Chief Medical Officer (CMO), Office of Infrastructure Protection (OIP), Policy Directorate, Transportation and Security Administration (TSA), Immigration and Customs Enforcement (ICE), and State Homeland Security Agencies.

This COE will conduct basic and transformation research in explosive-related areas such as:

- The properties (e.g., chemical, physical, and material) and formulation of explosive materials (including precursors and homemade compounds), as well as materials and/or technologies to mitigate explosives effects (e.g., blast-resistant materials);
- Detection of explosives and explosive devices, including methods to screen people, containers, and other potential conveyances of explosive materials;
- Unconventional approaches (e.g., alternative signatures) to identify indications of threats from explosives or bombers, to include algorithm development for improved detection and/or imaging capabilities and relevant human factors issues; and
- Other effective and efficient countermeasures, particularly ones for use in densely populated urban settings and transportation venues.

In FY 2008, the center developed the infrastructure, operational support, platform, characterization plan, and method for assessing scientific properties of a variety of homemade

explosives and precursor compounds. In FY 2009, the center will conduct workshops to help guide future research directions on novel countermeasure concepts, human factors issues, and improved imaging algorithms. In FY 2010, the center plans to develop a multi-factor approach to detection that will improve technology and the ability to prevent casualties and damage to property. Also in FY 2010, the center plans to obtain first-generation, scientific properties from available technical tools to characterize and test homemade explosives (HME) and precursor compounds.

Center of Excellence for Border Security and Immigration – This center aligns with the S&T Directorate’s Borders and Maritime Security Division. The center provides fundamental research in support of DHS’s goals of strengthening border security, immigration enforcement, and immigration services. DHS customers and end-users include Customs and Border protection (CBP), Immigration and Customs Enforcement (ICE), U.S. Citizenship and Immigration Services (CIS), U.S. Coast Guard (USCG), and State and local agencies. The center will conduct scientific and engineering investigations in basic research that offer the prospect of high-payoff breakthroughs in detecting people and goods, be it legally or illegally, moving across our borders as part of a fully integrated, system-of-systems approach. The S&T Directorate expects this center to provide insight and facilitate breakthroughs in the fundamental science that could improve areas including screening and situational awareness along U.S. northern and southern borders. In FY 2009, the center will conduct research in detection (human, vehicles, and decision support), networks (interoperability, reliability, and C2), fusion (tools and approaches), risk assessment (mitigation and alignment), immigrant populations (methods, metrics and estimates), immigration economics and policies, and governance (law enforcement and international cooperation). In FY 2010, the center plans to, based on insights from research successes, develop corresponding educational curriculum materials in topical areas of greatest promise for long-term research and enduring need.

Center of Excellence for Maritime, Island & Extreme/Remote Environmental Security – Aligns with the Borders and Maritime Security Division. This COE provides fundamental research to support DHS’ and other agencies’ maritime security goals, including improved interdiction capabilities, enhanced capacity to respond to catastrophic events, particularly for U.S. islands and extreme environments, and a more secure and efficient marine transportation system. DHS customers and end-users include the NPP, CMO, DHS OIP, FEMA, USCG, and State Homeland Security Agencies. The center conducts integrated policy, legal, scientific, and engineering studies in detection and monitoring of people and goods moving through the U.S. maritime domain. It also conducts research to improve our ability to plan for and respond to natural and terrorist threats in the maritime realm. Finally, it supports long-term mitigation and recovery strategies for catastrophic events, particularly those that impact U.S. islands, territories, and remote areas, as part of an integrated systems approach. DHS also expects this COE to develop meaningful courses of study for students, both at the graduate and undergraduate levels, and for career professionals involved with these issues. In FY 2008, the center established a network of premier academic research university partners in order to develop the platform and methods for technical assessments of maritime island and extreme/remote environment security issues. In FY 2009, the COE will establish mature taskings that will address diverse areas including: wide-area surveillance techniques and harbor security. In FY 2010, the COE plans to

continue to assess the impacts of global policies and procedures, such as vulnerabilities within the global supply chain.

Center of Excellence for Natural Disasters, Coastal Infrastructure, and Emergency Management

– This center conducts research leading to profound and far-reaching improvements in the Nation’s preparedness and ability to respond to, mitigate against, and recover from catastrophic natural events in coastal areas. DHS anticipates that this COE’s discoveries will ultimately save American lives, property and economic activities, both regionally and nationally. In addition, the Center will develop educational curricula focused on natural disasters that will serve as a firm and enduring foundation for producing the next generation of highly educated, creative, and innovative researchers to help solve existing and future DHS challenges relating to natural disasters in coastal areas. This center conducts basic and transformational research in areas related to coastal region issues, including:

- Natural hazards of the coastal region (e.g., flooding from hurricanes or storm surges);
- Innovative, comprehensive, regional flood-water management, to include technical approaches/options for preventing, mitigating, or recovering from flooding incidents, and better understanding of land-water interactions;
- Approaches to securing public-sector coastal infrastructure and meeting other public-sector needs in crisis incidents; and
- Improved emergency management and response processes in the areas of supply chain networks, evacuation modeling and organizational collaboration during catastrophic events.
- Coastal region planning, governance, resilience, and unified comprehensive risk-based decision support tools, particularly for natural disasters warranting emergency measures.

In FY 2008, the center established a network of premier academic research universities as partners and identified niche roles for each area. In FY 2009, the center will develop and test improved computer models of atmosphere-water-land interactions during hurricanes that generate predictions of storm surge size and location more accurately. In FY 2010, the center plans to launch new graduate and undergraduate natural disasters curricula in multiple programs including Engineering, Public Safety Management, Applied Science, and Environmental Health.

The National Transportation Security Center of Excellence – Cuts across all six S&T Divisions and DHS component organizations, but is particularly responsive to the needs of TSA, the Office of Infrastructure Protection, the U.S. Coast Guard activities at ports, and these agencies’ partners. This COE is initiating collaboration with the Transportation Security Laboratory and the Maritime COE. It addresses the technology and research needs associated with securing the Nation’s infrastructure and protecting the people who use it. In FY 2008, the COE worked with a number of DHS partners to develop a detailed, thoroughly reviewed, work plan and initiated research, education and training projects in accordance with the completed work plans for each university. NTSCOE research projects address 4 major challenges: Identification of most likely targets through threat analysis and other assessments, Development of technology and implementation strategies aimed at enhancing the security and monitoring of the most likely targets, Development of advanced multi-functional material technologies that will be ductile, blast resistant, self-healing and self-energetic and Development of coordination and effective communications networks for Emergency Response and Crisis Management. In FY 2009, the

center will develop extensive homeland security science, technology, engineering and mathematics (HS-STEM) curricula and research programs to train students in advanced science and technology related to transportation security. In FY 2010, the center plans to extend and further implement the results of the research projects to support the evolving needs of DHS and its partners in the areas of transportation security.

Multi-Center Priority Project – Because the COEs span a wide range of DHS-related areas of scientific research and engineering, University Programs serves a critical role in assuring that cross-cutting, overlapping and novel research areas are coordinated across researchers, research sponsors, and federal, state and local end users. This program is a strategic effort to link COEs that have common research interests to national laboratories and DHS programs with related R&D interests. The intent of this workshop-based program is to avoid unnecessary and unintentional duplication of effort while addressing complex research issues that otherwise might “fall between the cracks.” This program conducts several types of workshops. The first type focuses on crosscutting topics suggested by S&T Directorate divisions and DHS components, connects researchers with Federal, State and local end users, and identifies gaps that the research community has not addressed. The second type of workshop focuses on strengthening communication and coordination of research among the DHS COEs, to avoid duplication. The third type of workshop brings together COEs to share information and address common issues such as education, transition, and management issues. In FY 2008, the program sponsored workshops on First Responder Communication, Community Resilience, Consequence Modeling, and COE Education programs. In FY 2009, this program will sponsor workshops on technology transition for COEs, Anomaly Detection, COE Education, and Risk Assessment Modeling with Adversarial Behavior.

Education Programs (formerly Scholars and Fellows Program) Thrust Area – FY 2009: \$8.131 million; FY 2010 estimate: \$6.000 million. This program invests in high-performing science and engineering students or professionals in the United States to develop the next generation of homeland security science and technology leaders. This thrust funds students, scholars, and faculty drawn from postsecondary, graduate, and professional levels of science and engineering disciplines that directly support the S&T Directorate’s divisions and the Department’s mission. Activities in this thrust area include DHS Scholarships and Fellowships, HS-STEM Career Development Grants, American Association for the Advancement of Science (AAAS) Fellowships, and partnerships with the Naval Postgraduate School, the National Defense University and the U.S. Coast Guard Academy, which provide advanced science and technology education to DHS and other career federal employees.

Scholarships and Fellowships Programs – This program provides scholarships for undergraduates and fellowships for graduate students pursuing homeland security-related science, technology, engineering, or mathematics (HS-STEM) degrees. The program competitively selects science, mathematics, and engineering undergraduate and graduate students. DHS has identified sixteen topical areas in which it will support graduate and undergraduate education to include: Explosives Detection, Mitigation and Response, Social, Behavioral, and Economic Sciences, Risk and Decision Sciences, Human Factors Aspects of Technology, Chemical Threats and Countermeasures, Biological Threats and Countermeasures, Food and Agriculture Security, Transportation Security, Border Security, Immigration Studies, Maritime and Port Security,

Infrastructure Protection, Natural Disasters and Related Geophysical Studies, Emergency Preparedness and Response, Communications and Interoperability, and Advanced Data Analysis and Visualization. The purpose of the program is to provide educational support and relevant internship and employment opportunities to diverse and highly talented individuals in order to enhance the scientific leadership in areas important to DHS. The program focuses on building a high quality and diverse talent pool of public-service-oriented scientists and engineers who will be committed to the Department's mission and working on homeland security problems and challenges at all levels. DHS requires supported students to serve one 10-week summer internship and one year in an approved HS-STEM venue. Student and scholar researchers perform work at more than 28 DHS-affiliated venues including DHS and the national laboratories and DHS components such as the U.S. Coast Guard and the Office of Intelligence and Analysis (I&A).

The program includes the DHS S&T Career Development grants program, which provides funding to support scholarships and fellowships at institutions, including the COEs that have made a commitment to develop HS-STEM curricula and fields of study. It also includes the awarding of two Ph.D. fellowships, starting with the Class of 2009, to qualified graduating U.S. Coast Guard Academy (USCGA) cadets to attend any of the COEs in HS-STEM areas relevant to the U.S. Coast Guard's mission.

The program also includes agreements with the Naval Postgraduate School (NPS), the National Defense University (NDU), and the USCGA to provide high-priority S&T education to DHS employees. NPS is initiating a PhD program in homeland security science and technology disciplines. This program will build on the existing research strengths of NPS and its existing partnerships, as well as newly developed collaboration with the DHS COEs. The new program will provide opportunities for DHS and other Federal employees to pursue doctoral studies with a commitment to return to their sponsoring Federal agency and work in their chosen HS-STEM areas, and to take advantage of courses, certificates, and research projects developed at the DHS COEs. In FY 2008, the project initiated programs in one or two science and engineering disciplines and established partnerships with several of the most mature COEs.

The agreement with NDU will establish a master's program in Science and Technology Leadership that will give rising stars in DHS components the training needed to fully exploit scientific research and technology for the benefit of their agencies. This program will be initiated in the Fall 2009 semester and piloted with the Federal Emergency Management Agency (FEMA). In FY 2010, NDU plans to expand this program to other DHS components.

The agreement with the USCGA, DHS' only institution of higher education, will establish a Center for Scholarship and Innovation, which will enable USCGA faculty and students to engage with a range of scientists on mission-critical R&D projects. The program plans to initiate the center in spring of 2010.

Minority Serving Institutions (MSIs) Thrust Area – FY 2009: \$4.163 million; FY 2010 estimate: \$3.870 million. Improves the capabilities of MSIs to conduct research, education, and training in areas critical to homeland security and to develop a new generation of scientists capable of advancing homeland security goals. In FY 2008, University Programs extended its

MSI programs to provide Scientific Leadership Awards to MSI institutions to engage and develop early-career faculty and provide student support as well as research, education, training, and curriculum development. In addition, it continued the Summer Research Team Program, which provides opportunities for MSIs to conduct research at COEs and form partnerships. In FY 2009, the program will expand its focus to HS-STEM workforce development at DHS, State and local agencies, national laboratories and COEs. In FY 2010, the program plans to further refine successful programs, develop more internships, and identify more career opportunities in areas of importance to DHS.

IV. Program Justification of Changes

**Department of Homeland Security
Science and Technology Directorate
Research, Development, Acquisitions, and Operations
Justification of Program Changes
(Dollars in Thousands)**

Program Increase 1: Border and Maritime

Strategic Goal(s) & Objective(s):
 Goal 1: Protect Our Nation from Dangerous People
 1.1. Control Our Borders and Protect Our Interior

PPA: Border and Maritime

Program Increase: Positions _____ FTE _____ Dollars \$7,131

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level									\$33,050
Program Increase									7,131
Total Request			\$28,664			\$33,050			\$40,181

Description of Item

The FY 2010 program increase will allow the Borders and Maritime Security Division to fund the Maritime Security program and the Urban Tunnel Detection project within the BorderTech project. The Borders and Maritime Security Division will develop and transition tools and technologies that improve the security of our Nation’s borders and waterways without impeding the flow of commerce and travelers. Working closely with its operational customers to identify and generate the best technologies for securing U.S. borders, including ports-of-entry and vast stretches of remote terrain and waterways – with the ultimate goal of stopping threats before they enter the United States. The primary Federal customers and end-users for the Borders and Maritime Security Division are the Department’s Customs and Border Protection (CBP), Immigration and Customs Enforcement (ICE), U.S. Coast Guard (USCG), and Transportation Security Administration (TSA).

Justification

The threat of terrorist entry into the United States – along with illegal immigration, organized crime, and illegal activity – puts the security and integrity of the Nation’s borders at extreme risk. Vast financial resources and sophisticated criminal networks provide smugglers with access to highly lethal weapons, explosives, state-of-the-art communication, and night vision

equipment. This puts law enforcement officers on both sides of the border at high risk. Additionally, the relentless and successful smuggling of aliens and contraband leaves the borders vulnerable to both criminal activity and potential terrorist entry. The reduction and elimination of these vulnerabilities will further increase the security of the border and lower the risk of a successful terrorist attack.

The technologies and systems developed by the Maritime Technologies program will help to ensure that border security assets are used efficiently and effectively and will enable law enforcement to access to robust and reliable information when they need it.

These programs support research and development that will provide advanced detection, identification, apprehension, and enforcement capabilities along the maritime borders. The additional funding will allow the S&T Directorate to fund the Maritime Technologies program, which will support a wide range of capability gaps generated through the DHS S&T Capstone IPT process. United States Coast Guard (USCG) provided the majority of the requirement gaps, along with Customs and Border Protection (CBP), Transportation Security Administration (TSA) and Immigration and Customs Enforcement (ICE). Major project areas include the following:

Sensors and Surveillance Project – This project addresses, documents, and demonstrates visual and non-visual technologies for monitoring the maritime border. Visual technologies provide an eyes-on capability that enables agents to verify visually if an activity is illegal. Non-visual technologies provide low-cost, long-endurance monitoring to detect and track objects that are not captured by cameras. The project includes the following visual and non-visual technologies:

- Self-Propelled Semi-Submersible (SPSS) Threat Project - SPSSs are low profile vessels with most of its hull situated beneath the waterline to avoid detection. Data indicates this is becoming a rapidly growing threat to transport illegal contraband (i.e. drugs, humans, terrorists, WMD) into the USA. This threat is difficult to counter due to the vessels unique low profile design and large remote operating area. A specialized sensor is needed with a wide area detection capability to counter this growing maritime threat.
- Affordable Wide-Area Surveillance (WAS) Capability - demonstrates persistent and WAS commercial off the shelf/government of the shelf (COTS/GOTS) capability to explore Concept of Operations (CONOPS) and data integration issues associated with the detection, tracking and classification of vessel traffic 12-60+ miles offshore;
- Advanced Geospatial Intelligence (AGI) Technical Exploitation - demonstrates a processing and exploitation capability that provides wide-area surveillance of the offshore maritime environment;
- Port and Coastal RADAR Improvement - documents RADAR performance, maintainer/operator proficiency, and recommended improvements, and implements a prototype RADAR system enhanced for harbor and 0-20nm offshore to detect, track, and identify vessels in the port and coastal region;
- Port/Harbor Underwater Change Detection and Hull Inspection - assesses technologies for surveying the ambient underwater seascape and to address the pros/cons of a drive-over hull detection capability to detect anomalies;

- Offshore Deepwater Buoy and Vessel Tracking Program Pilot (VTP) - conducts a pilot program which uses buoys for detection and classification of vessels and relays that data to the VTP program for cueing and correlation with other sensors; and
- Small Boat Harbor Surveillance Study/Pilot - assesses near term technologies for tracking small boats in a port environment then demonstrates the improved situational awareness through an operational test/pilot program.

Situational Awareness and Information Management Project – This project plans to provide law enforcement agents the ability to know instantaneously when a threat presents itself at the maritime border and to provide required information quickly to decision makers and security forces. These functions are performed through an arrangement of personnel, equipment, communications, and facilities as well as the procedures agents employ in operations. The project will include:

- Covert Illegal Contraband Tracker - provides the ability to track illegal contraband to its final location after being detected by law enforcement linking illegal shipments to the organizations that are smuggling them;
- Boarding Team Communication - enhances the USCG's ability to more quickly, safely, and effectively board and inspect vessels by providing boarding teams continuous, reliable, inter-deck, team-to-ship, and team-to-command center communications platform for voice & data;
- Automated Scene Understanding and Automated Target Recognition - improves efficiency and effectiveness of the watchstanders/agents by autonomously detecting prohibited, suspicious, and anomalous behaviors based on self learning of normal behaviors or operator generated rules; and
- Advanced Situational Awareness and Collaboration Tools – assesses and develops improvements to current situational awareness (SA) and collaboration tools to improve ability of command and control and SA centers across USCG and Port Partners to share information and collaborate when not collocated.

BorderTech Project– This project was initiated in FY09 for the development, integration and testing of sensor technologies in an operational environment to provide in-the-field capabilities, improving mission effectiveness and agent safety. This project will develop, demonstrate, and test unproven technologies as a risk reduction activity for the SBI Network (SBI*net*). It will include:

- Urban Tunnel Detection Basic Research –investigates the geophysical characteristics of urban border regions including the uniqueness of all types of tunnels and underground voids as well as the overall detection effectiveness of each. The threat posed by tunneling is a serious and growing concern for United States' national security. Detection of tunnels requires a combination of both direct and indirect methods to determine the shape, size, and position of the tunnel. Many of the current detection capabilities have been developed and employed over the years with limited success. Most were not developed based on first principles but are modifications of existing equipment to detect land mines and identify oil deposits. This basic research will identify the best methods for tunnel detection success. In FY 2010, the project plans to research and distinguish the

geology of the different key urban border regions, and will identify technologies and methods with the greatest potential for detecting tunnels.

Impact on Performance (Relationship of Increase to Strategic Goals)

These programs align to the following DHS Strategic Goals and Objectives:

Goal 1.1: Control our borders and protect our interior

1.1.1 Deploy a mix of infrastructure, technology, and personnel on the Southwest border to ensure all illegal activity along the border is detected and result in interdictions and apprehensions. Support a comprehensive plan and deployment strategy to address security along the Northern Border and Great Lakes.

1.1.2 Deploy maritime and air awareness capabilities and regulatory programs to identify, track, and intercept, if necessary, vessels and airplanes capable of bringing a catastrophic threat device across US borders.

1.1.3 Build the capability to integrate surveillance assets of DHS components as well as the Department of Defense, Interior, US Geological Survey and other related Federal agencies to unify operational awareness with near real-time information sharing.

1.1.4 Ensure interoperability and information/data sharing between DHS and other federal law enforcement components and screening and credentialing programs.

Goal 3.2: Improve maritime safety and stewardship

3.2.1 Continue to protect our ports and waterways and the marine environment against threats from pollution, environmental degradation, the spread of invasive species, and the illegal harvesting of marine resources.

3.2.2 Advance the safety of commercial and recreational activities in the maritime domain using focused prevention and response programs and activities.

Program Increase 2: Chemical and Biological

Strategic Goal(s) & Objective(s):

- Goal 2: Protect Our Nation from Dangerous Goods
- 2.2 Prevent, detect, and respond to biological attacks

PPA: Chemical and Biological

Program Increase: Positions FTE Dollars \$5,000

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level									\$201,800
Program Increase									5,000
Total Request			\$260,273			\$200,408			\$206,800

Description of Item

The increase in FY 2010 supports the Rapid Test Methods for High Volume Analysis project. This project will identify key areas for improvement in laboratory analytical methods for high-throughput and on site analysis of suspect food products. The overall project will target contamination concerns, including chemical, biological, and radiological contaminants, which pose high risk to the American public or economy by undermining the safety of the agriculture/food infrastructure and supply. Investment in this improved technology area will enable more rapid detection of food contamination; provide prompt assessment of the scope of risk presented during a food contamination incident; support enhanced ability for epidemiological trace back investigations, and will ultimately minimize the impact of food contamination events to both public safety and the economy.

The funds requested will address two objectives. The first is the conduct of a systems study to outline priority chemical, biological, and radiological agents for food contamination, assess key points in infrastructure where testing would make a difference in preventing widespread disease, and estimate the cost of implementing, to include the price point at which industry can accept a device, its maintenance, and use in practice. The second objective is to augment funding to develop a high-throughput, multiplex analysis device for biological threats which enables the detection of a wider range of agents than possible today in formats that are representative of numerous types of samples, to include clinical, environmental, and other matrices. The funding increase will ensure solutions to detect agents in food are addressed.

Justification

Recent chemical, biological, and radiological terrorism risk assessments conducted by DHS with interagency participation have highlighted significant risks to the US population through consumable vectors such as food and water. The level of risk posed through these means is not effectively mitigated by current investments across the government. This effort seeks to contribute substantially to the mitigation of risks through the food domain by developing high-throughput testing techniques that are directed to agents of potential terrorist interest as well as agents that are occasionally found and monitored in food products. The target of a dual-use capability will foster the adoption of these tools within the food industry.

Schedule / Implementation plan / Capability increases / Timeline of deliverables:

- Systems study report identifying highest leverage investments – FY10
- Develop high throughput lab methods for top five targets – FY11
- Quantitative demo of lab-based methods – FY12
- Independent lab test real-time diagnostic methods – FY13
- Operational test/evaluation real-time diagnostics – FY15

Impact on Performance (Relationship of Increase to Strategic Goals)

These programs align to the following DHS Strategic Goals and Objectives:

Goal 2: Protect Our Nation from Dangerous Goods

2.2 Prevent, detect, and respond to biological attacks

Program Change 3: Command, Control, and Interoperability

Strategic Goal(s) & Objective(s):

- Goal 4: Build a Nimble, Effective Emergency Response System and a Culture of Preparedness
- 4.1. Strengthen Response and Recovery

PPA: Command, Control and Interoperability (CCI)

Program Change: Positions ____ FTE ____ Dollars \$5,374

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level									\$74,890
Program Change									5,374
Total Request			\$66,171			\$74,890			\$80,264

Description of Item

The FY 2010 program increase will enable CCI to fund Cyber Security research and development that will be applied towards cyber security priorities identified in the Comprehensive National Cybersecurity Initiative (CNCI). Specifically, this effort will develop enduring leap-ahead technologies to secure the Nation’s critical information infrastructure (energy, transportation, telecommunications, banking and finance, and others) and networks.

Justification

The \$5.374 million increase will enable the S&T Directorate to fund Cyber Security R&D initiatives to secure the Nation's critical cyber infrastructure. As outlined in the President’s *National Strategy to Secure Cyberspace* (NSSC), our Nation’s economy and security depend on information technology and the information infrastructure. The increase will encourage research, development, and application of tools and techniques for analyzing software to detect security vulnerabilities associated with our Nation’s critical infrastructure.

Impact on Performance (Relationship of Decrease to Strategic Goals)

The program aligns to the following DHS Strategic Goals and Objectives:

- Goal 4: Build a Nimble, Effective Emergency Response System and a Culture of Preparedness
- 4.2. Strengthen Response and Recovery

Program Increase 4: Explosives

Strategic Goal(s) & Objective(s):

Goal 3: Protect Critical Infrastructure

3.1. Protect and Strengthen the Resilience of the Nation's Critical Infrastructure and Key Resources

PPA: Explosives

Program Increase: Positions _____ FTE _____ Dollars \$24,660

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level									\$96,149
Program Increase									24,660
Total Request			\$116,883			\$96,149			\$120,809

Description of Item

The increase in FY 2010 includes \$10,000,000 to support the High Throughput Air Cargo Screening project. The High Throughput Air Cargo Screening project is developing technologies for TSA. The requested funding will support the objective to screen 100% of air cargo by developing high throughput screening technology suitable for cargo screening applications and filling the current technology capability gap. The funding supports the development and integration of multiple cargo screening technologies to reduce personnel costs and impact on the aviation industry by using automated, effective, and efficient equipment.

The increase in FY 2010 also includes \$14,660,000 to support Counter-IED Research, of which \$5,000,000 will specifically address Transportation Security Integrated Product Team identified gaps in mass transit. This funding will enable the Directorate to build upon existing research programs and improve large threat mass detection for large areas, such as mass transit and special events.

Justification

These efforts support the President's homeland security initiatives of safeguarding mass public transportation and improving airline security.

The High Throughput Air Cargo Screening project is critical to maintaining the safety of air travel against explosive threats concealed inside of air cargo. Further, the project will help to ensure that air cargo has a level of security comparable to that of checked baggage. Many of the core technologies that have been proposed for screening air cargo were developed for checked baggage screening but have not been implemented with the level of integration and performance characteristics required for high throughput cargo screening. As a result, each technology and

approach has significant limitations in terms of detection, throughput, sensitivity, reliance on a human operator, and operational costs. This funding will enable TSA to screen 100% of air cargo by supporting the development of effective and operationally acceptable technologies to detect explosive materials within a wide range of perishable and non-perishable commodities in break bulk, palletized, and containerized configurations. If not identified, the explosive threat could cause catastrophic damage to commercial airliners and disrupt the nation's supply chain and economy.

The High Throughput Air Cargo Screening Program is expected to begin deployment in FY 2012 with continued developments thereafter.

The developed technology will:

- Reduce reliance on human screeners to detect artfully concealed threats;
- Provide automated equipment to screen air cargo to increase throughput;
- Reduce the government's oversight costs;
- Reduce the costs of industry compliance to air cargo screening regulations; and
- Provide additional layers of security to enhance and verify air cargo supply-chain integrity.

The Person-Borne Improvised Explosive Devices (PBIED) Detection Project (formerly Suicide Bomber Improvised Explosive Device Detection) includes research on underlying science for advanced approaches to IED and explosive detection and develops advanced technologies to detect explosive threats to the Nation's aviation, rail, and ship transportation systems. Activities in this program will:

- Improve existing explosive detection methods;
- Develop new detection methods for screening people, baggage and cargo; and
- Ensure freedom of movement for people and commerce.

PBIED investigates technologies capable of detecting all types of explosive threats such as homemade, commercial, and military explosives. The FY 2010 increase will enable the project to support additional high-priority projects identified by DHS customers to address high-priority mass-transit C-IED gaps identified in the Transportation Security IPT.

Increased funding for this existing project will expand and strengthen the C-IED portfolio. This will enable the Division to execute strategic plans to deliver effective technology-based solutions that reach across both the explosives delivery kill chain and technology generations. Increased funding will:

- Accelerate technology development and hasten the deployment of counter-IED capabilities in the Trace detection.
- Focus support on the R&D of technologies for detection and reduced risk of the increasing threats from person-borne IEDs.

Impact on Performance (Relationship of Increase to Strategic Goals)

This program aligns to the following DHS Strategic Goal:

Goal 3: Protect Critical Infrastructure

3.1. Protect and Strengthen the Resilience of the Nation's Critical Infrastructure and Key Resources

This program supports research and development that will expand and strengthen the portfolio and enable S&T to develop technology capabilities that customers have identified as critical.

Program Change 5:

Human Factors/Behavioral Sciences

Strategic Goal(s) & Objective(s):

- Goal 1: Protect Our Nation from Dangerous People
- 1.3. Strengthen Screening of Travelers and Workers

PPA:

Human Factors

Program Change: Positions ____ FTE ____ Dollars \$2,627

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level									\$12,460
Program Change									2,627
Total Request			\$13,889			\$12,460			\$15,087

Description of Item

The increase in FY 2010 reflects additional support for Human Factors’ efforts in the Suspicious Behavior Detection and Human Systems Research and Engineering Programs. This will allow Human Factors to continue and expand activities that will strengthen screening of travelers.

Justification

To support efforts that address high-priority capability gaps identified by customers through the Capstone Integrated Product Team (IPT) for People Screening and the Technology Oversight Group (TOG), chaired by the Deputy Secretary, the Human Factors/Behavioral Sciences Division plans to increase efforts in the Suspicious Behavior Detection program.

Human Factors is developing a simulation to train behavior-based, standoff detection of hostile intent in support of screening and interviewing interactions at air, land, and maritime portals. This project will leverage the interactive and observational behavioral indicators, as analyzed in the Hostile Intent Detection – Automated Prototype and Cross-Cultural Validation of SPOT projects, respectively. Requested funds will allow Human Factors to transition validated cross-cultural upgrades to the classroom and simulation-based training.

The Human Factors/Behavioral Sciences Division is also increasing efforts in Human Systems Research and Engineering which incorporates human systems integration activities into the contracts, planning and execution of DHS research and technology development to ensure that human systems integration analysis, design and test activities are conducted throughout the system life-cycle. This program also conducts research in the area of Human Systems Integration to better understand the underlying cognitive, behavioral, and physiological processes that affect human performance. Requested funds will help Human Factors evaluate existing brain-based sensor technologies in a simulated training situation.

Impact on Performance (Relationship of Decrease to Strategic Goals)

This program aligns to the following DHS Strategic Goal:

Goal 1: Protect Our Nation from Dangerous People

1.3. Strengthen Screening of Travelers and Workers

Program Increase 6: Infrastructure and Geophysical

Strategic Goal(s) & Objective(s):

Goal 3: Protect Critical Infrastructure

3.1. Protect and Strengthen the Resilience of the Nation’s Critical Infrastructure and Key Resources

PPA: Infrastructure and Geophysical

Program Increase: Positions FTE Dollars \$6,926

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level									\$37,816
Program Increase									\$6,926
Total Request			\$52,424			\$75,816			\$44,742

Description of Item

The overall increase in the FY 2010 request will support sustaining current R&D efforts through the Infrastructure and Geophysical Division.

Justification

A continuation of current services in FY 2010 supports Infrastructure and Geophysical research and development (R&D) on the 17 Critical Infrastructure/Key Resource (CIKR) sectors identified in the *National Infrastructure Protection Plan (NIPP)*. This meets the requirements set forth in the Homeland Security Presidential Directive (HSPD) 7, *Critical Infrastructure Identification, Prioritization, and Protection*. In the area of preparedness and response, all programs will be compliant with the National Incident Management System (NIMS) and the National Response Plan (NRP), and in accordance with all HSPDs that enable all government, private-sector, and nongovernmental organizations to work together during domestic incidents of all sizes.

This specifically funds Infrastructure and Geophysical programs that address the following high priority capability gaps identified in the customer-led Infrastructure Protection and Incident Management Capstone IPTs.

Infrastructure Protection IPT Gaps

- Analytical tools to quantify interdependencies and cascading consequences as disruptions occur across critical infrastructure sectors

- Effective and affordable blast analysis and protection for critical infrastructure; improved understanding of blast failure mechanisms and protection measures for the most vital CIKR
- Advanced, automated, affordable monitoring and surveillance and interdiction technologies
- Effective rapid response and recovery for most vital CIKR
- Development and testing in an operational environment of a prototype of a temporary recovery transformer that is easily transported, and easily installed

Incident Management IPT Gaps

- Simulation training and planning tools for Emergency Managers
- First responder tracking and locating during an incident
- First responder tracking and physiological status during an incident
- Total Situational Awareness and Unified Common Operating Picture during an incident

Funded efforts, specifically in Response and Recovery Technologies, Modeling Simulation and Analysis, and First Responder Technologies will improve the protection of our critical infrastructure by providing technologies for hardening these vital critical infrastructure assets and for rapid response and recovery for critical infrastructure assets to limit damage and consequences and allow for normal operations to be resumed more quickly than would otherwise be possible.

Impact on Performance (Relationship of Increase to Strategic Goals)

This program aligns to the following DHS Strategic Goal:

Goal 3: Protect Critical Infrastructure

3.1. Protect and Strengthen the Resilience of the Nation's Critical Infrastructure and Key Resources

The Infrastructure and Geophysical Division will improve our critical infrastructure by providing technologies for hardening and rapid response and recovery for critical infrastructure assets. The increases to Preparedness and Response and Infrastructure Protection will allow the Division to meet the Secretary's goal to protect critical infrastructure.

Program Change 7:

Innovation

Strategic Goal(s) & Objective(s):

Goal 1: Protect Our Nation from Dangerous People

- 1.1. Control Our Borders and Protect Our Interior
- 1.2. Enforce and Reform Immigration Laws
- 1.3. Strengthen Screening of Travelers and Workers

Goal 2: Protect Our Nation from Dangerous Goods

- 2.1. Prevent, Detect, and Respond to Biological Attacks
- 2.2. Prevent, Detect, and Respond to Chemical and Explosives Attacks
- 2.3. Prohibit the Introduction of Illicit Contraband

Goal 3: Protect Critical Infrastructure

- 3.1. Protect and Strengthen the Resilience of the Nation’s Critical Infrastructure and Key Resources

Goal 4: Build a Nimble, Effective Emergency Response System and Culture of Preparedness

- 4.1 Ensure Preparedness
- 4.2 Strengthen Response and Recovery Capability

PPA:

Innovation

Program Change: Positions ____ FTE ____ Dollars \$11,000

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level									\$33,000
Program Change									11,000
Total Request			\$46,515			\$33,000			\$44,000

Description of Item

The increase in FY 2010 reflects support for two new starts and existing projects as they mature. Existing project efforts include demonstrating technologies for protecting levees, mass transit tunnels, the electric grid in Manhattan, NY; and detecting and distinguishing between harmful and benign liquids at airport checkpoints, and detecting a person’s intent to cause harm based on physiological and behavioral cues. The FY 2010 request allows the S&T Directorate to start two new projects in the area of multi-modal tunnel detect, where capabilities are currently non-existent to inadequate; and low cost biological detection, which could result in huge gains in capability for DHS.

Justification

Innovation focuses on homeland security R&D that could lead to significant technology breakthroughs that would greatly enhance DHS operations. Innovation and the S&T Divisions

jointly execute these projects that take a different approach to technology development, seeking high rewards by taking more risks relative to the rest of the S&T Directorate. The major thrust areas of this PPA are:

Homeland Innovative Prototypical Solutions (HIPS) Projects

In FY 2010, the increase in Innovation will support operational demonstrations, particularly in the following HIPS projects:

Future Attribute Screening Technologies Mobile Module (FASTM2) Project – Develops a prototype screening facility and a suite of real-time, non-invasive sensor technologies to rapidly, reliably, and remotely detect behavior indicative of malintent (the intent or desire to cause harm). The system will be capable of measuring both physiological and behavioral signals to automatically make a probabilistic assessment of malintent based on sensor outputs and advanced fusion algorithms. Federal, State, and local authorities to increase the accuracy and validity of people screening at special events, airports, and other secure areas may use the fully developed FAST system in primary and secondary screening environments. Indicators will be measured using culturally independent and non-invasive sensors.

In FY 2010, the project plans to identify, integrate, and demonstrate continued advances in physiological and behavioral screening as well as new sensor technology derived from previous research efforts. The project plans to demonstrate the effectiveness of the mobile module in the laboratory and operational environments, such as a special security event or transportation portal.

Resilient Electric Grid (REG) Project – Demonstrates High-Temperature Superconducting (HTS) technologies for reliable distribution and protection of electrical power. REG will protect critical, electric-power dependent infrastructure (like the Manhattan Financial District) from the cascading effects of a power surge on electrical grids. Much of the existing electric grid is highly susceptible to brown outs and black outs, and current methods for preventing power outages and restoring power are often costly, slow and require extraordinary efforts. Existing technologies and planned mitigations also require a lot of space, which is problematic in dense urban areas. This project will demonstrate key components of a future “micro grid” that will instantaneously reduce power surges and allow for multiple alternative pathways of power delivery, providing resilience against natural disasters and deliberate attacks. Across the country, a resilient electric grid will produce savings of billions of dollars each year in the course of normal operations through gains in efficiencies, and these benefits would multiply in the case of deliberate attacks and as power grids continue to grow. After a successful laboratory demonstration, the S&T Directorate will implement a REG prototype in Consolidated Edison’s electric grid in the Borough of Manhattan. Following a successful in-grid prototype, Consolidated Edison will incorporate REG in other parts of the New York City electric grid, including the financial district, in order to protect the economic infrastructure of American business. REG will simultaneously transition to other regions and power companies to protect critical infrastructure.

In FY 2009, the project will conduct the 25-meter cable demonstration at ORNL. In FY 2010, the project plans to manufacture the cable to be inserted into the Manhattan electric grid and

conduct testing to address AC losses. The project will also demonstrate a stand-alone FCL, which is a significant technological advancement and could be installed in the grid as an alternative to the relatively high-risk FCL cable.

If REG is successful, Consolidated Edison will deploy the cable developed by REG in New York City. The technology will also transition to other utility providers and benefits critical infrastructure protection in dense, urban populations.

Rapid Liquid Component Detector (MagViz) Project – Uses ultra-low-field Magnetic Resonance Imaging (MRI) technology to screen baggage for liquid explosives. To mitigate the liquid explosives threat, airline passengers currently must pack liquids or gels (such as certain toiletries and medicines) in containers that are 3 ounces or smaller. Those containers must be placed in a 1-quart-sized, clear plastic, zip-top bag; and only 1-bag-per-traveller is allowed. These are known as “3-1-1 bags,” which undergo an X-ray inspection and possibly secondary screening using multiple methods, such as visual inspection. The goal of MagViz is to eliminate the 3-1-1 rule and allow passengers to place liquids in their carry-on baggage. MagViz will scan and identify individual materials that may be packaged together or separately as they go through the scanning process and evaluate them against a database that will differentiate between those items considered safe for carrying onto an aircraft (e.g., benign liquids and gels like mouthwash, toothpaste, etc.) and harmful ones. The intent is for the detection of liquids in baggage to be non-contact and to occur at the same rate as current X-ray machines, thus not hindering passenger throughput.

In FY 2010, the project plans to continue building the magnetic characterization database of liquids and demonstrate the capability of MagViz to seamlessly screen segregated liquids (without the 3-1-1 bag constraint) in an operational environment and subsequently evaluate termination or transition options.

Levee Strengthening & Damage Mitigation Project – Develops techniques to (1) strengthen levees through natural covers or engineered armoring in order to prevent levee failure by soil erosion or breaching; (2) rapidly and remotely detect the condition of a levee; and (3) rapidly repair failure locations.

The FY 2010 plan would support testing of the Portable Lightweight Universal Gasket (PLUG).

High Impact Technology Solutions (HITS) Projects

In FY 2010, the increase in Innovation will support demonstrations, particularly in the following HITS projects:

Resilient Tunnel Project – Seeks approaches to address critical vulnerabilities in U.S. transportation tunnels. Prior assessments have revealed that terrorists using improvised explosive devices (IEDs) could exploit certain weaknesses to cause catastrophic failure of a tunnel. The project will expand upon the analyses performed to date and identify alternative technical solutions that could be applied to mitigate the vulnerabilities. The project focuses on designing an inflatable tunnel plug to protect mass transit tunnels from fires, smoke, and

flooding. In FY 2008, the project initiated a partnership with the Washington Metropolitan Area Transit Authority (WMATA) and completed a technical and operational requirements document for an inflatable tunnel plug; a specific vulnerability assessment was also completed to inform requirements. Small-scale and full-scale laboratory test tunnels were constructed to facilitate testing of inflatable plug prototypes. Several scale model plugs were designed to test different plug geometries, and the project selected the most promising design for construction of a full-scale tunnel plug. The full-scale tunnel plug was subjected to laboratory testing and then demonstrated in an operational WMATA subway tunnel in August 2008. The demonstration illustrated that a full-scale plug can be inflated quickly and efficiently in a real-world transit environment and that the plug effectively seals against the tunnel walls.

In FY 2010, the project plans to conduct a full-scale demonstration of a second-generation tunnel plug based on the WMATA and the Port Authority of New York and New Jersey's (PANYNJ) requirements.

Cell-All Ubiquitous Chem/Bio Detect Project – Examines proofs-of-concept for integrating miniaturized chemical and biological agent detectors into personal devices, such as cellular telephones, in order to create a widely distributed network for detection, classification, and notification in the event of a chemical release, and with possible extensions to detect chemical components of some biological agents. Individual device owners on the network would control the detection and transmission of the data, sensor timing, and global positioning satellite (GPS) location information. The goals of this project include significant improvement to chemical and biological detectors' integration, size, costs, power, maintenance, durability, and response characteristics.

In FY 2008, the project conducted research for concept development. In FY 2009, the project will develop laboratory prototypes. One will leverage the National Aeronautics and Space Administration's (NASA) expertise with novel gas sensor architectures for manned space missions. The second involves the use of porous silicon based detection devices integrated into a common phone component. A third effort examines device interfacing, emerging commercial sensor designs, and explores the development of an overall concept of operations for successful sensor applications developed under this program and lays the groundwork for this technology to be more widely available to future sensor designs developed under other Government or commercial programs. In FY 2010, the project will demonstrate a concept of operations and several technologies in a multi-phone environment.

Biometric Detector Project – Develops rapid, non-contact, three-dimensional fingerprint scanner technologies that will allow DHS to collect high-quality fingerprints at screening checkpoints with minimum impact on throughput. Currently the fingerprinting process is slow, and converting contact fingerprints to a digitally stored record is time consuming and can require several attempts. Biometric Detector's goal is to have a less intrusive technology that produces a much higher success rate at capturing fingerprints the first time and with far greater detail, which will allow for increased speed and accuracy in records matching and identification. In FY 2008, the project began prototype development of three different, but complementary contactless single-finger scanning technologies whose demonstrations will occur in FY 2009. Based on the demonstration results, the project plans to down select among the technologies to develop a

multi-finger contactless device and conduct a proof-of-concept demonstration. Should these demonstrations prove successful, the project plans to continue to develop a non-contact scanner for the entire hand and demonstrate the biometric detector prototypes in the field in FY 2010.

New Innovation Projects:

The FY 2010 request allows Innovation to start two new projects in areas that have the potential for huge gains in capabilities:

Multi-modal Tunnel Detect Project – No single technology can detect tunnels in all environments. This project will combine magnetic, seismic, acoustic, radio frequency, and other complementary sensor modalities to detect tunnels in differing and complex geophysical conditions. Multi-modal Tunnel Detect will develop prototypes to 1) improve the identification and characterization of geophysical conditions found in areas of greatest interest along the border; 2) uncover technological dependencies with respect to location; and 3) detect clandestine tunnels. The goal is to develop new border security system technologies for reliable detection of clandestine tunnels for a variety of geophysical environments. If successful, this program will deliver new border security options to DHS.

Very Low Cost Bio Agent Detect Project – Decreases cost and improves efficiency of high-specificity real-time pathogen detection and characterization; conducts comparative experiments between competing approaches; and conducts field pilots within the homeland security community to validate cost and efficiency models. In FY 2010, the project plans to analyze emerging pathogen detection/characterization capabilities and develop low cost models. The project plans to build laboratory prototypes for low cost sensing packages.

Impact on Performance (Relationship of Decrease to Strategic Goals)

This program aligns to the following DHS Strategic Goal:

Goal 1: Protect Our Nation from Dangerous People

- 1.1 Control Our Borders and Protect Our Interior
- 1.2 Enforce and Reform Immigration Laws
- 1.3 Strengthen Screening of Travelers and Workers

Goal 2: Protect Our Nation from Dangerous Goods

- 2.2 Prevent, Detect, and Respond to Biological Attacks
- 2.3 Prevent, Detect, and Respond to Chemical and Explosives Attacks
- 2.4 Prohibit the Introduction of Illicit Contraband

Goal 3: Protect Critical Infrastructure

- 3.1 Protect and Strengthen the Resilience of the Nation's Critical Infrastructure and Key Resources

Goal 4: Build a Nimble, Effective Emergency Response System and Culture of Preparedness

- 4.1 Ensure Preparedness
- 4.2 Strengthen Response and Recovery Capability

This program supports research and development designed to achieve technology breakthroughs in DHS capabilities – programs range from detecting tunnels (Borders/Maritime), strengthening and protecting mass transit tunnels and levees (Infrastructure/Geophysical), biological and chemical detection (Chem/Bio) to detecting a person’s intent to cause harm before he/she acts (Human Factors).

Program Change 8: Laboratory Facilities

Strategic Goal(s) & Objective(s):

- Goal 4: Build a Nimble, Effective Emergency Response System and a Culture of Preparedness
- 4.1. Ensure Preparedness

PPA: Laboratory Facilities

Program Change: Positions 6 FTE 6 Dollars 25,803

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level									\$128,697
Program Change									25,803
Total Request			\$109,358	124	124	\$161,940	130	130	\$154,500

Description of Item

The FY 2010 program change reflects an increase of \$25.803 million to support additional storage space at the Transportation Security Laboratory, Pacific Northwest National Laboratory (PNNL) construction, and operations and maintenance (O&M) at DHS S&T laboratories.

Justification

In FY 2009, Congress gave DHS S&T \$25.000 million for the PNNL Capability Replacement Laboratory (CRL). In FY 2010, S&T plans to meet its commitment according to the terms of the Memorandum of Understanding (MOU) with the Department of Energy (DOE). This project is a multi-year construction effort to build a research laboratory campus used by several DHS elements (e.g., S&T, DNDO, CBP and the USCG) relying on the PNNL 300 Area for mission-critical technical work. The national laboratory infrastructure to be built provides upgrades for one aging facility in the PNNL “300 Area,” and replacements for others that will be razed and/or decommissioned in regulatory-driven site cleanup actions circa 2012. The CRL project will preserve these at-risk laboratories. DHS agreed to contribute 25% of the \$224.000 million construction cost. DHS’s portion is \$56.000 million. As of FY 2009, DHS has received \$44.000 million to fund this effort.

Prior to FY 2007: \$2.000 million

FY 2007: \$2.000 million

FY 2008: \$15.000 million

FY 2009: \$25.000 million

Total: \$44.000 million

The FY 2010 program increase also supports Infrastructure Upgrades at DHS S&T laboratories to ensure that they do not reach a point where dilapidated infrastructure or the lack of sufficient infrastructure prohibits conducting needed research and development. These capital upgrades ensure that DHS S&T laboratories meet modern laboratory standards and avoid an unmanageable and unaffordable situation in which numerous key facilities require upgrades at once.

The first project under Infrastructure Upgrades will add storage space, including explosive storage bunkers, at TSL so that the laboratory can continue to support increasing system development testing requirements. TSL currently rents space off-site to store explosives, which it cannot continue to do with the anticipated growth in the need to validate the performance of explosives detection systems. In FY 2010, this project will begin the construction of needed storage space which will eliminate the need to rent space off-site.

Adequate storage space at TSL is an immediate need, but it is also the first step in developing needed additional capabilities at the laboratory in the future. Currently, the laboratory operates second and third shifts and must rotate equipment amongst various laboratory cells to conduct testing. Any disruptions in these activities impact testing schedules and result in delays in delivering technology solutions to DHS customers.

The FY 2010 program also allows the laboratories to address increases in operational expenses due to several factors including: anticipated higher O&M costs related to the aging facilities at both Plum Island Animal Disease Center (PIADC) and Transportation Security Laboratory (TSL); new O&M and Security contracts that are being re-competed; increased operational costs for NBACC as it becomes operational; and anticipated increases in security, rent, electricity, contractor labor rates (particularly in the New York, Connecticut, and New Jersey areas), and other O&M at the laboratories.

Impact on Performance (Relationship of Decrease to Strategic Goals)

This program aligns to the following DHS Strategic Goal:

Goal 4: Build a Nimble, Effective Emergency Response System and a Culture of Preparedness
4.1. Ensure Preparedness

The requested FY 2010 funding will enable the Division to continue to support its DHS customers, both by providing FTE support and by facilitating several construction projects. Once complete, these laboratories will enable cutting edge research that will ensure the preparedness of the Nation against a variety of chemical, biological, agricultural, and other attacks.

Program Change 9: Transition

Strategic Goal(s) & Objective(s): Goal 4: Build a Nimble, Effective Emergency Response System and a Culture of Preparedness

4.1. Ensure Preparedness

PPA: Transition

Program Change: Positions ____ FTE ____ Dollars \$14,000

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level									\$31,134
Program Change									14,000
Total Request			\$46,330			\$28,830			\$45,134

Description of Item

The increase in FY 2010 reflects support for Transition’s efforts in First Responder Technologies.

Justification

The Transition Office supports the transition and transfer of S&T Directorate technologies to customers. Departmental components’ science and technology requirements are coordinated through the Capstone Integrated Product Teams (IPT). To directly focus on the needs of First Responders, the Transition Office is adding a functional homeland security area to the product transition program. To support additional efforts that address high-priority capability gaps identified by First Responders, Transition plans to increase its activities to stand up a First Responder Technologies program and IPT.

Requested funds will help the First Responder Technologies IPT address capability gaps identified by Federal, State, local and Tribal First Responders. Requested funds will also allow S&T to design, develop, and test technologies for First Responders. The program will assess technologies for usability and commercialize them to make the technology solutions available across all First Responder communities.

Impact on Performance (Relationship of Increase to Strategic Goals)

This program aligns to the following DHS Strategic Goal:

Goal 4: Build a Nimble, Effective Emergency Response System and a Culture of Preparedness
4.1. Ensure Preparedness

Program Change 10: University Programs

Strategic Goal(s) & Objective(s):

- Goal 4: Build a Nimble, Effective Emergency Response System and a Culture of Preparedness
- 4.1. Ensure Preparedness

PPA: University Programs

Program Change: Positions FTE Dollars (\$2,270)

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level									\$48,270
Program Change									(2,270)
Total Request			\$63,715			\$50,270			\$46,000

Description of Item

The FY 2010 decrease represents no additional funding to support the Centers of Excellence (COEs) in particular, the expansion of the Transportation Security (TS) COE.

The Transportation Security COE cuts across all six S&T Divisions, but is particularly responsive to the needs of TSA, the Office of Infrastructure Protection, the US Coast Guard activities at ports, and these agencies’ partners. This COE is initiating a significant collaboration with the Transportation Security Laboratory, as well as the Maritime COE. It addresses the technology and research needs associated with securing the Nation’s infrastructure and protecting the people who use it.

Justification

The Implementing Recommendations of the 9/11 Commission Act of 2007 (H.R. 1, Sec. 1205) mandated the creation of the Transportation Security COE. The FY 2008 Appropriations bill provided additional funding for the center and funds were realigned in FY 2009. However, this is no longer a viable option FY 2010 through FY 2014. S&T reallocated funding from the Divisions to support this COE, effectively preventing S&T from delivering prototypes and solutions to its customers as quickly as it might have otherwise. University Programs has internally realigned and strived to build an appropriate portfolio of COEs aligned to S&T Divisions and offices; in order to retain the balance it has established, the program is unable to accommodate the Transportation COE in FY 2010 through FY 2014. University Programs is also opposed to using money from Educational Programs to support the COE; supporting education is a vital part of University Programs’ mission, as well as the Under Secretary’s vision for the future of S&T. The funding requested for the center would enable it to continue the work it started in FY 2008 and FY 2009.

This work has the potential to lead to developments in explosives detection, cargo security, port security, and infrastructure protection that will make the current system safer, while reducing the impact on private citizens and industry. Without funding, University Programs will be unable to support the mandated center.

Impact on Performance (Relationship of Increase to Strategic Goals)

Without funding, University Programs will be unable to support the mandated center and allow the Division to meet the Department's goal to build a nimble, effective emergency response systems and a culture of preparedness.

Program Change 11: Homeland Security Institute

Strategic Goal(s) & Objective(s):

- Goal 4: Build a Nimble, Effective Emergency Response System and a Culture of Preparedness
- 4.1. Ensure Preparedness

PPA: Homeland Security Institute

Program Change: Positions _____ FTE _____ Dollars (\$5,000)

Funding Profile

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level									\$5,000
Program Change									(5,000)
Total Request			\$0			\$5,000			\$0

Description of Item

The Homeland Security Institute is a specialized studies and analysis Federally Funding Research and Development Center (FFRDC) established by the Homeland Security Act of 2002. The Institute provides a unique source of in-depth knowledge of homeland security mission objectives, operational concepts and requirements, strategies, resources, systems and technologies. The Institute’s mission is to assist DHS and its operating elements in addressing important homeland security issues, particularly those requiring scientific, technical and analytical expertise. The research agenda covers the spectrum of homeland security issues and activities, including threat trends and adversarial perspectives, information sharing and communications interoperability, border and transportation security, law enforcement, infrastructure protection, preparedness, emergency response, and training.

Justification

The S&T Directorate will continue to fund this FFRDC out of the Transition PPA.

Impact on Performance (Relationship of Increase to Strategic Goals)

This program aligns to the following strategic goal:

- Goal 4 Build a Nimble, Effective Emergency Response System and a Culture of Preparedness
- 4.1. Ensure Preparedness

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Science and Technology Directorate
Justification of Proposed Changes in Research, Development, Acquisition and Operations
Appropriation Language**

For necessary expenses for science and technology research, including advanced research projects; development; test and evaluation; acquisition; and operations; as authorized by title III of the Homeland Security Act of 2002 (6 U.S.C. 181 et seq.); [\$800,487,000], \$826,191,000 to remain available until expended. (Department of Homeland Security Appropriations Act, 200[9]10)

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
Science and Technology Directorate
Research, Development, Acquisition, and Operations
FY 2009 — FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2008 Actual	-	-	833,926
2009 Enacted	124	124	800,487
Adjustments-to-Base (ATBs)			
Maintain R&D Current Services.....	-	-	4,506
Laboratory Facilities			
Restore FTEs.....	6	6	-
Annualization of FY 2009 Pay Raise.....	-	-	151
Inflation GSA Rent.....	-	-	41
FY 2010 Pay Increase (2.0%).....	-	-	282
PIADC			
<i>Increased O&M: Fuel & utilities</i>	-	-	1,500
<i>Engine overhaul; roof replacement (non-recur)</i>	-	-	2,000
NBACC - First full year of operation.....	-	-	1,800
Subtotal Increases	6	6	10,280
Non-Recurring Costs	-	-	
Laboratory Facilities Non-Recur.....	-	-	(10,401)
Southeast Region Research Institute Earmark Reduction.....	-	-	(27,000)
Environment for Critical Infrastructure Decisionmaking Exercises Earmark Reduction.....	-	-	(3,000)
Homeland Security Research, Development, & Manufacturing Pilot Earmark Reduction.....	-	-	(2,000)
National Institute for Hometown Security, Community-Based Infrastructure Earmark Reducti	-	-	(11,000)
Naval Postgraduate School.....	-	-	(2,000)
Pacific Northwest National Laboratory.....	-	-	(25,000)
Subtotal Non Recurring Costs	-	-	(80,401)
Total ATBs	6	6	(70,121)
2010 Current Services	130	130	730,366
Program Changes			
Borders and Maritime	-	-	\$7,131
Chemical and Biological	-	-	\$5,000
Command, Control and Interoperability	-	-	\$5,374
Explosives	-	-	\$24,660
Human Factors/Behavioral Sciences	-	-	\$2,627
Infrastructure and Geophysical	-	-	\$6,926
Innovation	-	-	\$11,000
Laboratory Facilities	-	-	\$25,803
Test and Evaluation, Standards	-	-	\$574
Transition	-	-	\$14,000
University Programs	-	-	(\$2,270)
H.S.I.*	-	-	(\$5,000)
Total Program Changes	-	-	\$95,825
2010 Request	130	130	\$826,191
2009 to 2010 Total Change	6	6	\$25,704

Footnote: *\$5 million for H.S.I. transferred to Transition in FY 2010.

C. Summary of Requirements

**Department of Homeland Security
Science and Technology Directorate
Research, Development, Acquisition, and Operations
Summary of Requirements
(Dollars in Thousands)**

	FY2010		
	Perm. Pos.	FTE	Amount
FY 2008 Actual		---	\$833,926
2009 Enacted	124	124	800,487
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	---	---	---
Increases	6	6	10,280
Decreases	---	---	(80,401)
Total Adjustments-to-Base	6	6	(70,121)
2010 Current Services	130	130	730,366
Program Changes (See "FY 2008 to FY 2009 Budget Change" for details)	---	---	95,825
2010 Total Request	130	130	\$826,191
2009 to 2010 Total Change	6	6	25,704

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Borders and Maritime	---	---	\$33,050	---	---	\$0	---	---	\$7,131	---	---	\$40,181	---	---	\$7,131
2 Chemical and Biological	---	---	\$200,408	---	---	1,392	---	---	5,000	---	---	206,800	---	---	6,392
3 Command, Control and Interoperability	---	---	\$74,890	---	---	0	---	---	5,374	---	---	80,264	---	---	5,374
4 Explosives	---	---	\$96,149	---	---	0	---	---	24,660	---	---	120,809	---	---	24,660
5 Human Factors/Behavioral Sciences	---	---	\$12,460	---	---	0	---	---	2,627	---	---	15,087	---	---	2,627
6 Infrastructure and Geophysical	---	---	\$75,816	---	---	(38,000)	---	---	6,926	---	---	44,742	---	---	(31,074)
7 Innovation	---	---	\$33,000	---	---	0	---	---	11,000	---	---	44,000	---	---	11,000
8 Laboratory Facilities	124	124	\$161,940	6	6	(33,243)	---	---	25,803	130	130	154,500	6	6	(7,440)
9 Test and Evaluation, Standards	---	---	\$28,674	---	---	(574)	---	---	574	---	---	28,674	---	---	0
10 Transition	---	---	\$28,830	---	---	2,304	---	---	14,000	---	---	45,134	---	---	16,304
11 University Programs	---	---	\$50,270	---	---	(2,000)	---	---	(2,270)	---	---	46,000	---	---	(4,270)
12 Homeland Security Institute	---	---	\$5,000	---	---	0	---	---	(5,000)	---	---	0	---	---	(5,000)
Total	124	124	\$800,487	6	6	(\$70,121)	---	---	\$95,825	130	130	\$826,191	6	6	\$25,704

D. Summary of Reimbursable Resources

**Department of Homeland Security
Science and Technology Directorate
Research, Development, Acquisition, and Operations**
Summary of Reimbursable Resources
(Dollars in Thousands)

Collections by Source	FY 2008 Actual			2009 Estimate			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Department of Agriculture	---	---	\$32	---	---	\$0	---	---	\$0	---	---	\$0
Central Intelligence Agency	---	---	428	---	---	---	---	---	---	---	---	---
Department of Commerce	---	---	4,724	---	---	20,000	---	---	18,000	---	---	(2,000)
Department of Defense	---	---	45	---	---	1,000	---	---	2,000	---	---	1,000
Department of Homeland Security:												
Citizen & Immigration Services	---	---	628	---	---	10,000	---	---	10,000	---	---	---
Customs & Border Protection	---	---	1,585	---	---	15,450	---	---	15,000	---	---	(450)
Domestic Nuclear Detection Office	---	---	125	---	---	---	---	---	---	---	---	---
Federal Emergency Management Agency	---	---	246	---	---	---	---	---	---	---	---	---
Headquarters Operations	---	---	350	---	---	---	---	---	---	---	---	---
Intelligence & Analysis	---	---	795	---	---	---	---	---	---	---	---	---
Office of Emergency Communications	---	---	3,700	---	---	---	---	---	---	---	---	---
Office of Health Affairs	---	---	500	---	---	---	---	---	---	---	---	---
Transportation Security Administration	---	---	7,919	---	---	3,020	---	---	---	---	---	(3,020)
United States Coast Guard	---	---	2,177	---	---	---	---	---	---	---	---	---
Transport Canada	---	---	1,132	---	---	1,000	---	---	1,200	---	---	200
Total Budgetary Resources	---	---	24,386	---	---	50,470	---	---	46,200	---	---	(4,270)

Obligations by Program/Project Activity	FY 2008 Actual			2009 Estimate			2010 Estimate			Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Borders and Maritime Security	---	---	\$567	---	---	\$15,000	---	---	\$15,000	---	---	---
Chemical & Biological	---	---	473	---	---	---	---	---	---	---	---	---
Command, Control, & Interoperability	---	---	8,774	---	---	20,000	---	---	18,000	---	---	(2,000)
Explosives	---	---	3,700	---	---	---	---	---	---	---	---	---
Homeland Security Institute	---	---	4,546	---	---	10,000	---	---	10,000	---	---	---
Laboratory Facilities	---	---	6,326	---	---	5,470	---	---	3,200	---	---	(2,270)
Total Obligations	---	---	24,386	---	---	50,470	---	---	46,200	---	---	(4,270)

Explanation of Increase/Decrease.

The FY 2010 request reflects the nonrecr of startup costs for CMAS, which the program expects to incur in FY 2009.

E. Summary of Requirements By Object Class

**Department of Homeland Security
Science and Technology Directorate
Research, Development, Acquisition, and Operations**
Summary of Requirements by Object Class
(Dollars in Thousands)

Object Classes	FY 2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$0	\$10,500	\$11,056	\$556
11.3 Other than full-time permanent	\$0	---	---	---
11.5 Other Personnel Compensation	\$0	---	---	---
12.1 Benefits	\$194	3,500	5,445	1,945
Total, Personnel Comp. & Benefits	\$194	\$14,000	\$16,501	\$2,501
Other Object Classes:				
21.0 Travel	3,783	4,691	5,015	324
23.1 GSA rent	1,990	2,387	1,000	(1,387)
23.2 Other rent	16	---	---	---
23.3 Communications, utilities, & other misc. charges	2,177	12,697	12,544	(153)
25.1 Advisory and assistance services	49,139	83,728	53,426	(30,302)
25.2 Other services	25,553	954	1,804	850
25.3 Purchases of goods & svcs. from Gov't accounts	62,781	35,288	18,809	(16,479)
25.4 Operation & maintenance of facilities	16,653	41,694	40,695	(999)
25.5 Research and development contracts	595,267	678,421	583,217	(95,204)
25.7 Operation and maintenance of equipment	479	1,400	2,050	650
26.0 Supplies and materials	4,688	7,892	8,303	411
31.0 Equipment	2,654	7,250	2,000	(5,250)
32.0 Land & structures	---	6,167	36,427	30,260
41.0 Grants/Subsidies/Contributions	68,552	52,474	44,400	(8,074)
Total, Other Object Classes	833,732	935,044	809,690	(125,354)
Total, Direct Obligations	\$833,926	\$949,044	\$826,191	(\$122,853)
Unobligated balance, start of year	(255,447)	(148,556)	---	---
Unobligated balance, end of year	148,556	---	---	---
Recoveries of prior year obligations	---	---	---	---
Total requirements	\$727,036	\$800,487	\$826,191	---

F. Permanent Positions By Grade

**Department of Homeland Security
Science and Technology Directorate
Research and Development
Permanent Positions by Grade**

Grades and Salary Ranges	2008	2009	2010	2009 to 2010
	Actual Pos.	Enacted Pos.	Request Pos.	Change Total
Total, SES	---	---	---	---
Total, EX	---	---	---	---
GS-15	---	25	25	---
GS-14	---	30	33	3
GS-13	---	22	25	3
GS-12	---	17	17	---
GS-11	---	9	9	---
GS-10	---	---	---	---
GS-9	---	6	6	---
GS-8	---	2	2	---
GS-7	---	2	2	---
GS-6	---	1	1	---
GS-5	---	---	---	---
GS-4	---	---	---	---
GS-3	---	---	---	---
GS-2	---	---	---	---
Other Graded Positions	---	10	10	---
Ungraded Positions	---	---	---	---
Total Permanent Positions				6
Unfilled Positions EOY	---	---	---	---
Total Perm. Employment EOY	---	124	130	6
FTE	---	124	130	6
Headquarters	---	---	---	---
U.S. Field	---	124	130	6
Foreign Field	---	---	---	---
Total Permanent Positions		124	130	6
Average ES Salary	\$ ---	\$ ---	\$ ---	\$ ---
Average GS Salary	\$ ---	\$ 101,630	\$ 102,220	\$ 590
Average GS Grade	---	12.00	12.00	---

G. Capital Investment and Construction Initiative Listing

**SCIENCE & TECHNOLOGY DIRECTORATE
NATIONAL BIO AND AGRO DEFENSE FACILITY**

INITIATIVE NAME	FY 2010 FUNDING REQUEST (\$000)			FUNDING FROM:	
	Current Services Level	New Initiative	Total	Budget Activity	Program/s Name
National Bio and Agro Defense Facility (NBAF) site preparation and central utility plant (CUP) construction	\$36,312	\$0	\$36,312	R&D	Laboratory Facilities
Total Non- IT investments \$5 million or more	\$36,312	\$0	\$36,312		
Total Non-IT initiatives under \$5 million	\$0	\$0	\$0		
Total Non-IT Investments	\$36,312	\$0	\$36,312		
Total of IT Investments	\$0	\$0	\$0		
Total all IT and Non-IT Investments	\$36,312	\$0	\$36,312		

NATIONAL BIO AND AGRO DEFENSE FACILITY

1. Project Description, Justification, and Scope

The proposed National Bio and Agro Defense Facility (NBAF) is an integrated foreign animal and zoonotic disease research, development and testing facility that will support the complementary missions of DHS and the United States Department of Agriculture (USDA). Currently, this research occurs at Plum Island Animal Disease Center (PIADC), where researchers have contributed significantly to protecting against Foreign Animal Diseases (FAD) for the past 50 years. The Homeland Security Act of 2002 (Public Law 107-296) transferred the operation of the Plum Island Animal Disease Center (PIADC) from the United States Department of Agriculture (USDA) to DHS. Discussions between DHS and USDA on a coordinated agricultural research strategy, as called for in the Homeland Security Act of 2002 and Homeland Security Presidential Directive 9 (HSPD-9), "Defense of United States Agriculture and Food (January 30, 2004)", revealed a capability gap that must be filled by an integrated research, development, test, and evaluation infrastructure for combating agricultural and public health threats posed by Foreign Animal Diseases, emerging, and zoonotic diseases in livestock. The DHS Science and Technology (S&T) Directorate is responsible for addressing this gap.

Accordingly, DHS proposed to build NBAF to bridge the capability gap and to comply with HSPD- 9. Co-locating DHS with USDA's Animal and Plant Health Inspection Service - Veterinary Services (APHIS-VS) and Agricultural Research Service (ARS) at NBAF would increase capabilities in research, diagnostics, and responses to outbreaks in agricultural animals (i.e., cattle, swine, and sheep) and meet the requirements of HSPD-9 by providing a domestic, modern, integrated high-containment facility that includes Biosafety Level (BSL) - 2, BSL-3E, BSL-3Ag, and BSL-4 laboratories for an estimated 350 scientists and support staff to safely and effectively prevent the accidental or intentional introduction of animal diseases of high consequence into the United States.

PIADC, the current facility built in the 1950s, is nearing the end of its lifecycle, and does not contain the necessary BSL facilities to meet the NBAF research requirements. NBAF would fulfill the need for a secure U.S. facility that could support collaborative efforts among researchers from Federal and state agencies, academia, and international partners to perform necessary research at the required BSLs 3 and 4. Additionally, as discussed in the recent Report of the Commission on the Prevention of Weapons of Mass Destruction (WMD) Proliferation and Terrorism (December 2008), the United States should continue to undertake a series of mutually reinforcing domestic measures to prevent agro and bioterrorism.

DHS began the site selection process in January 2006. In July 2007, DHS identified five site alternatives that surpassed others in meeting the DHS evaluation criteria: and determined that they, along with Plum Island, would be evaluated in the Environmental Impact Statement (EIS) as reasonable alternatives for the proposed NBAF. The Record of Decision (ROD) issued in January 2009 identified Manhattan, Kansas as the location to build NBAF, a decision based on the numerous strengths that were evident when evaluating the Manhattan, Kansas site against various evaluation criteria. The EIS also included a comprehensive risk assessment of FMD.

The proposed NBAF consists of two laboratory facilities and four outbuildings. One of the two laboratories would be the primary research building with BSL-2, BSL-3E, BSL-3Ag, and BSL-4 capabilities and support space. The other laboratory, to be located adjacent to the primary laboratory, would be for small-scale vaccine and reagent production. The outbuildings include a central utility plant, an entry guardhouse, a central receiving facility, and parking. The area needed for the NBAF is approximately 500,000 square feet.

DHS plans to complete detailed design of the facility and begin site preparation including central utility plant construction in FY 2010. NBAF building construction is planned to begin in FY 2011 with completion scheduled for 2015.

2. Significant Changes

Since the submission of the FY 2009 budget, DHS has completed an EIS and issued a ROD identifying Manhattan, Kansas as the site for NBAF construction. The total cost has been updated to account for site-specific costs at the Kansas University campus. The total NBAF project cost is \$725.000 million, including prior year funds. In addition, DHS will decontaminate and decommission (D&D) PIADC and transfer assets to NBAF which requires an additional \$190.000 million. To offset these costs, Congress authorized DHS to sell Plum Island and use the proceeds for NBAF construction and remediation of the island. With congressional approval, DHS plans to accept in-kind contributions from the State of Kansas, which has proposed to provide land (at no cost) and \$110.000 million of in-kind contributions. DHS S&T

plans to request funding for NBAF building construction and Plum Island remediation in FY 2011. Construction is expected to be completed in FY 2015.

The sale of Plum Island will likely take place in FY 2011, and the purchase agreement should allow current operations to continue until eventual transfer of functions upon completion of the new NBAF facility.

3. Project Schedule

NBAF Project Milestones	Fiscal Quarter and Year				Total Estimated Completion Cost (\$000)	Total Project Cost (\$000)
	Work Initiated	Work Completed	Physical Construction Start	Physical Construction Complete		
Management, Planning, Pre-Site Conceptual Design (CD), & Technical Support	1Q FY 2005	2Q FY 2015			25,000	25,000
Feasibility Study/Pre-Conceptual Design	2Q FY 2006	3Q FY 2006			3,000	3,000
Site Characterization & Cost Analysis	1Q FY 2008	4Q FY 2008			2,000	2,000
EIS/Record of Decision	1Q FY 2008	2Q FY 2009			5,000	5,000
Facility Detailed Design	3Q FY 2009	4Q FY 2010			53,000	53,000
CMc Involvement in Design	4Q FY 2009	4Q FY 2010			5,000	5,000
Site Preparation and Central Utility Plant (CUP) (GMP #1)			4Q FY 2010	2Q FY 2011	110,000	110,000
Physical Construction (GMP #2)			3Q FY 2011	4Q FY 2014	510,000	510,000
Facility Commissioning	4Q FY 2009	1Q FY 2015			12,000	12,000
Begin Occupancy	2Q FY 2015					
Total					\$725,000	\$725,000
PIADC D&D Project Durations	Work Initiated	Work Completed	Physical Construction Start	Physical Construction Complete	Total Estimated Completion Cost (\$000)	Total Project Cost (\$000)
Preliminary Planning & Development	2Q FY2009	4Q FY2012			4,000	4,000
Management	1Q FY2012	3Q FY2017			25,000	25,000
Transition	2Q FY2014	4Q FY2017			90,000	90,000
Closure Activities	3Q FY2014	4QFY2017			71,000	71,000
Total					190,000	190,000
Grand Total NBAF Construction + PIADC Transition/D&D					\$915,000	\$915,000

**4. Schedule of Project Funding
(Dollars in Thousands)**

	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011 - 2014	Total
Appropriation	12,000	23,000	11,000	35,600	36,312	687,088	805,000
Kansas In-Kind Contribution ⁽¹⁾					60,000	50,000	110,000
Obligation (planned)	12,000	23,000	11,000	35,600	36,312	687,088	805,000
Expenditure (planned)	1,100	7,000	6,900	59,000	33,500	507,500	615,000
Obligation (projected for In-Kind)					60,000	50,000	110,000
Expenditure (projected for In-Kind)					33,500	76,500	110,000
PIADC Transition/D&D						190,000	190,000
NBAF Project Expenditures⁽²⁾							
Planning & Administration Phase	1,100	7,000	6,900	3,000	4,000	13,000	35,000
Design Phase (Detailed Design)				53,000			53,000
CMc Involvement in Design					5,000		5,000
Site Preparation and CUP (GMP#1)					57,000	53,000	110,000
Physical Construction (GMP #2)						510,000	510,000
Commissioning Phase				3,000	1,000	8,000	12,000
Total NBAF Project Expenditures	1,100	7,000	6,900	59,000	67,000	584,000	725,000
PIADC Transition/D&D						190,000	190,000
Grand Total							\$915,000

(1) The Kansas in-kind contribution proposal offers up to \$110.000 million for site infrastructure and utility improvements for the Manhattan Campus site. Of this amount, Kansas State University will execute \$5.000 million (per the proposal) on activities to upgrade existing utility infrastructure outside of the proposed NBAF site. The S&T Directorate plans to execute \$105.000 million and is in the process of examining the terms of the agreement.

(2) Expenditures include Kansas in-kind contributions of \$110.000 million.

5. Cost Estimate Detail and Changes
(Dollars in Thousands)

Cost Estimate Detail and Changes	Current	Previous
	Estimate	Estimate
Detailed Breakdown of Project phases: (same major categories as above with additional detail)		
Construction:		
Management, Pre-site CD, Planning & Technical support	\$35,000	\$12,000
Construction – General and CMc Involvement in Design	\$515,000	\$390,000
Construction (Site-Specific) - Site Preparation and CUP	\$110,000	N/A
Commissioning	\$12,000	\$4,000
Contingencies: (Built into Cost Estimates)		
Other Costs:		
Design Costs	\$53,000	\$45,000
NBAF Project Total	\$725,000	\$451,000
PIACD Transition/D&D	\$190,000	\$0
Grand Total	\$915,000	\$451,000

In addition to accounting for PIADC Transition and D&D, the S&T Directorate has updated the cost estimate for NBAF to include site-specific cost at the Kansas University campus. As stated in the DHS *Report to Congress in Response to Senate Appropriations Report, 109-273 (December 2006)*, “the preliminary budget of \$451,000,000 is based on estimated facility size of 500,000 square feet and does not include the cost of infrastructure or site specific characteristics or any decommissioning of PIADC.” The original estimate also does not include the cost of security (which varied depending on the site selected) and information technology (IT) to meet maturing DHS requirements.

6. Method of Performance

The NBAF project consists of three phases: design; site preparation and central utility plant (CUP) construction; and NBAF building construction. For accountability and in accordance with sound project management principles, the program management team will track all of the project’s activities in an organizational work breakdown structure (WBS) to manage cost, scope, and schedule. The DHS S&T Directorate’s Office of National Laboratories (ONL), DHS Federal Law Enforcement Training Center (FLETC) Biocontainment Branch, the Construction Contractor (known as the Construction Manager as Contractor (CMc)), and the Architecture and Engineering (A/E) team will form the integrated project team and will coordinate inputs into the WBS. The project execution plan includes the following components:

- Program Organizational Structure;
- Contraction Administration Oversight;

- Quality Assurance;
- Status and Cost Reporting;
- Communications with Stakeholders;
- Cross-Task Linkages;
- Risk Management; and
- Cost Controls.

A robust, well-integrated plan that includes a WBS is an essential ingredient in effective project management and will provide the source data for internal and external reporting requirements. Such a plan provides a detailed blueprint for project execution and facilitates project coordination, control, reporting, and communications between team components, and all stakeholders.

The FLETC Biocontainment Procurement Branch (FLETC-BPB) will provide day-to-day management and execution of the NBAF design and construction activities and will lead an experienced team of contracting officers, technical managers, and procurement specialists. The NBAF Project Management Office (PMO) will maintain an integrated project will maintain constant communication and coordination among the integrated project team members, cooperating agencies, stakeholders, regulatory agencies, senior leaders, and other local and regional interests. Project communication will occur both internally and externally. Additionally, the ONL Director and NBAF Project Director, may establish other critical interfaces throughout the development process.

The NBAF Project Director and the PMO will implement project controls, address reporting requirements, and produce documents to support this project. Project controls include an integrated project schedule, earned value management (EVM) system, and project communication portal. The EVM will effectively integrate the project's scope, schedule, and cost elements to assess and optimize project planning and performance. The NBAF project will meet all reporting requirements. Reports include the following:

- Monthly Project Report to Project Director;
- Monthly Periodic Report to DHS Headquarters (HQ) Acquisition Program Management Division (APMD);
- Quarterly Construction Update to Management Directorate;
- Quarterly Probability of Program Success (PoPS) Report to DHS HQ APMD;
- Quarterly Risk Report;
- Yearly Office of Management and Budget (OMB) Exhibit 300;
- Cost Accounting and Status Reports;
- Hill Briefings; and
- On-going availability of the integrated project schedule (IPS).

The NBAF Steering Committee, consisting of individuals from the integrated project team, will execute the NBAF Risk Management Plan. The Committee will identify, manage, track, and control risks in order to minimize adverse impacts that would jeopardize mission success.

The Acquisition Strategy for NBAF includes the involvement of a CMc early in the process, prior to actual construction. This approach improves the project decision-making framework, resulting in a blended perspective on the design and associated construction cost estimates. At pre-determined stages of the project, the CMc and A/E will participate in cost reconciliation exercises that will result in the CMc submitting a Guaranteed Maximum Price (GMP) for a firm fixed price agreement for the work.

7. Related Annual Funding Requirements (Dollars in Thousands)

The estimated annual operating and support cost for NBAF is \$44.500 million and is based on analysis presented in the NBAF Site Cost Analysis (July 2008) document, which used actual cost data from an existing facility comparable to the size of the proposed NBAF. The A/E and CMc will further refine this estimate upon completion detailed design.

8. Budget Allocation to Programs

Complete the table below with the total project budget allocation to programs.

Program	Allocated Budget (\$000)	
	FY 2009	FY 2010
Laboratory Facilities	\$35,600	\$36,312
Total	\$35,600	\$36,312

9. Compliance with applicable Public Laws, Regulations, Standards and Executive Orders

Identify and certify compliance with all applicable laws, regulations, standards, and executive orders to this project.

- DHS, in coordination with the U.S. Department of Agriculture (USDA), is fulfilling requirements from HSPD-9: *Defense of the United States Agriculture and Food* (January 2004) by constructing the National Bio and Agro-defense Facility (NBAF) to replace the Plum Island Animal Disease Center (PIADC).
- The FY 2006 Appropriations House Report directed S&T to pursue NBAF:
 - The Committee recognizes that the Department of Homeland Security’s Plum Island facility will need to be replaced in the near future and that other potential locations need to be explored.
 - NBAF will provide safe, secure, and state-of-the-art agriculture biocontainment laboratories that research and develop diagnostic capabilities for foreign animal and zoonotic diseases. It will house biosecurity level (BSL) 3 and 4 laboratories. There is currently no BSL 4 lab for livestock in the United States.

- DHS completed a 3-year, multi-agency competitive site selection process including an Environmental Impact Statement (EIS) assessing the impacts of accidental release of Foot and Mouth Disease (FMD) on the mainland.
- DHS and USDA will evaluate the existing Biosecurity Research Institute (BRI) at Kansas State University during the design phase which may affect the final project cost. Final security requirements and design criteria may also affect design and construction costs.
- In the FY 2009 Appropriations Act, Section 540, Congress directed the Secretary of DHS to liquidate Plum Island and use the proceeds of the sale to fund construction and other costs associated with establishing NBAF (P.L. 110-329) including:
 - Site acquisition;
 - Construction of the facility;
 - The sale of the island including expenses incurred by GSA;
 - Environmental remediation of Plum Island; and
 - Other related costs related to the construction of NBAF and the sale of the island.
- Prior to passage of the Food, Conservation, and Energy Act of 2008 (H.R. 6124 [2008 Farm Bill]) which became law on May 22, 2008, the United States Code (21 U.S.C. Section 113a) stipulated that live Food and Mouth Disease Virus (FMDV) could not be studied on the U.S. mainland unless the Secretary of Agriculture made a determination that such study was necessary and in the public interest and issued a permit for such research to be conducted on the mainland. Section 7524 of the 2008 Farm Bill directs the Secretary of Agriculture to issue a permit to the Secretary of Homeland Security for work on the live FMDV at any facility that is a successor to the Plum Island Animal Disease Center and charged with researching high-consequence biological threats involving zoonotic and foreign animal diseases. The permit is limited to a single successor facility. On December 18, 2008, the Secretary of Homeland Security, Michael Chertoff sent a letter to the Secretary of Agriculture, Ed Schafer requesting that a permit be issued if a mainland site is selected. On January 9, 2009, DHS received a letter from Secretary Schafer that affirmed USDA's intention of complying with Congressional direction to issue a permit for the movement and use of live FMDV at the NBAF.

H. PPA Budget Justification

**Department of Homeland Security
Science and Technology Directorate
Research, Development, Acquisition, and Operations
Borders and Maritime
Funding Schedule
(Dollars in Thousands)**

PPA: Border Maritime		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
21.0	Travel	132	240	300	60
25.1	Advisory & Assistance Services	2,570	2,415	2,500	85
25.2	Other Services	1,051	12	15	3
25.3	Purchase from Govt. Accts.	1,955	230	250	20
25.4	Operation & maintenance of facilities	50	---	---	---
25.5	Research & Development	22,906	30,153	37,116	6,963
Total Border Maritime		\$28,664	\$33,050	\$40,181	\$7,131

PPA Mission Statement

The Borders and Maritime Security Division develops and transitions tools and technologies that improve the security of our Nation's borders and waterways without impeding the flow of commerce and travelers. The division works closely with its operational customers to identify and generate the best technologies for securing U.S. borders including ports-of-entry as well as vast stretches of remote terrain and waterways – with the ultimate goal of stopping threats before they enter the United States.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$132	\$240	\$300	\$60

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. A travel increase of \$60,000 is included.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$2,570	\$2,415	\$2,500	\$85

Advisory and assistance provide funds for Intergovernmental Personnel Act (IPA) and consultants in management and professional support services and engineering and technical services. A program increase of \$85,000 is included.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$1,051	\$12	\$15	\$3

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. A program increase of \$3,000 is included.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$1,955	\$230	\$250	\$20

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The request includes a program increase of \$20,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$50	\$0	\$0	\$0

Operation and maintenance of facilities includes obligations for operation, maintenance, repair, and storage of equipment, when done by contract.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$22,906	\$30,153	\$37,116	\$6,963

Research and Development includes costs for contracts for the conduct of basic and applied research and development. A program increase of \$6,963,000 is included in the FY 2010 request.

**Department of Homeland Security
Science and Technology Directorate
Research, Development, Acquisition, and Operations
Chemical and Biological**

Funding Schedule
(Dollars in Thousands)

PPA: Chemical and Biological Division		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
12.1	Benefits	22	---	---	---
21.0	Travel	672	917	917	---
22.0	Transportation of things	10	---	---	---
25.1	Advisory & Assistance Services	10,047	8,358	8,158	(200)
25.2	Other Services	9,519	189	1,289	1,100
25.3	Purchase from Govt. Accts.	13,192	1,982	982	(1,000)
25.5	Research & Development	224,673	188,962	194,954	5,992
26.0	Supplies & materials	648	---	500	500
31.0	Equipment	206	---	---	---
41.0	Grants/Subsidies/Contributions	1,285	---	---	---
43.0	Interest and Dividends	1	---	---	---
Total, Chemical and Biological Division		260,273	200,408	206,800	6,392

PPA Mission Statement

The Chemical and Biological Division works to increase the Nation's preparedness against chemical and biological threats through improved threat awareness, advanced surveillance and detection, and protective countermeasures. The division carries out its activities through three thrust areas: Agriculture, Biological, and Chemical.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Benefits	\$22	\$0	\$0	\$0

Temporary Subsistence Allowances includes payments for actual subsistence expenses incurred by the employee and/or members of his or her immediate family while occupying temporary quarters upon the employee's permanent transfer.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$672	\$917	\$917	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request is the same as that for FY 2009.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$10	\$0	\$0	\$0

Transportation of Things includes contractual obligations for the transportation of things (including animals), for the care of such things while in process of being transported, and for other services incident to the transportation of things.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$10,047	\$8,358	\$8,158	(\$200)

Advisory and assistance provide funds for Intergovernmental Personnel Act (IPA) and consultants in management and professional support services and engineering and technical services. A program decrease of \$200,000 is included. This decrease is a result of a decrease in Systems Engineering and Technical Assistance (SETA) support.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$9,519	\$189	\$1,289	\$1,100

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. A program increase of \$1,100,000 is included to support training and development for FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchases of Goods and Services from Government Accounts	\$13,192	\$1,982	\$982	(\$1,000)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. This decrease is the result of decreased administrative fees for contracts processed outside of the Office of Procurement Operations (OPO).

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research & Development	\$224,673	\$188,962	\$194,954	\$5,992

Research and Development includes costs for contracts for the conduct of basic and applied research and development. A program increase of \$5,992,000 is included to support current program activities.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies and Materials	\$648	\$0	\$500	\$500

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. A program increase of \$500,000 is included.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$206	\$0	\$0	\$0

Obligations for the purchase of personal property of a durable nature—that is, property that nominally may be expected to have a period of service of a year or more after being put into use without material impairment of its physical condition. Includes obligations for service in connection with the initial installation of equipment when performed under contract.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$1,285	\$0	\$0	\$0

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Interest and Dividends	\$1	\$0	\$0	\$0

Payment to creditors for the use of moneys loaned, deposited, overpaid, or otherwise made available and the distribution of earnings to owners of trust or other funds.

**Department of Homeland Security
Science and Technology Directorate
Research, Development, Acquisition, and Operations
Command, Control, & Interoperability
Funding Schedule
(Dollars in Thousands)**

PPA: Command, Control, & Interoperability		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
21.0	Travel	414	375	400	25
25.1	Advisory & Assistance Services	5,180	3,055	4,500	1,445
25.2	Other Services	474	---	0	---
25.3	Purchase from Govt. Accts.	1,941	256	---	(256)
25.5	Research & Development	57,789	71,204	75,364	4,160
26.0	Supplies & materials	5	---	0	---
41.0	Grants/Subsidies/Contributions	368	---	---	---
Total Command, Control & Interoperability		\$66,171	\$74,890	\$80,264	\$5,374

PPA Mission Statement

The Command, Control, and Interoperability (C2I) Division focuses on significantly improving operable and interoperable communications for emergency responders, the security and integrity of the Internet, and the development of automated capabilities that “connect the dots” to recognize potential threats. The division’s mission is to transform new and promising concepts into real operational capability through the judicious blending of new technologies and current capabilities. C2I receives its requirements from the following: partners in Federal, State, local, tribal emergency response; DHS operational components in planning for, detecting, and responding to all hazards; and private sector partners who own, operate, maintain, and use much of the Nation’s cyber infrastructure.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$414	\$375	\$400	\$25

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The \$25,000 increase will support newly hired Federal employees.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$5,180	\$3,055	\$4,500	\$1,445

Advisory and assistance provide funds for Intergovernmental Personnel Act (IPA) and consultants in management and professional support services and engineering and technical services. A program increase of \$1,445,000 is included to support existing R&D activities.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$474	\$0	\$0	\$0

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Purchase from Government Accounts	\$1,941	\$256	\$0	(\$256)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The reduction to the Purchase from Government Accounts object class is a result of the reclassification of expenses, the program decrease of \$256,000 is included to reflect reduced costs of executing programs that are ending and the shift of R&D funding to higher priority projects in the Directorate as a result of the Capstone IPT process.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Research and Development	\$57,789	\$71,204	\$75,364	\$4,160

Research and Development includes costs for contracts for the conduct of basic and applied research and development. Research and Development includes an increase of \$4,160,000 for Cyber Security.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Supplies & materials	\$5	\$0	\$0	\$0

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

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Grants/Subsidies/Contributions	\$368	\$0	\$0	\$0

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects.

**Department of Homeland Security
Science and Technology Directorate
Research, Development, Acquisition, and Operations**

**Explosives
Funding Schedule**
(Dollars in Thousands)

PPA: Explosives		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
12.1	Benefits	52	---	---	---
21.0	Travel	563	601	800	199
22.0	Transportation of things	15	---	---	
25.1	Advisory & Assistance Services	3,929	5,100	5,526	426
25.2	Other Services	1,799	---	---	
25.3	Purchase from Govt. Accts.	4,372	---	---	
25.5	Research & Development	94,133	86,758	114,483	27,725
41.0	Grants/Subsidies/Contributions	12,019	3,690	---	(3,690)
Total Explosives		\$116,883	\$96,149	\$120,809	\$24,660

PPA Mission Statement

The Explosives Division develops the technical capabilities to detect, interdict, and lessen the impacts of non-nuclear explosives used in terrorist attacks against mass transit, civil aviation, and critical infrastructure. This includes passenger-, baggage-, and cargo-screening technologies; blast-resistant aircraft construction; integrated protective systems for high-value facilities; and the detection and defeat of Improvised Explosive Devices. The requested amount will help address Explosives' strategic challenges of detecting non-nuclear explosives and disrupting terrorist attacks.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2008 to 2009 Change
Benefits	\$52	\$0	\$0	\$0

Temporary Subsistence Allowances includes payments for actual subsistence expenses incurred by the employee and/or members of his or her immediate family while occupying temporary quarters upon the employee's permanent transfer.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$563	\$601	\$800	\$199

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes an increase of \$199,000 for Explosives. The increase supports efforts in the Air Cargo and Person-Borne Improvised Explosive Device (PBIED) Programs.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Transportation of Things	\$15	\$0	\$0	\$0

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$3,929	\$5,100	\$5,526	\$426

Advisory and assistance services include services acquired by contract from non-Federal sources (such as the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request includes an increase of \$426,000 for Explosives. The increase over FY 2009 is for SETA to support additional R&D activities.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$1,799	\$0	\$0	\$0

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$4,372	\$0	\$0	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$94,133	\$86,758	\$114,483	\$27,725

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 request includes an increase of \$27,725,000 for Explosives. The increase supports efforts in the Air Cargo and Person-Borne Improvised Explosive Device (PBIED) Programs.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$12,019	\$3,690	\$0	(\$3,690)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2010 request includes a decrease of \$3,690,000.

**Department of Homeland Security
Science and Technology Directorate
Research, Development, Acquisition, and Operations**

Human Factors

Funding Schedule

(Dollars in Thousands)

PPA: Human Factors		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
21.0	Travel	54	100	88	(12)
25.1	Advisory & Assistance Services	753	845	794	(51)
25.2	Other Services	495	---	---	---
25.3	Purchase from Govt. Accts.	436	---	---	---
25.5	Research & Development	11,387	11,515	14,205	2,690
26.0	Supplies & materials	3	---	---	---
31.0	Equipment	3	---	---	---
41.0	Grants/Subsidies/Contributions	760	---	---	---
Total, Human Factors		13,889	\$12,460	\$15,087	\$2,627
Full Time Equivalents					---

PPA Mission Statement

The Human Factor/Behavioral Sciences Division applies the social and behavioral sciences to improve detection, analysis, and understanding of the threats posed by individuals, groups, and radical movements; it supports the preparedness, response, and recovery of communities impacted by catastrophic events; and it advances homeland security by integrating human factors into homeland security technologies.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$54	\$100	\$88	(\$12)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request includes a decrease of \$12,000.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$753	\$845	\$794	(\$51)

Advisory and assistance provide funds for Intergovernmental Personnel Act (IPA) and consultants in management and professional support services and engineering and technical services. The FY 2010 request includes a decrease of \$51,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$495	\$0	\$0	\$0

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$436	\$0	\$0	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$11,387	\$11,515	\$14,205	\$2,690

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 request includes an increase of \$2,690,000 to support increased R&D efforts within the Division in the areas of Suspicious Behavior Detection and Human Systems Research and Engineering.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$3	\$0	\$0	\$0

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

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$3	\$0	\$0	\$0

Obligations for the purchase of personal property of a durable nature—that is, property that nominally may be expected to have a period of service of a year or more after being put into use without material impairment of its physical condition. Includes obligations for service in connection with the initial installation of equipment when performed under contract.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$760	\$0	\$0	\$0

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects.

**Department of Homeland Security
Science and Technology Directorate
Research, Development, Acquisition, and Operations
Infrastructure/Geophysical**

Funding Schedule

(Dollars in Thousands)

PPA: Infrastructure/Geophysical		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
21.0	Travel	187	299	325	26
25.1	Advisory & Assistance Services	2,397	1,886	2,060	174
25.2	Other Services	0	27	10	(17)
25.3	Purchase from Govt. Accts.	17	---	---	---
25.5	Research & Development	49,822	73,604	42,347	(31,257)
Total, Infrastructure/Geophysical		\$52,424	\$75,816	\$44,742	(\$31,074)

PPA Mission Statement

The Infrastructure and Geophysical Division's mission is to increase the Nation's preparedness for and response to natural and man-made threats through superior situational awareness, emergency response capabilities, and critical infrastructure protection. The division develops technical solutions and reach-back capabilities to improve State, local, tribal, and private sector preparedness for and response to all-hazards events impacting the U.S. population and critical infrastructure. The Division also models and simulates the Nation's critical infrastructures to determine how various scenarios will affect each sector, provide decision support tools to guide decision makers in identifying gaps and vulnerabilities, and develop predictive tools and methods to aid in preparing for and responding to various catastrophes.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$187	\$299	\$325	\$26

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The increase of \$26,000 will accommodate R&D efforts.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$2,397	\$1,886	\$2,060	\$174

Advisory and assistance services include services acquired by contract from non-Federal sources (such as the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request includes an increase of \$174,000. The increase over FY 2009 is for IPA and SETA to support R&D activities.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$0	\$27	\$10	(\$17)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Includes a decrease of \$17,000 in Other Services.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$17	\$0	\$0	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$49,822	\$73,604	\$42,347	(\$31,257)

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 request includes a program decrease of \$31,257,000. This decrease is due to two non-recurring Congressional earmarks in FY 2009 appropriations, the Southeast Regional Research Initiative (SERRI) and the National Institute for Hometown Security.

Department of Homeland Security
Science and Technology Directorate
Research, Development, Acquisition, and Operations
Innovation
Funding Schedule
(Dollars in Thousands)

PPA: Innovation		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
21.0	Travel	148	150	200	50
25.1	Advisory & Assistance Services	2,753	1,830	2,822	992
25.2	Other Services	5	---	---	---
25.3	Purchase from Govt. Accts.	2,362	---	---	---
25.5	Research & Development	41,231	31,020	40,978	9,958
26.0	Supplies & materials	16	---	---	---
Total, Innovation		\$46,515	\$33,000	\$44,000	\$11,000

PPA Mission Statement

Established in FY 2007, the mission of the Innovation Office is to direct the design and delivery of prototype-level demonstrations of game-changing technologies in two to five years and provide proof-of-concept answers that could result in high-payoff technology breakthroughs. The nature of the research is high risk with the potential for significant gains in capabilities

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$148	\$150	\$200	\$50

Travel includes all costs of S&T's personnel while in an authorized travel status, either directly or by reimbursing the traveler. The increase of \$50,000 from FY 2009 to FY 2010 reflects an increase in travel required as Innovation's projects are ready to perform operational demonstrations.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$2,753	\$1,830	\$2,822	\$992

Advisory and Assistance Services provide funds for consultants in management and professional support services as well as engineering and technical services. The FY 2010 request reflects an increase of \$992,000 due to increased costs in program support service contracts and subject matter experts, to support existing programs and two new starts in multi-modal tunnel detection and low cost bio detection technologies.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$5	\$0	\$0	\$0

Other Services includes all costs relating to S&T personnel training, conference registration, and attendance fees.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$2,362	\$0	\$0	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$41,231	\$31,020	\$40,978	\$9,958

Research & Development includes costs for contracts for the conduct of basic and applied research and development. The increase in the Research and Development object classification is a result of \$9,958,000 in program increases as projects mature and perform operational demonstrations. The increase allows Innovation to continue to support demonstrations of its most promising projects - Resilient Electric Grid, Future Attribute Screening Technology Mobile Module, Levee Strengthening and Damage Mitigation, and Resilient Tunnel. The increase also allows Innovation to fund other existing projects that have not yet reached critical decision points and two new starts in multi-modal tunnel detection and low cost bio detection technologies.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$16	\$0	\$0	\$0

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

**Department of Homeland Security
Science and Technology Directorate
Research, Development, Acquisition, and Operations
Laboratory Facilities
Funding Schedule
(Dollars in Thousands)**

PPA: Laboratory Facilities		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	---	\$10,500	\$11,056	556
12.1	Benefits	52	3,500	5,445	1,945
21.0	Travel	564	665	665	---
22.0	Transportation of things	6	---	---	---
23.1	GSA rent	1,990	2,277	1,000	(1,277)
23.2	Other rent	16	---	---	---
23.3	Communication, Utilities, and misc charges	2,177	11,946	12,544	598
25.1	Advisory & Assistance Services	10,283	45,700	17,008	(28,692)
25.2	Other Services	8,669	155	490	335
25.3	Purchase from Govt. Accts.	33,855	32,690	17,447	(15,243)
25.4	Operation & maintenance of facilities	16,603	38,681	40,615	1,934
25.5	Research & Development	28,288	---	---	---
25.7	Operation & maintenance of equipment	478	1,350	2,000	650
26.0	Supplies & materials	4,015	7,225	7,803	578
31.0	Equipment	2,361	7,250	2,000	(5,250)
32.0	Land & Structures	---	---	36,427	36,427
41.0	Grants/Subsidies/Contributions	---	---	---	---
42.0	Indemnity	1	---	---	---
Total, Laboratory Facilities		\$109,358	\$161,940	\$154,500	(\$7,440)

PPA Mission Statement

The mission of the Laboratory Facilities is to ensure that required infrastructure laboratory facilities support ongoing Science and Technology mission research and development activities. There are two primary thrust areas: construction of laboratory facilities and DHS-laboratory operations.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Salaries and Benefits	\$52	\$14,000	\$16,501	\$2,501

Salaries and Benefits includes costs for FTEs located at DHS S&T-operated laboratories. The FY 2010 request includes an increase of \$2,501,000 reflecting increases in salaries and benefits and an increase in the number of FTEs as S&T attempts to fill vacant technical and program support positions at the laboratories.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$564	\$665	\$665	\$0

Travel includes all costs of S&T's personnel while in an authorized travel status, either directly or by reimbursing the traveler. There is no change in projected costs for FY 2010 over FY 2009.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$6	\$0	\$0	\$0

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. There is no change in projected costs for FY 2010 over FY 2009.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$1,990	\$2,277	\$1,000	(\$1,277)

GSA Rent provides funding for rental space provided by General Services Administration (GSA). Spaces currently funded through GSA are the Environmental Measurements Laboratory (EML) facilities. The FY 2010 request reflects a decrease from FY 2009 of \$1,277,000 as a result of less space rented from GSA after environmental cleanup of Environmental Measurements Laboratory (EML).

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Rent	\$16	\$0	\$0	\$0

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Communication, Utilities, and miscellaneous char	\$2,177	\$11,946	\$12,544	\$598

Communications, Utilities, and Misc Charges provides funds for communications, utilities, and related charges at laboratories managed by ONL. The FY 2010 request reflects an increase over FY 2009 of \$598,000 to cover increases in the utilities at Plum Island Animal Disease Center (PIADC), Transportation Security Laboratories (TSL), and National Biodefense Analysis and Countermeasures Center (NBACC).

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$10,283	\$45,700	\$17,008	(\$28,692)

Advisory and assistance provides funds for Intergovernmental Personnel Act and consultants in management and professional support services as well as engineering and technical services. The FY 2010 request reflects a decrease from FY 2009 of \$28,692,000 due to the decrease in architectural and engineering services as National Bio and Agro Defense Facility (NBAF) transitions from design to, site preparation activities for construction.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$8,669	\$155	\$490	\$335

Other Services provide funds for mission essential training and tuition. The increase of \$335,000 from FY 2009 to FY 2010 reflects training needed for personnel as the laboratories reach their planned staffing levels in FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$33,855	\$32,690	\$17,447	(\$15,243)

Purchase from Government Accounts provides costs for administrative support, contracting administration support, and rent for interim facilities that do not belong to GSA. The FY 2010 request reflects a decrease from FY 2009 of \$15,243,000, reflecting a decrease in funds to the Department of Energy for construction at Pacific Northwest National Laboratory (PNNL) - Area 300 and a decrease in payment to another government agency for conducting EML clean-up.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$16,603	\$38,681	\$40,615	\$1,934

Operation and maintenance of facilities provides normal daily operations of PIADC, EML, TSL, and NBACC. The costs include maintenance and repair of building and land. The FY 2010 request reflects an increase over FY 2009 of \$1,934,000 as a result of increases in private sector and government facility support contracts.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$478	\$1,350	\$2,000	\$650

Operation and maintenance of equipment provides normal daily operations and maintenance of PIADC, EML, TSL, and NBACC equipment. The FY 2010 request reflects an increase over FY 2009 of \$650,000 as a result of increases in operation and maintenance of information technology equipment contracts.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$4,015	\$7,225	\$7,803	\$578

Supplies and materials provides daily office supplies and fuel costs associated with the facilities. The FY 2010 request reflects an increase from FY 2009 of \$578,000 due to additional supplies for NBACC operations.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$2,361	\$7,250	\$2,000	(\$5,250)

Equipment provides costs for personal property, information technology hardware/software, includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request reflects a decrease from FY 2009 of \$5,250,000 reflecting NBACC becoming operational in the third quarter of FY 2009, when most of the equipment will be in place.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Land & Structures	\$0	\$0	\$36,427	\$36,427

Land and Structures provides costs for construction and capital improvement activities. The FY 2010 request reflects an increase of \$36,427,000 over FY 2009 due to the start of site preparation for NBAF construction. Also included is an increase for infrastructure upgrades, in FY 2010 the infrastructure upgrades will include storage space, including explosives bunkers at TSL.

Department of Homeland Security
Science and Technology Directorate
Research, Development, Acquisition, and Operations
Test & Evaluation and Standards
Funding Schedule
(Dollars in Thousands)

PPA: Test & Evaluation and Standards		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
Object Classes:					
12.1	Benefits	68	---	---	---
21.0	Travel	115	300	300	---
22.0	Transportation of things	33	---	---	---
25.1	Advisory & Assistance Services	1,031	1,100	1,100	---
25.2	Other Services	856	---	---	---
25.3	Purchase from Govt. Accts.	1,920	---	---	---
25.5	Research & Development	25,681	27,274	27,274	---
Total, Test & Evaluation and Standards		\$29,704	\$28,674	\$28,674	\$0

PPA Mission Statement

The Testing & Evaluation and Standards program provides technical support and coordination to assist the Nation's emergency responders in the acquisition of equipment, procedures and mitigation processes that are safe, reliable and effective. The program carries out its activities through two thrust areas: Test & Evaluation (T&E) and Standards.

Summary Justification and Explanation of Changes

	2007	2008	2009	2008 to 2009
	Actual	Enacted	Request	Change
Salaries and Benefits	\$68	\$0	\$0	\$0

Salaries and Benefits include costs for FTEs.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$115	\$300	\$300	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$33	\$0	\$0	\$0

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$1,031	\$1,100	\$1,100	\$0

Advisory and assistance provide funds for Intergovernmental Personnel Act (IPA) and consultants in management and professional support services and engineering and technical services.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$856	\$0	\$0	\$0

Other Services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request includes a program decrease of \$1,350,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$1,920	\$0	\$0	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$25,681	\$27,274	\$27,274	\$0

Research & Development includes costs for contracts for the conduct of basic and applied research and development.

**Department of Homeland Security
Science and Technology Directorate
Research, Development, Acquisition, and Operations
Transition
Funding Schedule
(Dollars in Thousands)**

PPA: Transition		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					---
21.0	Travel	739	585	750	165
25.1	Advisory & Assistance Services	8,087	7,382	6,958	(424)
25.2	Other Services	738	571	---	(571)
25.3	Purchase from Govt. Accts.	1,039	130	130	---
25.4	Operation & maintenance of facilities	---	80	80	---
25.5	Research & Development	33,783	18,832	35,766	16,934
25.7	Operation & maintenance of equipment	1	50	50	---
26.0	Supplies & materials	1	---	---	---
31.0	Equipment	85	---	---	---
41.0	Grants/Subsidies/Contributions	1,858	1,200	1,400	200
Total, Transition		\$46,330	\$28,830	\$45,134	\$16,304

PPA Mission Statement

The Transition Office focuses on delivering near-term products and technology enhancements by working with the Department's components to expedite the technology transition process. The Transition Office carries out related activities that complement the transition efforts through the Office of the SAFETY Act Implementation, management of S&T Directorate's international and interagency programs, and operation of the Technology Clearinghouse and Technology Solutions.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$739	\$585	\$750	\$165

Travel includes all costs of S&T's personnel while in an authorized travel status, either directly or by reimbursing the traveler. The FY 2010 request increases by \$165,000 due to increased R&D efforts requiring travel.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$8,087	\$7,382	\$6,958	(\$424)

Advisory and assistance provide funds for Intergovernmental Personnel Act (IPA) and consultants in management and professional support services and engineering and technical services. The FY 2010 request includes a decrease of \$424,000.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$738	\$571	\$0	(\$571)

Other Services provide funds for contractual services that are not covered under R&D or Purchase from Government Accounts. The decrease of \$571,000 includes no funding in FY 2010 for other services.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$1,039	\$130	\$130	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$0	\$80	\$80	\$0

Operation and maintenance of facilities includes all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$33,783	\$18,832	\$35,766	\$16,934

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 request includes an increase of \$16,934,000 to support increased R&D efforts within the Division in the area of First Responder Technologies.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of equipment	\$1	\$50	\$50	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & Materials	\$1	\$0	\$0	\$0

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

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$85	\$0	\$0	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$1,858	\$1,200	\$1,400	\$200

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2010 Request includes an increase of \$200,000 to support increased grants within the division.

**Department of Homeland Security
Science and Technology Directorate
Research, Development, Acquisition, and Operations
University Programs**

Funding Schedule
(Dollars in Thousands)

PPA: University Programs		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
21.0	Travel	195	250	270	20
25.1	Advisory & Assistance Services	2,109	1,700	2,000	300
25.2	Other Services	1,884	---	---	---
25.3	Purchase from Govt. Accts.	1,693	---	---	---
25.5	Research & Development	5,573	736	730	(6)
25.7	Operation & maintenance of equipment	---	---	---	---
26.0	Supplies & materials	2	---	---	---
41.0	Grants/Subsidies/Contributions	52,261	47,584	43,000	(4,584)
Total, University Programs		\$63,715	\$50,270	\$46,000	(\$4,270)

PPA Mission Statement

University Programs cultivates a homeland security culture within the academic community through research and educational programs that address current and future homeland security challenges. The program engages the academic community to develop scientific leadership, creates strategic partnerships, and fosters the next generation of homeland security experts.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$195	\$250	\$270	\$20

Travel includes all costs of S&T's personnel while in an authorized travel status, either directly or by reimbursing the traveler. The Travel object class includes costs for travel to funded Centers; potential Centers for management, review, and determination of suitability to become new Centers; to attend workshops and conferences; and potential invitational travel for COE personnel.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$2,109	\$1,700	\$2,000	\$300

Advisory and assistance provide funds for Intergovernmental Personnel Act (IPA) and consultants in management and professional support services and engineering and technical services. A program increase of \$300,000 is included to support increased work the Division plans to execute in FY 2010.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Other Services	\$1,884	\$0	\$0	\$0

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$1,693	\$0	\$0	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The decrease of \$736,000 in FY 2010 reflects a reclassification of funds to the object class code for Advisory and Assistance Services (25.1).

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$5,573	\$736	\$730	(\$6)

Research and Development includes costs for contracts for the conduct of basic and applied research and development. A program decrease of \$6,000 is included.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of Equipment	\$0	\$0	\$0	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & Materials	\$2	\$0	\$0	\$0

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

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$52,261	\$47,584	\$43,000	(\$4,584)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. This includes all funding provided to COEs. A program decrease of \$4,584,000 is included due to a decrease in funding for the Centers of Excellence.

I. Changes in FTE

**Department of Homeland Security
Science and Technology Directorate
Research and Development
Changes in Full-Time Equivalents**

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	0	124	124
INCREASES			
Program Change	0	0	6
Description: Adjustment to Base			
Sub-Total Increases	0	0	6
Year-end Actual/Estimated FTEs	0	124	130
Net Change from prior year base to Budget Year Estimate:	0	0	6

J. FY 2010 Schedule of Working Capital Fund by Program/Project/Activity

Not Applicable

Department of Homeland Security

Science and Technology Directorate



Fiscal Year 2010
Strategic Context
Congressional Justification

FY 2010 CONGRESSIONAL JUSTIFICATION STRATEGIC CONTEXT

SCIENCE AND TECHNOLOGY DIRECTORATE

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I. STRATEGIC CONTEXT FOR THE FY 2010 BUDGET

A. Mission and Description of the Science & Technology Directorate

The Science and Technology (S&T) Directorate advises the Secretary on research and development efforts to support the Department's mission, and conducting basic and applied research, development, testing and evaluation (RDT&E) activities relevant to the Department through both intramural and extramural programs.

In fulfillment of the enabling and follow-on legislation, Secretary Napolitano stated that the urgent and overriding mission of the Department of Homeland Security (DHS) is to secure the homeland means to protect our Nation's borders by finding and killing the roots of terrorism and to stop those who intend to hurt us; to wisely enforce the rule of law at our borders; to protect our national cyber infrastructure; and to prepare for and respond to natural and man-caused disasters with speed, skill, compassion, and effectiveness. She stated that DHS should build on its science and technology portfolio for the following reasons:

- Better science helps us understand emerging threats and how to identify, counter and mitigate them.
- Better technology can expand our capabilities and free our agents to spend their time where it is most valuable, while at the same time protecting the interests of private citizens by minimizing law enforcement's impact on lawful activities.
- Technology can also aid us in consequence management, so that we are better prepared to respond to any type of disaster.

This budget requests the resources needed to provide the technologies to fulfill this mission and address Secretary Napolitano's priorities.

Mission Statement

The S&T Directorate will improve homeland security by providing our customers, the operating components of DHS and State, local, tribal, and territorial emergency responders and officials, with state-of-the-art technology that helps them to accomplish their missions.

The S&T Directorate provides leadership for directing, funding, and conducting RDT&E, and procurement of technology and systems to prevent, protect against, and respond to terrorist threats and natural disasters. The S&T Directorate collaborates and coordinates with Federal, State, and local government and private sector entities to conduct its activities. It establishes an efficient system to transfer homeland security developments and technologies to the operational elements of the Department to enhance their ability to execute all missions, now and in the future, and to meet the high priority homeland security RDT&E needs of the Nation.

In leading the homeland security research enterprise outside of the S&T Directorate, we are proactively engaged with universities, research institutions, government laboratories, and private industry that conduct research and development in areas important to addressing our customers' homeland security requirements.

Description of Directorate

The S&T Directorate accomplishes its mission through customer-focused and output-oriented RDT&E programs that balance risk, cost, impact, and time to deliver. These RDT&E programs support the needs of the operational components of the Department and address crosscutting areas such as standards and interoperability.

About 50 percent of the S&T Directorate's investment is in transition technologies – lower-risk projects dedicated to addressing a customer-defined capability need – within three years. Six percent of the S&T Directorate's investment is in higher risk innovative prototypical demonstrations, which, if successful, will place leap-ahead technology in the operating components' hands much more quickly than the incremental improvements typical of most acquisition programs. About 20 percent of the S&T Directorate's investment portfolio is in long-term, basic research conducted primarily in universities and laboratories in areas of enduring homeland security relevance that could lead to revolutionary changes in the way we approach homeland security challenges. This balanced portfolio ensures that the Directorate maintains a self-replenishing pipeline of future capabilities and products to transition to customers.

Other components often leverage the S&T Directorate's expertise in program management, technical oversight, testing and evaluation, and systems engineering. These developmental activities are more technologically mature than the typical science and technology program such as testing new border security technologies for Customs and Border Protection (CBP) or leveraging existing advanced research and development (R&D) to make spiral improvements to off-the-shelf infrastructure protection technologies.

The S&T Directorate's R&D functions consist of six technical divisions along enduring functional disciplines. This, along with additional offices, allows us to better meet the Department's strategic goals.

Six Divisions

Borders and Maritime Security

The Borders and Maritime Security Division develops and transitions tools and technologies that improve the security of our Nation's borders and waterways without impeding the flow of commerce and travelers.

Chemical and Biological

The Chemical and Biological Division works to increase the Nation's preparedness against chemical and biological threats through improved threat awareness, advanced surveillance and detection, and protective countermeasures.

Command, Control, and Interoperability

The Command, Control, and Interoperability Division develops interoperable communication standards and protocols for emergency responders; cyber security tools for protecting the integrity of the Internet; and automated capabilities to recognize and analyze potential threats.

Explosives

The Explosives Division develops the technical capabilities to detect, interdict, and lessen the impacts of non-nuclear explosives used in terrorist attacks against mass transit, civil aviation, and critical infrastructure.

Human Factors/Behavioral Sciences

The Human Factors/Behavioral Sciences Division applies the social and behavioral sciences to improve detection, analysis, and understanding of the threats posed by individuals, groups, and radical movements; it supports the preparedness, response, and recovery of communities impacted by catastrophic events; and it advances homeland security by integrating human factors into homeland security technologies.

Infrastructure and Geophysical

The Infrastructure and Geophysical Division develops capabilities to increase the Nation's preparedness for and response to natural and man-made threats through superior situational awareness, emergency response capabilities, and critical infrastructure protection.

Additional Offices

Innovation

The Innovation Office focuses on high-risk/high-reward, homeland security R&D that could lead to technology breakthroughs that significantly enhance DHS operations. The Director of Innovation oversees the Homeland Security Advanced Research Project Agency (HSARPA). The *Homeland Security Act of 2002* directs HSARPA to "support basic and applied homeland security research to promote revolutionary changes in technologies that would promote homeland security; advance the development, testing and evaluation, and deployment of critical homeland security technologies; and accelerate the prototyping and deployment of technologies that would address homeland security vulnerabilities." Its efforts are complementary to the S&T Directorate's other programs and projects, pushing scientific limits to address gaps in areas where current technologies and R&D are inadequate or non-existent.

Test & Evaluation and Standards

The Test & Evaluation (T&E) and Standards Office provides technical support and coordination to assist DHS components and the Nation's emergency responders in the acquisition of equipment, procedures, and mitigation processes that are safe, reliable, and effective. The T&E and Standards Office works across DHS to measure whether technologies and tools perform well and are applicable to homeland security operations; the results of which enable informed acquisition and deployment decisions.

Transition

The Transition Office focuses on delivering near-term products and technology enhancements by working with the Department's components to expedite the technology transition process. The Transition Office implements the SAFETY Act to ensure that the threat of liability does not deter potential manufacturers or sellers of effective anti-terrorism technologies from developing, deploying and commercializing these technologies. The Chief Commercialization Officer (CCO) in the Transition Office manages the development and execution of programs and processes that identify, evaluate, and commercialize technologies that meet the operational requirements of DHS operating components, first responder community, and end-users.

Research - Laboratory Facilities

The Office of National Laboratories (ONL) executes the Laboratory Facilities programs, which includes construction of new laboratories as well as operations and maintenance of existing DHS laboratories. ONL provides the Nation with a coordinated, enduring core of productive science, technology and engineering laboratories, organizations, and institutions, which can provide the knowledge and technology required to secure our homeland.

Research - University Programs

University Programs engages the academic community to conduct research and analyses and provides education and training programs to support DHS priorities and enhance homeland security capabilities.

A “matrix management” structure links the six technical Divisions and additional offices to three R&D investment portfolio directors. These three portfolio directors – Director of Research, Director of Transition, and Director of Innovation/HSARPA – provide crosscutting coordination of their respective elements of the investment strategy within the technical Divisions. The matrix structure allows the S&T Directorate to provide more comprehensive and integrated technology solutions to its customers by appropriately bringing all of the disciplines together in developing solutions.

B. Major Activities and Key Strategic Goals

In FY 2007, the S&T Directorate shifted its focus to a new strategic approach. This resulted in a realigned organization and research portfolio management strategy, both of which allow the S&T Directorate to better identify, enable, and transition new capabilities to our customers to better protect the Nation. To that end, the S&T Directorate develops and manages an integrated program of science and technology, from basic research through technology product transition.

The S&T Directorate is customer-focused and delivers capabilities that DHS components can rely on to meet their operational needs. To accomplish this, we facilitated customer-led Capstone Integrated Product Teams (IPTs) in 12 functional areas and charged each one with identifying functional capability requirements across the Department. The S&T Directorate uses the products of these IPTs to identify the highest priority needs and allocate resources to those programs that support the priorities established by the DHS customers. The S&T Directorate’s business model of structured Capstone IPTs ensures that product transition investments align to customer mission requirements.

Each Capstone IPT works to identify, validate, and prioritize capability requirements across the Department (within a functional area) that the S&T Directorate can address. The interaction of technologists and operators has improved the prioritization of efforts and the focus on relevant, cost-effective solutions that make a significant difference. The S&T Directorate’s product transition process ensures that appropriate technologies are harvested and integrated into the DHS acquisition system for our customers. Outputs from the IPTs drove considerable changes to programs in the FY 2009 budget request, which continue into FY 2010.

In executing its portfolio of investments, the S&T Directorate will draw upon the R&D capability across the public enterprise, private sector, and academia to locate and promote the best R&D possible. This consortium of capability is referred to as the Homeland Security Research Enterprise. With the authorities provided in the *Homeland Security Act of 2002*, the S&T Directorate has the organic ability to leverage not only DHS laboratories, the Homeland Security Institute, and the DHS Centers of Excellence, but also the Department of Energy (DOE) National Laboratories to meet homeland security research requirements.

The Nation’s technical superiority in science and technology is a key factor in the effort to ensure a secure homeland. The fulfillment of the Department’s mission requires a concerted effort to access, leverage, and enhance the vast resources and expertise of the Nation’s public and private sectors, academic community, non-governmental organizations, and other scientific bodies. This effort is primarily the responsibility of the S&T Directorate. That responsibility requires that the Nation’s

homeland security R&D efforts focus on meeting mission requirements, are adequately funded, and meet long-term, as well as near-term objectives. A significant portion of the S&T Directorate's programs directly support federally mandated homeland security priorities.

To perform its varied missions, the S&T Directorate received \$830.3 million in FY 2008 (Enacted) and \$932.6 million in FY 2009 (Enacted). The S&T Directorate is requesting \$968.4 million in FY 2010. The following are a few examples of how the S&T Directorate has used its funds in FY 2008 and plans to use FY 2009 and FY 2010 funds to further enhance and enable homeland security capabilities:

Management and Administration –

With the FY 2008 appropriation of \$138.6 million, the S&T Directorate continued to implement several efficiency initiatives to make better use of its resources. In FY 2009, \$14 million and 124 FTE non-headquarters S&T Directorate federal employees will be realigned to support DHS organic laboratories including Plum Island Animal Disease Center, the Environmental Measurements Laboratory, and the Transportation Security Laboratory, which better accounts for program activity costs at the laboratories. This action brought the 2009 M&A budget request to \$132.1 million. The S&T Directorate plans to continue to implement several efficiency initiatives with FY 2010 funds of \$142.2 million.

Overall, the S&T Directorate has:

- Continued to reduce business operation expenses by centralizing supply purchases;
- Organized central career developmental training within the S&T Directorate;
- Consolidated National Capital Region floor space to one location;
- Consolidated floor space at the Environmental Measurements Laboratory to decrease the rent and operations and maintenance costs;
- Implemented a telework program;
- Developed an S&T Directorate carpooling program;
- Continued to reduced the number of Intergovernmental Personnel Act employees; and
- Reduced reliance on contractor staff.

Borders and Maritime –

FY 2008 appropriation of \$25.5 million:

- Piloted a fiber optic tripwire that can locate activity anywhere along miles of fiber optic cable, enabling a single officer to monitor the border effectively. The Border Detection Grid provides a network of advanced sensors and detection, classification, and localization technologies to detect and classify cross-border movement (e.g., friendly forces, animals, weather, or illegal activity).
- Developed second small, low-cost Container Security Devices (CSDs). These devices detect and warn of opening or removal of container doors and provide a major increase in shipping container security.
- Supported a Northern Border testbed demonstration in a northeast Border Patrol sector that will provide technology insertion and lessons learned to the Secure Border Initiative Network (SBInet). As part of BorderNet, the testbed is part of a wireless data network that will connect law enforcement officers in the field to real-time tactical scene awareness information using multi-sensor fusion and law-enforcement database query.

FY 2009 appropriation of \$33.0 million:

- Complete field-testing of the Advanced Container Security Device (ACSD) prototypes and conduct a large-scale operational test. The ACSD is a small unit that attaches to the inside of a

container to monitor all six sides of the container, reporting any intrusion, door opening or presence of human cargo.

- Initiate capability enhancements to existing secondary non-intrusive inspection systems to detect or identify terrorist contraband items (e.g., drugs, money, illegal firearms) or humans. This project addresses an important capability gap to enhance cargo screening and examination systems through advanced non-intrusive inspection.
- Initiate a program to develop technologies for advanced detection identification, apprehension, and enforcement capabilities along the maritime borders for rapid coordinated responses to anomalies and threats. Major investment areas include persistent wide-area surveillance in the maritime environment, port and coastal sensor surveillance, and enhanced sensor/data fusion technologies for command center situational awareness.

FY 2010 request of \$40.2 million:

- Deliver improved prototypes for future field-testing and transition the Container Security Device specifications to Customs and Borders Protection and DHS Policy.
- Build, demonstrate, and transition the first phase of improved capabilities for detecting Semi-Submersible Self-Propelled Vessels (SPSS) to customers.
- Transition Light-Emitting Diode Incapacitator (LEDI) and Safe Quick Undercarriage Immobilization Device (SQUID) efforts to first responder communities via the commercialization process. The execution of these products began as Small Business Innovation Research efforts.

Chemical and Biological –

FY 2008 appropriation of \$208.0 million:

- Transitioned BioWatch system to the Office of Health Affairs. Completed development of the BioWatch Biological Autonomous Network Detector (BAND) system, which increases the number of agents detected, and reduce the maximum time between an event and warning to six hours and significantly reduces operating costs.
- Validated forensic analytical methodologies for H-series blister agents, which are acid-forming compounds that damage skin and respiratory system, resulting burns and respiratory problems. These analytical methodologies will provide enhanced capability for the Federal Bureau of Investigation (FBI) to identify attack sources.

FY 2009 appropriation of \$200.4 million:

- Initiate a second round of Biodefense Net Assessments with a focus on developing a longer term strategic view of our and our adversaries' competitive strengths and tipping points. In response to HSPD-10, Biodefense Net Assessments (BNAs) provide "recommendations for re-balancing and refining investments among the pillars of our overall biodefense policy."
- Develop evaluated bioassays (fingerprint signatures of biological agents) that detectors and monitors use to recognize biological agents and trigger an alarm, which help to improve the ability to identify and characterize human or agriculture bioterrorism incidents. Complete development of and transition 10 bio threat assays to OHA for use in the Gen 2 BioWatch system and to establish the initial operational capability for the Public Health Actionable Assay process.
- Conduct bioforensics research in support of criminal investigative cases, with the ultimate goal of attribution, apprehension, and prosecution of the perpetrator, in fulfillment of the President's Biodefense for the 21st Century (HSPD-10). Complete validation at the National BioForensics and Analysis Center of forensic assays for the top thirty biological threat agents.
- Conduct biennial, end-to-end risk assessments on biological agents and conducts laboratory studies to close major scientific gaps that could significantly impact how the Nation structures its defenses. The Biological Threat Characterization Center should close the remaining gaps on

most of the classical, known agents by FY 2009, at which time the center will focus on addressing future threats.

- Develop, exercise, and demonstrate decontamination methods and restoration system tools that include a coordinated systems approach to the restoration of wide urban areas, to include high traffic areas (transit/transportation facilities) and Department of Defense (DOD) infrastructures following the aerosol release of a biological agent.

FY 2010 request of \$206.8 million:

- Complete the demonstration of wide area biological restoration guidelines and methods. Complete development of restoration plans and frameworks for a partner urban area with co-located military installations for validation of the overall concepts, protocols, and tools for recovering from an outdoor biological attack. When completed, the Interagency Biological Demonstration (IBRD) will provide a set of concepts, protocols and tools that can then be adopted and modified by other communities in developing their restoration plans.
- Complete the demonstration of integrated concepts of operation for chemical, biological, and radiological detection systems for urban areas by developing an architecture that integrates reporting from disparate chemical, biological, radiological, and potentially nuclear and explosive (CBRNe) detection/collection systems. It will greatly improve the integration of alarm and response assets across multiple potential attack modes, resulting in more rapid and informed decisions at the appropriate response level.
- Transition operations of the Integrated Consortium of Laboratory Networks (ICLN) to Office of Health Affairs (OHA). This laboratory network system strengthens early detection and consequence management and is consistent with Homeland Security Presidential Directives 9, 10, 21, and 22.
- Demonstrate a prototype high-throughput multiplex biological identification platform to enhance laboratory capabilities across multiple application areas. This instrument will be capable of analyzing for biological threats in environmental, food, water, animal, plant, and human clinical samples for multiple purposes and by multiple agencies.
- Complete validation of environmental anthrax sampling and analysis methods. The demonstration that environmental sampling methods are quantitatively characterized and consistent is critical to ensuring confidence in decisions regarding public health in biological contamination scenarios, delineating contaminated spaces, and establishing when contamination is removed.

Command, Control and Interoperability –

FY 2008 appropriation of \$57.0 million:

- Developed new capabilities to allow a mobile law enforcement official in a remote location to issue a single query that simultaneously accesses multiple databases across jurisdictions.
- Extended and applied pattern recognition tool to alert analysts to events that could be part of a developing, coordinated terrorist attack based on data from all-source intelligence leads and incident reports.

FY 2009 appropriation of \$74.9 million:

- Initiate development of architecture for accessing and exchanging situational awareness information between the U.S. Coast Guard and its maritime, law enforcement, and intelligence partners.
- Launch a demonstration between Voice over Internet Protocol (VoIP) and Project 25 gateways. The project will also accelerate the development and testing of Project 25 IP-based interfaces for

infrastructure inter-radio-frequency subsystems, console subsystems, and fixed base station subsystems.

- Initiate activities in the area of Process Control Systems (PCS) Security to support improved security for process control systems used across multiple critical infrastructure sectors and developed PCS model applications to Oil and Gas Sector(s) to ultimately secure those infrastructures better.

FY 2010 request of \$80.3 million:

- Improve the United States Secret Service (USSS) encryption breaking architecture in warranted criminal and terrorist cases by creating a scalable, distributed network that will allow USSS investigators to harness the computing power of tens of thousands of computers to break through challenging encrypted files.
- Integrate several existing statewide information and visualization platforms in the Southern U.S. into a regional information-sharing framework and provide advanced tools that support the gathering, managing, analyzing, sharing, and securing of relevant information.
- Continue working with emergency responders to perform an in-depth evaluation of the Multi-Band Radio (MBR). The MBR provides them with the unprecedented capability of communicating on all public safety radio bands.
- Create a global research and development enterprise for visualization and data sciences. The collaborative activity will enable CCI and the S&T Directorate to take advantage of worldwide expertise in these critical areas of science, to use the multiple resources being applied to their study efficiently and effectively, and quickly translate research to real tools and capabilities.

Explosives –

FY 2008 appropriation of \$77.7 million:

- Conducted demonstrations of promising new technologies to support their rapid prototyping and improve systems capable of detecting homemade explosives.
- Transitioned to Federal, State, and local responders a database of the mechanisms for defeating improvised explosive devices by means other than the current practice of detonating or manually disarming them.
- Initiated pilot testing the most promising advanced air cargo screening systems for deployment in FY 2011.
- Transitioned advanced technologies that improve the effectiveness of existing checked baggage technologies to TSA.

FY 2009 appropriation of \$96.1 million:

- Conduct detonation assessment tests to determine the impact, friction, and electrostatic discharge sensitivities of homemade explosives (HME) threats.
- Report on spectroscopic and trace technology research and development (R&D) for remote or standoff detection of Vehicle Borne Improvised Explosive Devices (VB-IED). These reports will establish the baseline and feasibility for employing explosives detection techniques as a means of VBIED detection.
- Develop advanced capabilities to detect explosives and concealed weapons, including IEDs or HMEs that could be detonated in passenger cabins and weapons that could be used in the hostile takeover of mass transit. Introduce new standalone technologies or adjunct technologies, such as Computed Tomography (CT), to continue improving detection performance and the detection of novel explosives. Award a development contract for the detection of novel explosives in the next-generation checkpoint detection system.

FY 2010 request of \$120.8 million:

- Develop a prototype for screening moving vehicles remotely, as well as a prototype of standalone spectroscopic technologies to detect both explosives and explosive device components for the standoff detection of VB-IEDs.
- Test and validate Electronic Countermeasures (ECM) operational load sets for use in current ECM systems and examine the potential for improvements based on antenna, amplifier, receiver and signal processing technologies.
- Investigate air blast interaction with blast resistant glass and laminated glass to quickly calculate structural responses to a range of explosives in urban environments.

Human Factors –

FY 2008 appropriation of \$14.2 million:

- Refined an existing multi-modal (finger, face, and iris) biometrics framework for test and evaluation activities. This leads to an identification tool that can accurately identify, without physical contact, known terrorists or criminals.
- Characterized screener-performance issues, propose new screener technologies and procedures, and develop training curricula to optimize security effectiveness and reduce human fatigue and injury, while reducing training requirements and overall cost.
- Improved the accuracy of risk assessments by incorporating a more comprehensive range of psychological, social, and indirect and long-term economic impacts of catastrophic events into the consequences aspect of DHS's risk assessments. Transition to TSA advanced technologies that improve the effectiveness of existing checked baggage technologies.

FY 2009 appropriation of \$12.5 million:

- Initiate development of a contactless multi-modal biometrics identification prototype and create corresponding reference datasets. The datasets are key to system design and prototype delivery.
- Deliver modeling capabilities, content analysis for the computerized analytical framework focused on determining whether radical groups are likely to engage in violence and what ideological, organizational, and contextual factors may influence this decision or spark action.

FY 2010 request of \$15.1 million:

- Initiate development of a Mobile Biometrics System prototype to provide screening capabilities for use at remote sites where communication access is limited including along U.S. borders, during disasters and terrorist incidents, and at sea.
- Demonstrate multi-cultural, real-time intent detection. This will lead to a hostile-intent detection prototype to identify unknown or potential terrorists through an interactive process with 75 percent accuracy.

Infrastructure and Geophysical –

FY 2008 appropriation of \$64.5 million:

- Evaluated blast effects and mitigation measures for dams, tunnels and bridges, which feeds into the development of suites of advanced materials, advanced materials, design procedures, and innovative construction methods that enable hardening of assets deemed most vital to the Nation.
- Conducted government testing of the 3D location system and conduct a functional test of the real-time, distributable standoff structure integrity monitoring system.
- Continued development of an automated training and exercise capability using advanced computer simulations and models, that will allow responders at all levels to affordably train and exercise for large and complex events in a virtual/constructive/live environment.

FY 2009 request of \$75.8 million:

- Start a project to provide a comprehensive and transparent disaster logistics tracking system across the entire area of responsibility of all disaster response partners, public and private. This system will allow the Federal Emergency Management Agency (FEMA) to more effectively manage critical resources and will enhance real-time coordination and situational awareness, setting the standard for all disaster response partners.
- Develop protective measures for tunnel protection by analyzing current measures; develop a design tool prototype for demonstration based on the new measures and conduct a field test.
- Develop advanced, automated, affordable underwater monitoring and surveillance technologies to detect underwater threats in harsh environments for extended periods that will be capable of being seamlessly and transparently integrated into infrastructure operations and operate in tandem and in support of law enforcement and other protective services/agencies.

FY 2010 request of \$44.7 million:

- Develop system components for practical use at a chosen infrastructure site and conduct a technology demonstration of surveillance technologies that would effectively monitor critical infrastructure.
- Design and demonstrate a recovery transformer in a laboratory environment. The recovery transformer will be easy to transport and install, have low maintenance and long service life, which will improve the resiliency of the electric grid.
- Develop a 3D-locator system prototype for first responders that will improve accuracy to within three feet and improve signal penetration through difficult structures (i.e., underground, over ground). The project plans to conduct testing in major urban areas and deliver an initial set of locators for field-testing at several locations across the Nation.
- Develop an engineering model and a brass board model and conduct system tests at several test facilities to verify design and performance of an integrated sensor package that will monitor a first responder's vital signs such as cardiac rhythm, heart rate, blood pressure, body temperature, and oxygen saturation, which could indicate Pre-Ventricular Contractions (PVCs) or cardiac arrhythmias.

Innovation –

FY 2008 appropriation of \$33.0 million:

- Developed and conducted initial validation of the Future Attribute Screening Technology (FAST) Theory of Malintent (the intent to cause harm) for a primary screening environment. Demonstrated FAST initial sensor integration and command and control framework.
- Conducted a demonstration of an early prototype of an inflatable tunnel plug to protect tunnels from fire, flooding, and potentially other hazards working with the Washington, DC Metro.

FY 2009 appropriation of \$33.0 million:

- Conduct early demonstrations of rapid, non-contact, three-dimensional fingerprint scanner that will have much higher success rates at capturing fingerprints the first time, with far greater detail, allowing for increased speed and accuracy in records matching
- Develop early prototypes of technology that will leverage National Aeronautics and Space Administration's (NASA) expertise with novel gas sensor architectures for manned space missions or use porous silicon based detection to be incorporated into everyday devices such as cell phones for ubiquitous chemical/biological agent detection.
- Conduct a demonstration of a 3-1-1 bag-screening prototype in an airport to test the system's ability to distinguish between liquids in an operational environment, where environmental factors can affect the technology's sensitivity.

FY 2010 request of \$44.0 million:

- Develop database of liquids and demonstrate the capability to seamlessly screen segregated liquids (without the 3-1-1 bag constraint) in an operational airport environment.
- Conduct demonstration of a stand-alone fault current limiter (FCL) technology, which is a significant technological advancement and could be installed in the grid as an alternative to the relatively high-risk FCL cable.
- Analyze the measurements taken from hurricanes and model and simulate the effects of different modification strategies. The goal is not to stop hurricanes, which are an important part of the natural cycle, but to mitigate damage to life and property with the goal of minimizing loss of life and property.

Laboratory Facilities –

FY 2008 appropriation of \$103.8 million:

- Continued construction of the National Biodefense Analysis and Countermeasures Center (NBACC) facility.
- Completed construction of the Chemical Security Analysis Center (CSAC) as part of the Department of Defense's Sample Receipt Facility at the Edgewood Chemical Biological Center.
- Conducted an environmental impact statement (EIS) of the National Bio and Agro-defense Facility (NBAF) sites as part of the National Environmental Policy Act. The Department used the EIS to determine site suitability leading to final site selection.

FY 2009 request of \$161.9 million:

- Complete construction of NBACC.
- Issue Record of Decision (ROD) on NBAF site selection.
- Conduct remaining cleanup activities at the Environmental Measurements Laboratory (EML) to return space to commercial use specifications.
- Initiate full CSAC operations in the state-of-the-art facility, which will be the premier facility with the capability to integrate knowledge across the full chemical threat spectrum.
- Begin a detailed design of the NBAF facility.
- Realign \$14 million and 124 FTE non-headquarters S&T federal employees to support DHS organic laboratories including Plum Island Animal Disease Center, the Environmental Measurements Laboratory, and the Transportation Security Laboratory.

FY 2010 request of \$154.5 million:

- Complete NBAF detailed design, and begin preparing the selected site for construction. Plan for the eventual transfer of activities from Plum Island Animal Disease Center (PIADC) to NBAF.
- Achieve full operations at NBACC, which will conduct forensic analyses and interpretation of material recovered following a bioterrorist attack; and conduct laboratory experiments and studies to fill important gaps in our knowledge of current and future threats.

Test & Evaluation (T&E) and Standards –

FY 2008 appropriation of \$28.5 million:

- Developed cargo security standards, working with CBP and other organizations, to include a review of existing standards, gap analysis, and requirements gathering from users.
- Identified needed T&E infrastructure, involving participation in requirements development and test planning activities across DHS as well as evaluation of potential partner activities across the Federal government.

- Conducted performance testing and analysis to ensure new technologies and equipment meet the developing suite of biometric standards.
- Conducted an independent peer review of projects across DHS beginning with an evaluation of TSA's air cargo certified shipper program.

FY 2009 appropriation of \$28.7 million:

- Finalize standard test materials for Anthrax bacteria (*Bacillus anthracis*) and Ricin, release interim guidance for chemical and biological decontamination, and develop guidance for first-responder assessment of detection technology claims.
- Provide standards for image quality for biometric images of face, fingerprint, and iris to enhance interoperability of US-VISIT and FBI Integrated Automated Fingerprint Identification System (IAFIS) fingerprint databases.
- Establish and issue policy and procedures as well as coordinate T&E resources to verify technical performance and operational effectiveness/suitability. Complete the Integrated DHS T&E Infrastructure Plan that will matrix the available domain of T&E capabilities to the DHS acquisition programs and the S&T Directorate's Capstone IPT projects.

FY 2010 request of \$28.7 million:

- Complete the development of trace explosives standard test materials for RDX and C4 explosives. Develop a test kit for evaluation and quality control of walk-through portals. Finalize and adopt standard test methods for X-ray inspection systems and body scanners.
- Initiate the chemical warfare agents/toxic industrial chemicals detection standards program, including standoff (optical) detection systems.
- Collaborate with FEMA to identify and prioritize specific product categories for assessment through the System Assessment and Validation for Emergency Responders (SAVER) program. SAVER tests and assesses commercially available products that fall within the product categories listed on the DHS Authorized Equipment List and provides the results along with other relevant equipment information to the First Responder community.

Transition –

FY 2008 appropriation of \$30.3 million:

- Developed and implemented an Office of Research and Technology Applications (ORTA) that will serve as the one-stop shop for managing patents and intellectual property identified during research efforts and promote partnerships to facilitate commercialization of the most promising technologies with industry to provide valuable homeland security technology applications to emergency responders and DHS component agencies.
- Developed a one-stop shop portal to disseminate technology information to Federal, State, local and tribal agencies.

FY 2009 appropriation of \$33.8 million:

- Initiate prototype development for a vehicle-mounted chemical and biological wireless sensor capable of identifying and reporting to a command post 13 toxic industrial chemicals.
- Expand coordination with other Federal agencies to assist in the creation of Federal best practices, standards and guidelines and work with public and private consortiums/associations to identify promising technologies for prompt consideration under the SAFETY Act
- *HSI – FY 2009 appropriation of \$5.0 million (in FY 2008 and FY 2010 HSI is a program in the Transition PPA):*
 - Conducted studies and analyses for the Department and its components in support of their mission.

- The authorization for HSI expires April 25, 2009. The S&T Directorate re-competed a studies and analysis FFRDC under the authority of Section 305 of the Homeland Security Act of 2002.

FY 2010 request of \$45.1 million:

- Educate and inform universities and national laboratories that research, develop and pilot new innovative homeland security technologies about the SAFETY Act.
- Refine support and analysis of customer gaps through the Capstone IPT process and monitor efforts for cost, schedule, and capability to ensure technologies effectively transition into acquisition.
- Develop and design technologies to address capability gaps identified by Federal, State, local and Tribal First Responders in the First Responder Capstone Integrated Product Team (IPT). This program will test technologies, assess them for usability, and commercialize them to make the technology solutions available across all First Responder communities.

University Programs –

FY 2008 appropriation of \$49.3 million:

- Developed a far-reaching and multi-faceted MSI program that will incorporate MSIs into the Centers of Excellence and develop homeland security research and training capabilities at the MSIs.
- Performed innovative research such as developing adaptive risk assessment tools and rapid, accurate methods for detecting and diagnosing biological agents that could threaten U.S. livestock.

FY 2009 appropriation of \$50.3 million:

- Establish a new DHS COE, the Center of Excellence for Command, Control and Interoperability, merging activities, of the Institute of Discrete Sciences University Affiliate Centers and the DHS Regional Visualization and Analytics Centers.

FY 2010 appropriation of \$46.0 million:

- CREATE will extend decision analysis methodologies to include dynamic interactions between attackers and defenders and develop capabilities for including intelligence data and analysis into decision support tools.
- NDU will expand its master's program in Science and Technology Leadership to other DHS components.

A more robust description of FY 2008 accomplishments, plans, and projects for FY 2009 and 2010 respectively are discussed within the Budget request section of the FY 2010 Congressional Justification.

C. Resources Requested and Performance Impact

Current Services

The proposed FY 2010 budget request of \$968,391,000 will maintain ongoing activities in science and technology research to detect and counter threats and attacks; to protect the Nation's critical infrastructure, both physical and cyber; to analyze and assess threats and vulnerabilities; and to provide cutting edge technologies to operational end-users.

The S&T Directorate has planned and budgeted for its activities in FY 2010 by focusing and incorporating our DHS customers' priorities to conduct the urgent and overriding mission of DHS to secure the homeland means to protect our Nation's borders by finding and killing the roots of terrorism and to stop those who intend to hurt us; to wisely enforce the rule of law at our borders; to protect our national cyber infrastructure; and to prepare for and respond to natural and man-caused disasters with speed, skill, compassion, and effectiveness.

As noted earlier, the S&T Directorate made its decisions on FY 2010 funding based on the priorities and the requirements of the Department.

Program Increases

The following projects represent increments over current service level by PPA:

- **Borders and Maritime Security:** The FY 2010 increase of \$7.131 million funds maritime security requirements identified by the Maritime Security IPT and Urban Tunnel Detection basic research.
- **Chemical and Biological:** The FY 2010 \$5.000 million increase supports the initiation of the Multiplex Detection Technology project. This project will develop a technology to address food borne pathogens in food and clinical sample matrices, detect biothreat agents in food, clinical, water and environmental sample matrices, detect foreign animal disease from animal samples, and cover a wide variety of other pathogens of interest in a variety of sample matrices. This will provide multiple Federal partners with a tool to meet their ever-demanding needs for preparedness and support of the National Bio Defense Strategy through rapid detection for rapid mitigation.
- **Command, Control and Interoperability:** The FY 2010 of \$5.374 million will enable CCI to fund Cyber Security research and development applied towards cyber security priorities identified in the Comprehensive National Cybersecurity Initiative (CNCI). Specifically, this effort will develop enduring leap-ahead technologies to secure the Nation's critical information infrastructure (energy, transportation, telecommunications, banking and finance, and others) and networks.
- **Explosives:** The FY 2010 increase of \$24.600 million supports the High Throughput Air Cargo Screening projects. The High Throughput Air Cargo Screening project is developing technologies for TSA. The requested funding will support the objective to screen 100% of air cargo by developing high throughput screening technology suitable for cargo screening applications and filling the current technology capability gap. The increase in FY 2010 also supports Counter-IED Research in the Transportation Security IPT, specifically the Person-Borne Improvised Explosive Devices project. This funding will enable the Directorate to build upon existing research programs and improve large threat mass detection for large areas, such as mass transit and special events.
- **Human Factors:** The increase of \$2.627 million in FY 2010 reflects additional support for Human Factors' efforts in the Biometrics, Suspicious Behavior Detection, and Human Systems Research, and Engineering Programs.
- **Infrastructure and Geophysical:** The \$6.926 million increase to current services supports planned intensification of development of 3D locators and physiological monitors for first responders. It also supports acceleration of R&D on extremely strong, lightweight, resilient materials.
- **Innovation:** The FY 2010 increase of \$11.000 million will fund existing programs whose scopes increase as they mature and might allow for additional projects that would address

gaps identified by the S&T Capstone IPT process. Two new starts include projects in the area of multi-modal tunnel detect, where capabilities are currently non-existent to inadequate; and low cost biological detection, which could result in huge gains in capability for DHS.

- **Laboratory Facilities:** The FY 2010 increase of \$25.803 million will fund infrastructure upgrades, starting with adding storage space at the Transportation Security Laboratory, Pacific Northwest National Laboratory (PNNL) construction, and operations and maintenance cost increases at the laboratories.
- **Transition:** The FY 2010 increase of \$14.000 million provides funding for the First Responder Capstone Integrated Product Team (IPT). This increase will allow DHS to test technologies, assess them for usability, and commercialize them to make the technology solutions available across Federal, State, local and Tribal First Responders.
- **University Programs:** The FY 2010 decrease of \$2.270 million is a result of no additional funding to support the Center of Excellence for the Transportation Security Agency and the Navy's Post Graduate School.

D. How Science and Technology Main Programs and Their Performance Goals Align to and Support the Secretary's Goals and Objectives.

The following list of programs with their performance goals and the DHS goals and objectives they support.

Borders and Maritime Security program performance goal – Improve the capability of homeland security personnel to secure the Nation's land, maritime, and air borders.

Goal 1 – Continue to protect our Nation from dangerous people

Objective 1.1 – Achieve Effective Control of Our Borders

Chemical and Biological program performance goal – Improve the understanding, technologies, and systems necessary to protect against possible biological and chemical attacks on the Nation's population, agriculture, or infrastructure.

Goal 2 – Continue to protect our Nation from dangerous goods

Objective 2.2 – Biological

Explosives program performance goal – Improve explosives countermeasures technologies and procedures to prevent attacks on critical infrastructure, key assets, and the public.

Goal 3 – Protect critical infrastructure

Objective 3.1 – Fixed Critical Infrastructure and Key Assets

Human Factors program performance goal – Improve detection, analysis, and the understanding of threats posed by individuals, groups, and radical movements through the application of the social and behavioral sciences.

Goal 1 – Continue to protect our Nation from dangerous people

Objective 1.3 – Strengthen Screening of Travelers and Workers

Infrastructure and Geophysical program performance goal – Improve the capability for State, local, tribal, and private sector preparedness for and response to all hazardous events impacting the population and critical infrastructure.

Goal 3 – Protect critical infrastructure

Objective 3.1 – Fixed Critical Infrastructure and Key Assets

Command, Control and Interoperability program performance goal – Improve and develop operable and interoperable communications for emergency responders, develop tools to improve the security and integrity of the internet, and improve and develop automated capabilities to recognize potential threats.

Goal 4 – Build a nimble, effective emergency response system and a culture of preparedness

Objective 4.1 – Response and Recovery

Test & Evaluation and Standards program performance goal – Improve and develop standards and test and evaluation protocols for products, services, and systems used by the Department of Homeland Security and its partners to ensure consistent and verifiable effectiveness of equipment and tools.

Goal 4 – Build a nimble, effective emergency response system and a culture of preparedness

Objective 4.2 – Preparedness

Innovation program performance goal – Support significant technology breakthroughs that have the potential to greatly enhance DHS operations.

Goal 4 – Build a nimble, effective emergency response system and a culture of preparedness

Objective 4.2 – Preparedness

Transition program performance goal – Deliver near-term products and technology enhancements.

Goal 4 – Build a nimble, effective emergency response system and a culture of preparedness

Objective 4.2 – Preparedness

University Programs program performance goal – Improve university-based research, development and education systems to enhance the Nation's homeland security.

Goal 4 – Build a nimble, effective emergency response system and a culture of preparedness

Objective 4.2 – Preparedness

Laboratory Facilities program performance goal – Improve the Nation's core of productive science, technology, and engineering laboratories, organizations, and institutions, which can develop the knowledge and technology required to secure our homeland.

Goal 4 – Build a nimble, effective emergency response system and a culture of preparedness

Objective 4.2 – Preparedness

E. Performance-Based Budget Highlights by Program

For each major program, the performance goal, alignment to DHS goals and objectives, total dollars and FTE, and main performance measure/s are shown below.

Program: Border and Maritime Security						
Performance Goal: Improve the capability of homeland security personnel to secure the Nation's land, maritime, and air borders through science and technology.						
DHS strategic objectives supported and % allocation of activities: 1.1 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$55,148	\$78,475	\$41,207	\$33,413	\$40,733	\$48,665
FTE	46	16	12	17	19	23

Measure: Percent of borders and maritime security program milestones that are met, as established in the fiscal years budget execution plan						
Description of Measure: This measure reflects the percent of borders and maritime security program milestones that meet their fiscal year budget execution and five - year plan goals. These milestones are derived from the Directorate's Integrated Product Teams in which the Borders and Maritime Security program works closely with its DHS customers (e.g. Customs and Border Patrol, Immigration and Customs Enforcement, and U.S. Coast Guard), to identify customer requirements, set goals for milestones and deliverables, plan for the allocation of resources, discuss the status of projects, etc. ST develops Technology Transition Agreements with its customers to identify what ST will do to meet customer requirements in the development of a technology, and how a customer expects to invest in this technology once it is ready.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	N/A	100%	90%	90%	90%
Actual:	None	None	80%	91%	N/A	N/A

Measure: Percent of transition program funding dedicated to developing technologies in direct response to Department of Homeland Security components' requirements						
Description of Measure: The percent of science and technology transition funding that directly supports the development of technologies requested by the Department components such as Customs and Border Protection, to ensure that operational end users are provided with the technology and capabilities they need to detect and prevent terrorist attacks, means of terrorism and other illegal activities.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	80%	94%	95%	96%	97%
Actual:	None	94%	98%	99%	N/A	N/A

Program: Chemical and Biological						
Performance Goal: Improve the understanding, technologies, and systems necessary to protect against possible biological and chemical attacks on the Nation's population, agriculture, or infrastructure through science and technology.						
DHS strategic objectives supported and % allocation of activities: 2.2 - 76%, 2.3 - 24%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$478,886	\$529,944	\$343,511	\$239,483	\$231,192	\$238,203
FTE	100	106	23	49	54	59

Performance Plan Measures

Measure: Percent completion of an effective restoration capability to restore key infrastructure to normal operation after a chemical or biological attack						
Description of Measure: This measure reflects program activities to develop the required components of a capability to restore critical infrastructure from an attack with persistent chemical agents, including TICs, CWAs, and NTAs, as well as to restore areas contaminated with biological agents, such as anthrax. Progress in the comprehensive chemical and biological restoration effort is measured as the percentage of key products and deliverables that comprise together the full required capability. Such deliverables and products include the required technologies and guidance documents along with key reports developed to enable critical decisions along the development pathway. Through the broad proliferation of the guidance documents, restoration templates, and technology surveys that are products of this effort, the preparedness of local, regional, and national response entities for response to and recovery from a chemical or biological attack will be greatly enhanced.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	None	74%	91%
Actual:	None	None	None	N/A	N/A	N/A

Measure: Percent of chemical and biological program milestones that are met, as established in the fiscal years budget execution plan						
Description of Measure: This measure reflects the percent of chemical and biological program milestones that meet their established fiscal year budget execution and five - year plan goals. These milestones are derived from the Directorate's Integrated Product Teams in which the Chemical and Biological program works closely with its DHS customers (e.g., the Office of Infrastructure Protection, and the Chief Medical Office), to identify customer requirements, set goals for milestones and deliverables, plan for the allocation of resources, discuss the status of projects, etc. ST develops Technology Transition Agreements with its customers to identify what ST will do to meet customer requirements in the development of a technology, and how a customer expects to invest in this technology once it is ready.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	N/A	88%	90%	93%	95%
Actual:	None	None	89%	93%	N/A	N/A

Measure: Percent of high - priority chemical and biological agents detectable in target operational scenarios						
Description of Measure: This measure reflects progress across the entire chemical and biological detection program toward developing technologies for transition to appropriate customers for deployment and use. Targeted agents for these detection systems are prioritized through biological and chemical terrorism risk assessments, which are updated by the program on a biennial basis and reviewed by other agencies with a stake in the outcome. The set of agents chosen comprise some 90 - 95% of total risk presented by chemical and biological agents.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	None	17%	39%
Actual:	None	None	None	N/A	N/A	N/A

Program: Command, Control and Interoperability						
Performance Goal: Improve and develop operable and interoperable communications for emergency responders; develop tools to improve the security and integrity of the internet; and improve and develop automated capabilities to recognize potential threats through science and technology.						
DHS strategic objectives supported and % allocation of activities: 3.3 - 36%, 4.1 - 41%, 4.2 - 23%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	None	\$117,322	\$75,184	\$69,933	\$87,269	\$93,341
FTE	None	23	20	29	31	33

Performance Plan Measures

Measure: Number of cyber security data sets collected and approved						
Description of Measure: This measure tracks the cumulative number of data sets available in the protected repository, a secure library that is made available to specified researchers. Each data set contains information about real network and system traffic that researchers can use to design, produce, and evaluate new cyber security solutions. In FY 2006 the Science and Technology (ST) Directorate continued the ongoing collection, refreshing, and sharing of data sets, and addition of new partners as applicable for the Protected Repository for the Defense of Infrastructure against Cyber Threats (PREDICT) repository. This is important because the repository needs to continually add new and pertinent data so that the cyber security research community can have the most recent information to respond to new attacks.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	85	350	450	550
Actual:	None	None	263	281	N/A	N/A

Measure: Number of proof - of - concept reconnaissance, surveillance and investigative technologies demonstrated						
Description of Measure: This measure reflects the number of proof - of - concept (feasibility) of technologies demonstrated that aid in the discovery, investigation, and prosecution of terrorists and criminals. A proof of concept is a feasibility assessment that is considered a milestone in the development of a fully functioning prototype. These assessments are most meaningful and used by the program manager for the Reconnaissance, Surveillance, and Investigative Technologies subprogram or Division executives to determine the necessity of a continued investment.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	N/A	5	8	9
Actual:	None	None	None	7	N/A	N/A

Measure: Percent of command, control and interoperability program milestones that are met, as established in the fiscal years budget execution plan						
Description of Measure: This measure includes the percent of command, control, and interoperability program milestones that meet their fiscal year budget execution and five - year plan goals. These milestones are derived from the Directorate's Integrated Product Teams in which the Command, Control and Interoperability program works closely with its DHS customers (e.g., the Office of Intelligence and Analysis, the Federal Emergency Management Agency, and the Office of Emergency Communications), to identify customer requirements, set goals for milestones and deliverables, plan for the allocation of resources, discuss the status of projects, etc. ST develops Technology Transition Agreements with its customers to identify what ST will do to meet customer requirements in the development of a technology, and how a customer expects to						

invest in this technology once it is ready.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	N/A	75%	90%	95%	100%
Actual:	None	None	75%	94%	N/A	N/A

Program: Explosives						
Performance Goal: Improve explosive countermeasure technologies and procedures to prevent attacks on critical infrastructure, key assets, and the public through science and technology.						
DHS strategic objectives supported and % allocation of activities: 2.3 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$19,911	\$89,809	\$121,518	\$89,404	\$107,570	\$132,624
FTE	11	18	48	21	23	25

Performance Plan Measures

Measure: Number of new or improved technologies available for transition to the customers at a Technology Readiness Level (TRL) 6 or above						
Description of Measure: The number of technologies includes those that have reached a maturity level of TRL 6 or above; this indicates that a technology is ready for demonstration. These technologies will be transitioned to the primary customer, the Transportation Security Administration.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	NA	2	3	5	5
Actual:	None	None	0	3	N/A	N/A

Measure: Percent of explosives program milestones that are met, as established in the fiscal years budget execution plan						
Description of Measure: This measure reflects the percent of explosives program milestones meeting their fiscal year budget execution and five - year plan goals. These milestones are derived from the Directorate's Integrated Product Teams in which the Explosives program works closely with its DHS customers (e.g. the Transportation Security Administration and U.S. Secret Service), to identify customer requirements, set goals for milestones and deliverables, plan for the allocation of resources, discuss the status of projects, and etc. ST develops Technology Transition Agreements with its customers to identify what ST will do to meet customer requirements in the development of a technology, and how a customer expects to invest in this technology once it is ready.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	N/A	80%	85%	80%	85%
Actual:	None	None	61%	77%	N/A	N/A

Program: Human Factors						
Performance Goal: Improve detection, analysis, and the understanding of threats posed by individuals, groups and radical movements through the application of the social and behavioral sciences.						
DHS strategic objectives supported and % allocation of activities: 1.3 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	None	\$7,484	\$10,656	\$17,949	\$15,895	\$19,086
FTE	None	2	13	14	15	16

Performance Plan Measures

Measure: Percent of human factors program milestones that are met, as established in the fiscal years budget execution plan						
Description of Measure: This measure reflects the percent of Human Factors program milestones meeting their fiscal year budget execution and five - year plan goals. These milestones are derived from the Directorate's Integrated Product Teams in which the Human Factors program works closely with its DHS customers (e.g. the Office of Screening Coordination and Operations, and US Citizenship and Immigration Services), to identify customer requirements, set goals for milestones and deliverables, plan for the allocation of resources, discuss the status of projects, etc. ST develops Technology Transition Agreements with its customers to identify what ST will do to meet customer requirements in the development of a technology, and how a customer expects to invest in this technology once it is ready.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	NA	90%	90%	90%	90%
Actual:	None	None	73%	100%	N/A	N/A

Program: Infrastructure and Geophysical						
Performance Goal: Improve the capability for State, local, tribal, and private sector preparedness for and response to all hazardous events impacting the population and critical infrastructure through science and technology.						
DHS strategic objectives supported and % allocation of activities: 3.1 - 31%, 4.1 - 69%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	None	\$50,999	\$83,131	\$73,366	\$84,412	\$53,639
FTE	None	10	7	15	16	18

Performance Plan Measures

Measure: Percent of infrastructure and geophysical program milestones supporting preparedness that are met, as established in the fiscal years budget execution plan						
Description of Measure: This measure reflects the percent of Infrastructure and Geophysical milestones supporting preparedness that meet their fiscal year budget execution and five - year plan goals. These milestones are derived from the Directorate's Integrated Product Teams in which the Infrastructure and Geophysical program works closely with its DHS customers (e.g. the Office of Infrastructure Protection and the Federal Emergency Management Agency), to identify customer requirements, set goals for milestones and deliverables, plan for the allocation of resources, discuss the status of projects, etc. ST develops Technology Transition Agreements with its customers to identify what ST will do to meet customer requirements in the development of a technology, and how a customer expects to invest in this technology once it is ready.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	None	90%	90%
Actual:	None	None	None	N/A	N/A	N/A

Measure: Percent of infrastructure and geophysical program milestones supporting the protection of critical infrastructure that are met, as established in the fiscal years budget execution plan						
Description of Measure: This measure reflects the percent of Infrastructure and Geophysical milestones supporting the protection of critical infrastructure that meet their fiscal year budget execution and five - year plan goals. These milestones are derived from the Directorate's Integrated Product Teams in which the Infrastructure and Geophysical program works closely						

with its DHS customers (e.g. the Office of Infrastructure Protection and the Federal Emergency Management Agency), to identify customer requirements, set goals for milestones and deliverables, plan for the allocation of resources, discuss the status of projects, etc. ST develops Technology Transition Agreements with its customers to identify what ST will do to meet customer requirements in the development of a technology, and how a customer expects to invest in this technology once it is ready.

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	NA	90%	90%	90%	90%
Actual:	None	None	69%	90%	N/A	N/A

Program: Innovation						
Performance Goal: Support significant technology breakthroughs that have the potential to greatly enhance DHS operations through science and technology.						
DHS strategic objectives supported and % allocation of activities: 4.1 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	None	\$0	\$46,922	\$42,270	\$41,808	\$53,575
FTE	None	0	17	24	26	28

Performance Plan Measures

Measure: Percent of innovation program milestones that are met, as established in the fiscal years budget execution plan						
Description of Measure: This measure reflects the percent of innovation program milestones for the Homeland Innovative Prototypical Solutions (HIPS) and High Impact Technology Solutions (HITS) programs that meet their fiscal year budget execution and five - year plan goals. These plans detail the allocation of dollars and projected accomplishments for the current and future fiscal years. The majority of the projects initiated within Innovation are high - risk and therefore the target is appropriate for this type of research.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	NA	45%	50%	60%	60%
Actual:	None	None	83%	88%	N/A	N/A

Program: Laboratory Facilities						
Performance Goal: Improve the Nation's core of productive science, technology, and engineering laboratories, organizations, and institutions, which can develop the knowledge and technology required to secure our homeland through science and technology.						
DHS strategic objectives supported and % allocation of activities: 2.2 - 70%, 3.4 - 30%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	None	\$104,825	\$142,006	\$140,849	\$195,853	\$193,623
FTE	None	21	127	150	163	165

Performance Plan Measures

Measure: Percent of laboratory facilities program milestones supporting protection against biological attacks that are met, as established in the fiscal years budget execution plan						
Description of Measure: This measure reflects the percent of Laboratory Facilities program milestones supporting protection against biological attacks that meet their fiscal year budget execution and five - year plan goals. The five - year plan details the allocation of dollars and						

projected accomplishments for the current and future fiscal years.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	NA	100%	100%	90%	90%
Actual:	None	None	93%	93%	N/A	N/A

Measure: Percent of laboratory facilities program milestones supporting the protection of transportation sectors that are met, as established in the fiscal years budget execution plan						
Description of Measure: This measure reflects the percent of laboratory facilities program milestones supporting the protection of transportation sectors that meet their fiscal year budget execution and five - year plan goals. These plans detail the allocation of dollars and projected accomplishments for the current and future fiscal years.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	None	90%	90%
Actual:	None	None	None	N/A until FY2009	N/A	N/A

Program: Test Evaluation and Standards						
Performance Goal: Improve and develop standards and test and evaluation protocols for products, services, and systems used by the Department of Homeland Security and its partners to ensure consistent and verifiable effectiveness of equipment and tools through science and technology.						
DHS strategic objectives supported and % allocation of activities: 4.1 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$42,202	\$35,017	\$29,556	\$32,518	\$32,596	\$32,780
FTE	9	7	6	7	8	9

Performance Plan Measures

Measure: Number of Department of Homeland Security official technical standards introduced per year						
Description of Measure: This measure gauges the number of standards introduced for adoption by the Department of Homeland Security per year. Not all standards that are introduced are adopted; the Standards Council and the program's working groups identify standards and examine their suitability for adoption. Only those standards with clear requirements and applicability are adopted.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	15	20	20	8	10
Actual:	None	15	19	5	N/A	N/A

Measure: Percent of standards introduced that are adopted by Department of Homeland Security and partner agencies						
Description of Measure: This measure reflects the percent of standards and protocols for products, services, and systems that are adopted by the Department and its partner agencies. Adoption of standards and protocols ensure a high level of effectiveness among the technologies and capabilities end users need to detect and prevent terrorist attacks, means of terrorism and other illegal activities.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	67%	85%	90%	80%	80%
Actual:	None	92%	84%	80%	N/A	N/A

Measure: Percent of test, evaluation, and standards program milestones that are met, as established in the fiscal years budget execution plan						
Description of Measure: This measure reflects the percent of test, evaluation and standards milestones that meet their fiscal year budget execution and five - year plan goals. These plans detail the allocation of dollars and projected accomplishments for the current and future fiscal years.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	N/A	70%	70%	80%	80%
Actual:	None	None	88%	70%	N/A	N/A

Program: Transition						
Performance Goal: Deliver near - term products and technology enhancements through science and technology.						
DHS strategic objectives supported and % allocation of activities: 4.1 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	None	\$7,365	\$29,402	\$35,809	\$39,058	\$50,819
FTE	None	1	11	15	16	17

Performance Plan Measures

Measure: Number of applications for SAFETY Act coverage submitted.						
Description of Measure: The Office of SAFETY (Support Anti - Terrorism by Fostering Effective Technologies) Act Implementation (OSAI) is responsible for review and approval of applications for Designation and Certification of Qualified Anti - Terrorism Technologies under the SAFETY Act program. This measure reflects the cumulative number of applications received regarding anti - terrorism technologies through the SAFETY Act program. The number of applications received is an indicator of long - term success because it is a reflection of the homeland security market's desire to develop and deploy anti - terrorism technologies and the necessity of a program that will enable this process. By continuing to increase the number of applications the SAFETY Act program will continue to be effective in enabling the widespread commercial availability of effective anti - terrorism technologies.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	None	138	152
Actual:	None	None	None	N/A	N/A	N/A

Measure: Number of SAFETY Act "transition" (new, highly innovative) technologies awarded						
Description of Measure: In order to stay up to date with the continually changing nature of terrorism, the Office of SAFETY (Support Anti - Terrorism by Fostering Effective Technologies) Act Implementation (OSAI) will seek out those evolving technologies that can serve a homeland security mission and provide coverage to enable their transition into the commercial market, at a rate of 20% a year. A "transition" technology is defined as any technology that is awarded Developmental Testing and Evaluation (DTE) Designation, and those that can be considered new and innovative (i.e. a new technological application in the homeland security arena). OSAI is actively seeking out these technologies in an effort to address the ever - changing nature of terrorism. The SAFETY Act program is the only Federal program that attempts to help industry transition these developmental technologies into the commercial marketplace.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	None	17	21
Actual:	None	None	None	N/A	N/A	N/A

Measure: Percent of transition program milestones that are met, as established in the fiscal years budget execution plan						
Description of Measure: This measure reflects the percent of Transition program milestones that meet their fiscal year budget execution and five - year plan goals. These plans detail the allocation of dollars and projected accomplishments for the current and future fiscal years.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	NA	80%	85%	86%	87%
Actual:	None	None	100%	100%	N/A	N/A

Program: University Programs						
Performance Goal: Improve university - based research, development, and education systems to enhance the Nation's homeland security through science and technology.						
DHS strategic objectives supported and % allocation of activities: 4.1 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	\$120,064	\$47,147	\$55,016	\$55,341	\$56,201	\$52,036
FTE	13	9	9	9	10	11

Performance Plan Measures

Measure: Number of Science, Technology, Engineering and Mathematics (STEM) students supported						
Description of Measure: This measure reflects the cumulative number of students pursuing the study of science, technology, engineering, or mathematics that receive scholarships, fellowships, and internships granted through the program. The students may include undergraduates, graduate students, and postdoctoral candidates. The University Centers of Excellence, which are mission - focused university consortiums that leverage the multi - disciplinary capabilities of universities to address the Department of Homeland Security's needs, can make these awards for scholars and fellows in their disciplinary areas.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	N/A	200	178	150
Actual:	None	None	None	203	N/A	N/A

Measure: Percent of university programs milestones that are met, as established in the fiscal years budget execution plan						
Description of Measure: This measure reflects the percent of University Programs milestones that meet their fiscal year budget execution and five - year plan goals. These plans detail the allocation of dollars and projected accomplishments for the current and future fiscal years.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	N/A	80%	85%	85%	85%
Actual:	None	None	60%	100%	N/A	N/A

F. Digest Tables by FYHSP Programs

**Department of Homeland Security
Science and Technology Directorate**
Digest of FY 2010 Budget Estimates by Activity and FYHSP Program
(Dollars in Thousands)

FYHSP Program	FY 2008 Revised Enacted		FY 2009 Enacted		FY 2010 Estimate		Increase (+) or Decrease(-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Borders and Maritime	17	\$33,413	19	\$40,733	23	\$48,665	4	\$7,932	---	\$7,131	4	\$801
Chemical and Biological	49	\$239,483	54	\$231,192	59	\$238,203	5	\$7,011	---	\$5,000	5	\$2,011
Command, Control and Interoperability	29	\$69,933	31	\$87,269	33	\$93,341	2	\$6,072	---	\$5,374	2	\$698
Explosives	21	\$89,404	23	\$107,570	25	\$132,624	2	\$25,054	---	\$24,660	2	\$394
Human Factors/Behavioral Sciences	14	\$17,949	15	\$15,895	16	\$19,086	1	\$3,191	---	\$2,627	1	\$564
Infrastructure and Geophysical	15	\$73,366	16	\$84,412	18	\$53,639	2	(\$30,773)	---	\$6,926	2	(\$37,699)
Innovation	24	\$42,270	26	\$41,808	28	\$53,575	2	\$11,767	---	\$11,000	2	\$767
Laboratory Facilities	150	\$140,849	163	\$195,853	165	\$193,623	2	(\$2,230)	6	\$25,803	(4)	(\$28,033)
Test and Evaluation, Standards	7	\$32,518	8	\$32,596	9	\$32,780	1	\$184	---	\$574	1	(\$390)
Transition	15	\$35,809	16	\$39,058	17	\$50,819	1	\$11,761	---	\$9,000	1	\$2,761
University Programs	9	\$55,341	10	\$56,201	11	\$52,036	1	(\$4,165)	---	(\$2,270)	1	(\$1,895)
Subtotal, Enacted Appropriations and Budget Estimates	350	\$830,335	381	\$932,587	404	\$968,391	23	\$35,804	6	\$95,825	17	(\$60,021)
Less: Adjustments for Other Funding Sources:						\$0	---	\$0	---	\$0	---	\$0
Net, Enacted Appropriations and Budget Estimates	350	\$830,335	381	\$932,587	404	\$968,391	23	\$35,804	6	\$95,825	17	(\$60,021)

Department of Homeland Security

Domestic Nuclear Detection Office



Fiscal Year 2010
Congressional Justification

i. Summary of FY 2010 Budget Estimates by Appropriation

**Department of Homeland Security
Domestic Nuclear Detection Office**
Summary of FY 2010 Budget Estimates by Appropriation
Total Appropriations
(Dollars in Thousands)

Budget Activity	FY 2008 EOY Proj. Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Management and Administration	121	31,500	130	37,500	130	39,599	---	\$2,099	---		---	\$2,099
Research, Development and Operations	-	323,500	-	323,200	-	326,537		3,337	---	---	---	3,337
Systems Acquisition	-	129,750	-	153,491	-	0		(153,491)	---	---	---	(153,491)
Subtotal, Enacted Appropriations and Budget Estimates	121	\$484,750	130	\$514,191	130	\$366,136	0	(\$148,055)	0	\$0	0	(\$148,055)
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	121	\$484,750	130	\$514,191	130	\$366,136	0	(\$148,055)	0	\$0	0	(\$148,055)

ii. **Homeland and Non-Homeland Allocation**

Department of Homeland Security
 Domestic Nuclear Detection Office
 Homeland and Non-Homeland Allocation by Program/Project Activity
 (Dollars in Thousands)

Budget Activity	2008 EOY Proj. Actuals						2009 Enacted						2010 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Management and Administration	121	\$31,500			121	\$31,500	130	\$37,500			130	\$37,500	130	\$39,599			130	\$39,599
Research, Development and Operations	---	\$323,500			---	\$323,500	---	\$323,200			---	\$323,200	---	\$326,537			---	\$326,537
Systems Engineering and Architecture	-	22,400	0	-	-	\$22,400	-	25,147	-	-	-	25,147	-	25,648	-	-	-	25,648
Systems Development	-	118,100	-	-	-	\$118,100	-	108,100	-	-	-	108,100	-	100,000	-	-	-	100,000
Transformational R&D	-	96,000	-	-	-	\$96,000	-	103,300	-	-	-	103,300	-	110,000	-	-	-	110,000
Assessments	-	37,500	-	-	-	\$37,500	-	32,000	-	-	-	32,000	-	32,616	-	-	-	32,616
Ops	-	34,500	-	-	-	\$34,500	-	37,753	-	-	-	37,753	-	38,573	-	-	-	38,573
Forensics	-	15,000	-	-	-	\$15,000	-	16,900	-	-	-	16,900	-	19,700	-	-	-	19,700
Systems Acquisition	---	99,760			---	99,760	---	153,491			---	153,491	---	---			---	---
Radiation Portal Monitors Program	-	51,120	-	-	-	51,120	-	120,491	-	-	-	120,491	-	0	-	-	-	0
Securing the Cities	-	860	-	-	-	860	-	20,000	-	-	-	20,000	-	0	-	-	-	0
Human Portal Radiation Detector Systems	-	47,780	-	-	-	47,780	-	13,000	-	-	-	13,000	-	0	-	-	-	0
Total Direct Appropriations and Budget Estimates	121	\$454,760	0	\$0	121	\$454,760	130	\$514,191	0	\$0	130	\$514,191	130	\$366,136	0	\$0	130	\$366,136

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

**Department of Homeland Security
Domestic Nuclear Detection Office**

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2008	26-Apr-08	House Report 110-181, Title IV, p. 126	The Committee directs DNDO to provide quarterly briefings, beginning in January 2008, on its assessments of these new technologies and its progress in deploying technologies to other vulnerable sites. These briefings should include information about the architecture necessary to deploy detection equipment at nontraditional ports of entry or seaports; the types of technologies being assessed; the strengths and weaknesses of these technologies; and the development timetable.	First Briefing complete (22 May 2008) Next Briefing: to be scheduled in September
2008	26-Apr-08	House Report 110-181, Title IV, p. 126	DNDO is working with CBP to find ways to screen shipments and vessels coming to the United States for radiation at the foreign ports from which they depart. The Committee directs DNDO to report on the results of these efforts in conjunction with the quarterly threat assessment briefings, beginning with the next scheduled briefing.	First Briefing complete (12 May 2008)
2008	26-Apr-08	House Report 110-181, Title IV, p. 127	The Committee directs DNDO to report quarterly on red team exercises it has conducted, any vulnerabilities identified, and any changes that are being made to the system to address these vulnerabilities. The first report shall be submitted on January 1, 2008.	First Briefing complete (22 April 2008) Next Briefing: to be scheduled in September
2008	26-May-08	House Report 110-181, Title IV, p. 129	GAO recommends that DNDO (1) collect and maintain reports concerning all of the testing performed by the U.S. national laboratories; and (2) review the test reports in order to develop an information database on how PVTs perform in both laboratory and field tests on a variety of indicators, such as their ability to detect specific radiological and nuclear materials or how they are affected by different levels of background environmental radiation. The Committee concurs with GAO's recommendations and directs DNDO to report on its plan to collect and maintain an information database in a timely fashion.	Target Delivery Date to Congress is October 2008
2008	26-May-08	Senate Report 110-84, Title IV, p. 119	The Committee directs DNDO to submit a strategic plan for its phased deployment that: (1) prioritizes the cities to be covered by the program; (2) lays out a decision matrix on which routes will be covered into the city whether by land, sea or air; (3) addresses whether decoy detection systems would benefit the public good; (4) indicates what level of detection infrastructure makes sense for each city; (5) addresses whether any given deployment has a reasonable chance of success against an adversary with at least a moderate level of technological know-how; and (6) establishes a 5-year projected cost of the program.	Target Delivery Date to Congress is October 2008
2008	26-Apr-08	Senate Report 110-84, Title IV, p. 119	The Committee directs DNDO to provide a classified briefing to the Committee on ways it plans to incorporate current intelligence into the structure and implementation of the Architecture by October 1, 2007.	Submitted to Congress: 1 May 2008
2008	1-Sep-08	FY 2008 Omnibus PL 110-161, Title IV, p. 230	None of the funds appropriated under this heading shall be obligated for full-scale procurement of Advanced Spectroscopic Portal Monitors until the Secretary of Homeland Security submits to the Committees on Appropriations of the Senate and the House of Representatives a report certifying that a significant increase in operational effectiveness will be achieved.	Target Delivery Date to Congress is Fall 2008

iv: Schedule of Authorized/Unauthorized Appropriations by PPA

**Department of Homeland Security
Domestic Nuclear Detection Office**

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

Budget Activity				
	Last Year of Authorization	Authorized Level	in Last Year of Authorization	FY 2010 Request
	Fiscal Year	Amount	Amount	Amount
Management and Administration	\$0	\$0	\$0	\$39,599
Research, Development and Operations	\$0	\$0	\$0	\$326,537
Systems Engineering and Architecture	0	0	0	25,648
Systems Development	0	0	0	100,000
Transformational R&D	0	0	0	110,000
Assessments	0	0	0	32,616
Ops	0	0	0	38,573
Forensics	0	0	0	19,700
Systems Acquisition	\$0	\$0	\$0	0
Radiation Portal Monitors Program	0	0	0	0
Securing the Cities	0	0	0	0
Human Portal Radiation Detector Systems	0	0	0	0
Total Direct Authorization/Appropriation	\$0	\$0	\$0	\$366,136

Department of Homeland Security

Domestic Nuclear Detection Office

Management and Administration



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

DOMESTIC NUCLEAR DETECTION OFFICE MANAGEMENT AND ADMINISTRATION

I. Appropriation Overview

A. Mission Statement for Management and Administration:

The Domestic Nuclear Detection Office (DNDO) is the lead agency within the Department of Homeland Security to integrate efforts across the Department in combating the threat of nuclear attack, and the lead departmental representative for all interagency activities to coordinate the U.S. Government's (USG) nuclear defense posture. Key to the success of the Department of Homeland Security (DHS) is improving the ability to mitigate risks across the entire threat spectrum. In recognition of the catastrophic risk posed by the use of a nuclear weapon within the United States, the Department has integrated all nuclear detection research, development, test, evaluation, and operational support into a single office. DNDO is dedicated to both the development and enhancement of the global nuclear detection architecture; acquisition and deployment support for the domestic detection system; coordination of effective sharing of nuclear detection-related information; the coordination of nuclear detection research and development; the establishment of procedures and training for end users of nuclear detection equipment; and national-level integration, development, and advancement of an enduring national nuclear forensics capability.

The Management and Administration (M&A) appropriation provides for the management and administrative support to accomplish that goal. M&A includes all costs related to Federal personnel, including detailees from other organizations. In addition, M&A provides the material support for DNDO personnel, such as facilities, supplies and materials, and administrative needs such as information technology (IT) equipment and support. Finally, most of the Working Capital Fund (WCF) is included within the M&A request.

B. Budget Activities:

As a jointly-staffed office, the DNDO staff presently consists of 130 DNDO Federal staff positions, which consist of approximately 28 detailees. Beginning in FY 2007, DNDO agreed to reimburse parent organizations for detailed staff. Additionally, the M&A request includes all DNDO rent payments and contributions to the DHS Working Capital Fund (WCF). Beginning in FY 2009 the DNDO planned staffing level 130, of which 130 will be full-time equivalent (FTE) staff. FY 2010 staffing reflects the fully annualized level of staffing at 130 FTEs.

An additional adjustment to M&A will be to assign procurement operations costs directly to the contracting activity and collected under all three DNDO apportionments (M&A, RD&O and Acquisition) to effectively capture the full costs of each contracting activity and vendor activity. Assignment of the procurement costs directly to the contracting funds allocations provides an enhanced efficiency in planning and capturing lifecycle costs by program activity. The present process is to fund the cost of procurement operations from M&A for expediency

purposes. Nevertheless, the need to move the costs of procurement operations will provide accurate understanding of the contracting costs of the program and will increase the efficiency of the financial execution.

Even though the costs of procurement operations are being moved to the programs, the M&A budget requirements increase with the costs associated with the WCF, annualized personnel payroll and benefits and GSA rental costs. In fact, the funding requirements equate to an 8% increase. Additionally, with the growth of personnel and program support there are additional space requirements that will be incurred in, or before, FY 2010.

C. Budget Request Summary:

The Domestic Nuclear Detection Office requests 130 FTE, 130 full-time positions and \$39,599,000 for FY 2010 Management and Administration. The total adjustments-to-base is 0 FTE and an increase of \$2,099,000. There are no program increases requested.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Domestic Nuclear Detection Office
Management and Administration**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Management	121	31,305	130	37,500	130	39,599	---	2,099	(130)		130	2,099
Subtotal, Enacted Appropriations and Budget Estimates	121	\$31,305	130	\$37,500	130	\$39,599	---	\$2,099	(130)		130	\$2,099
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	121	\$31,305	130	\$37,500	130	\$39,599	---	\$2,099	(130)	\$0	130	\$2,099

III. Current Services Program Description by PPA

Department of Homeland Security
Domestic Nuclear Detection Office
Management and Administration
Program Performance Justification

(Dollars in thousands)

PPA: Management and Administration

	Perm Pos	FTE	Amount
2008 Actual	130	121	\$31,305
2009 Enacted	144	130	37,500
2010 Adjustments-to-Base	---	0	2,099
2010 Current Services	144	130	39,599
2010 Program Change	---	---	---
2010 Request	144	130	39,599
Total Change 2009-2010	---	0	2,099

DNDO requests 130 positions, 130 full time equivalents (FTE), and \$39.599 million for FY 2010. This is an increase of \$2.099 million over FY 2009 for annualization of FY 2009 part year funding, annualization of FY 2008 increases, GSA rent, and Working Capital Fund adjustments.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Management and Administration (M&A) funds the administration of the Domestic Nuclear Detection Office. The M&A request provides for the execution of salaries, benefits, and expenses related to 130 positions and 130 FTE, an increase of 0 positions and 0 FTE over FY 2009 request levels.

Beginning in late FY 2007, DNDO initiated an internal review resulting in a realignment of activities and personnel to better reflect its full range of missions and customers. The M&A request provides the material support for DNDO personnel, such as facilities, supplies and materials, and administrative needs like information technology (IT) equipment and support. With the exception of the Office of Procurement Operations costs for managing the DNDO procurements, DNDO contributions to the DHS Working Capital Fund (WCF) are included within the M&A request.

IV. Program Justification of Changes

Not applicable.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Domestic Nuclear Detection Office
Justification of Proposed Changes in Management and Administration
Appropriation Language**

For salaries and expenses of the Domestic Nuclear Detection Office and for management and administration of programs and activities, [37,500,000] **\$39,599,000**; Provided, that not to exceed \$3,000 shall be for official reception and representation expenses. (Department of Homeland Security Appropriations Act, 20[09]**10**).

Explanation of Changes:

B. FY 2009 to FY 2010 Budget

**Department of Homeland Security
 Domestic Nuclear Detection Office
 Management and Administration
 FY 2009 to FY 2010 Budget Change
 (Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actuals.....	130	121	31,305
2009 Enacted.....	130	130	37,500
Adjustments-to-Base (ATBs)			
Increases			
Annualization of 2009 pay raise.....			149
2010 pay increase.....			294
GSA Rent.....			741
Working Capital Fund Increase.....			915
Total ATBs.....			2,099
2009 Current Services.....			39,599
2010 Request.....		130	39,599
2009 to 2010 Total Change.....		---	2,099

C. Summary of Requirements

**Department of Homeland Security
Domestic Nuclear Detection Office
Management and Administration**
Summary of Requirements
(Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual		121	\$31,500
2009 Enacted		130	37,500
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	---	---	---
Increases	---	---	2,099
Decreases	---	---	---
Total Adjustments-to-Base		---	2,099
2010 Current Services		130	39,599
Program Changes (See "FY 2008 to FY 2009 Budget Change" for details)		---	---
2010 Total Request		130	39,599
2009 to 2010 Total Change		---	2,099

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Management and Administration	130	130	37,500	---	---	2,099	---	---	---	130	130	39,599	---	---	2,099
Total	130	130	\$37,500	---	---	\$2,099	---	---	\$0	130	130	\$39,599	---	---	\$2,099

Note:

D. Summary of Reimbursable Resources

Not applicable

E. Summary of Requirements By Object Class

**Department of Homeland Security
Domestic Nuclear Detection Office
Management and Administration**
Summary of Requirements by Object Class
(Dollars in Thousands)

Object Classes	FY 2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$7,606	\$13,466	\$15,417	\$1,951
11.3 Other than full-time permanent	311	100	---	(100)
11.5 Other Personnel Compensation	60	533	869	336
11.8 Special Service Pay				---
12.1 Benefits	2,034	3,776	4,636	860
13.0 Benefits - former				---
Total, Personnel Comp. & Benefits	\$10,011	\$17,875	\$20,922	\$3,047
Other Object Classes:				
21.0 Travel	149	331	400	69
22.0 Transportation of things		37	37	---
23.1 GSA rent	334	4,082	4,823	741
23.2 Other rent				---
23.3 Communications, utilities, & other misc. charges		28	28	---
24.0 Printing and reproduction		15	15	---
25.1 Advisory and assistance services				---
25.2 Other services	1,063	8,072	6,175	(1,897)
25.3 Purchases of goods & svcs. from Gov't accounts	18,786	4,768	4,877	109
25.4 Operation & maintenance of facilities	275	1,082	1,093	11
25.5 Research and development contracts				---
25.6 Medical care				---
25.7 Operation and maintenance of equipment	185	61	62	1
25.8 Subsistence and support of persons	---	---	---	---
26.0 Supplies and materials	246	317	327	10
31.0 Equipment	256	832	840	8
99.0 Other	---	---	---	---
Total, Other Object Classes	\$21,294	\$19,625	\$18,677	(\$948)
Total, Direct Obligations	\$31,305	\$37,500	\$39,599	\$2,099
Unobligated balance, start of year				
Unobligated balance, end of year				
Recoveries of prior year obligations				
Total requirements	\$31,305	\$37,500	\$39,599	2,099

F. Permanent Positions by Grade

**Department of Homeland Security
Domestic Nuclear Detection Office
Management and Administration
Permanent Positions by Grade**

Grades and Salary Ranges	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
	Pos.	Pos.	Pos.	Total
Total, SES	7	7	7	---
Total, EX	---	---	---	---
GS-15	64	64	64	---
GS-14	32	32	32	---
GS-13	5	5	5	---
GS-12	1	1	1	---
Other Graded Positions	11	11	11	---
Ungraded Positions	10	10	10	---
Total Permanent Positions	130	130	130	---
Unfilled Positions EOY				
Total Perm. Employment EOY				
FTE	130	130	130	---
Headquarters	130	130	130	---
U.S. Field				---
Foreign Field				---
Total Permanent Positions	130	130	130	---
Average ES Salary	\$ 157,206	\$ 161,922	\$ 165,970	\$ 4,048
Average GS Salary	\$ 107,647	\$ 116,086	\$ 124,888	\$ 8,802
Average GS Grade	15.00	15.00	15.00	---

G. Capital Investment and Construction Initiative Listing

Not applicable.

H. PPA Budget Justifications

**Department of Homeland Security
Domestic Nuclear Detection Office
Management and Administration**

Funding Schedule
(Dollars in Thousands)

PPA: PPA Name		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
11.1	Perm Positions	\$7,606	\$13,466	\$15,417	\$1,951
11.3	Other than perm	311	100	---	(100)
11.5	Other per comp	60	533	869	336
11.8	Spec Srvc Pay				---
12.1	Benefits	2,034	3,776	4,636	860
13.0	Benefits-former				---
21.0	Travel	149	331	400	69
22.0	Transportation of things		37	37	---
23.1	GSA rent	334	4,082	4,823	741
23.2	Other rent				---
23.3	Communication, Utilities, and misc charges		28	28	---
24.0	Printing		15	15	---
25.1	Advisory & Assistance Services				---
25.2	Other Services	1,063	8,072	6,175	(1,897)
25.3	Purchase from Govt. Accts.	18,786	4,768	4,877	109
25.4	Operation & maintenance of facilities	275	1,082	1,093	11
25.5	Research & Development				---
25.6	Medical care				---
25.7	Operation & maintenance of equipment	185	61	62	1
26.0	Supplies & materials	246	317	327	10
31.0	Equipment	256	832	840	8
Total, Management and Administration		\$31,305	\$37,500	\$39,599	\$2,099
Full Time Equivalents		121	130	130	---

PPA Mission Statement

Under the direction of NSPD-43/HSPD-14, the mission of Domestic Nuclear Detection Office (DNDO) is to address the broad spectrum of radiological and nuclear protective measures through the development of the global nuclear detection architecture; the deployment of the domestic detection system to detect and to report attempts to import or to transport a nuclear device or fissile or radiological material intended for illicit use; the coordination of nuclear detection research and development on a government-wide scope; and the establishment of procedures and training for the end users of the deployed equipment.

The Management and Administration (M&A) appropriation provides for the management and administrative support of that goal. M&A includes all costs related to Federal personnel, including detailees from other organizations. The M&A appropriation accounts for the funding that assists in the achievement of DNDO's mission through the maintenance of an operations level that provides facilities, supplies and materials, IT equipment and administrative support. DNDO's contributions to the DHS Working Capital Fund (WCF) are included within the M&A request.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Salaries and Benefits	\$10,011	\$17,875	\$20,922	\$3,047

Salaries and Benefits includes costs for 130 FTEs. The FY 2010 request includes an increase of \$3,047,000 for the personnel compensation and benefits.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$149	\$331	\$400	\$69

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2009 request includes increases of \$1,829,000 in non-pay inflation increases.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Transportation of Things	\$334	\$37	\$37	\$0

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2010 request of 37,000 is the same as FY 2009. The funding will be used to finance the transportation of furniture and other household goods associated with the rotation of overseas employees and the permanent change of station or relocation of domestically based DHS federal employees.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
GSA rent	\$334	\$4,082	\$4,823	\$741

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2010 request includes increases of \$741,000 in non-pay inflation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Communication, Utilities, and miscellaneous char	\$0	\$28	\$28	\$0

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2010 request of 28,000 is the same as the FY 2009 request.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Printing	\$0	\$15	\$15	\$0

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2010 request includes an increase of \$15,000 in non-pay inflation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Other Services	\$1,063	\$8,072	\$6,175	(\$1,897)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2010 request includes a decrease of \$1,897,000 in non-pay program decreases.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Purchase from Government Accounts	\$18,786	\$4,768	\$4,877	\$109

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. In FY 2008 this account also included rent. The FY 2010 request includes an increase of \$2,088,000 in non-pay inflation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Operation & maintenance of facilities	\$275	\$1,082	\$1,093	\$11

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 request includes an increase of \$11,000 in non-pay inflation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Operation & Maintenance of equipment	\$185	\$61	\$62	\$1

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request includes an increase of \$1,000 in non-pay inflation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Supplies & materials	\$246	\$317	\$327	\$10

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2010 request includes a \$3,000 in non-pay inflation program increase.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$256	\$832	\$840	\$8

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request includes increases of \$8,000 in non-pay inflation.

I. Changes In FTE

Not applicable.

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity

Department of Homeland Security Domestic Nuclear Detection Office Management and Administration FY 2010 Schedule of Working Capital Fund by Program/Project Activity (Dollars in Thousands)				
Program/Project Activity	FY 2008 Actual	FY 2009 Enacted	FY 2010 Requested	Increase / Decrease for FY 2010
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Management and Administration	13,860	14,917	15,832	\$915
Total Working Capital Fund	\$13,860	\$14,917	\$15,832	\$915

**Department of
Homeland Security**
Domestic Nuclear Detection Office
Research, Development and Operations



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

DOMESTIC NUCLEAR DETECTION OFFICE RESEARCH, DEVELOPMENT, AND OPERATIONS

I. Appropriation Overview

A. Mission Statement for Research, Development, and Operations:

The mission of the Department of Homeland Security's (DHS) Domestic Nuclear Detection Office (DNDO) is to improve the Nation's capability to deter, detect and report attempts to import, possess, store, develop, or transport nuclear or radiological material for use against the Nation, and to further enhance this capability over time. DNDO was established by National Security Presidential Directive (NSPD)-43 and Homeland Security Presidential Directive (HSPD)-14 to provide a focal point addressing the broad spectrum of radiological and nuclear (rad/nuc) protective measures. Title V of the SAFE Port Act of 2006 (P.L. 109-347) directs DNDO to "serve as the primary entity of the United States Government (USG) to further develop, acquire, and support the deployment of an enhanced domestic system to detect and report on attempts to import, possess, store, transport, develop, or use an unauthorized nuclear explosive device, fissile material, or radiological material in the United States, and improve that system over time." DNDO is responsible for the engineering development of all the current and next generation of nuclear detection systems (and associated materials development and facilitation). DNDO is also responsible for integrating, advancing, and stewarding national nuclear forensics capabilities amongst the Departments of Defense, Energy, and Justice.

To more effectively carry out its goals and objectives, in late fiscal year (FY) 2007 DNDO initiated an internal review and realignment of activities and personnel to better reflect its full range of missions and customers, and to ensure an optimum merger of user requirements with capability development. At the foundation of this mission space construct is the global nuclear detection architecture (GNDA) delineation of geographic layers (exterior, border, interior, and crosscutting) and threat pathways (air, land, and sea). DNDO formed the Mission Management Directorate (MMD) to ensure an increased understanding of the Federal, state, and local entities with the primary operational responsibility for each pathway forge a more effective linkage between their user requirements and DNDO's technology and operational capability development efforts.

The four mission areas to which DNDO has aligned activities, and the scope of activity addressed by each mission area, are described below:

The *land borders mission area* encompasses all official road and rail ports of entry (POEs), as well as land border checkpoints and illicit traffic between the official POEs. Road POE rad/nuc scanning focuses on cargo, pedestrians, and privately-operated vehicles (POVs). Current rail POE efforts will address the scanning of cargo.

The *aviation mission area* addresses all threat pathways involving civil air transport – both commercial operations and general aviation. Rad/nuc threats may be transported via air as a prelude to an attack elsewhere, or the actual attack involving a rad/nuc threat device may be

executed and delivered directly by air. Rad/nuc detection capabilities must address the scanning of air cargo, aviation passengers and their baggage, as well as the aircraft and crew.

The *maritime mission area* addresses the scanning of people, cargo, vessels, and other conveyances at seaports of entry and on seas, oceans, or other navigable waterways within U.S. Federal, State, local and tribal law enforcement jurisdiction. All vessels, including container ships, commercial fishing boats, tug boats, barges, commercial tour boats, cruise ships, tankers, bulk cargo ships, and privately owned/operated pleasure craft and sailboats, within the defined maritime domain may be exploited by terrorists to transport illicit rad/nuc material.

The *interior mission area* comprises all detection opportunities within U.S. border.

The *Mission Management Directorate* (MMD) is responsible for coordinating the development of mission area plans addressing the pathways outlined above. The *mission support* role is to interface directly with Federal, State, and local stakeholders to gather rad/nuc technology and operational capability requirements and provide these requirements to the transformational research, systems development, and operations support activities within DNDO.

DNDO is committed to ongoing interaction with Federal, state, and local groups throughout the full range of systems development efforts, which include all necessary systems engineering and test and evaluation needs. In addition, DNDO will develop training and exercises specific to user groups and technologies. As a complement to the activities of these mission areas, DNDO will continue transformational research and development programs, the enhancement of a technical nuclear forensics capability, and a full range of mission support efforts such as systems engineering, test and evaluation infrastructure, red teaming and net assessments, architecture studies, and operations support activities, including technical reachback.

The Research, Development, and Operations (RD&O) request identifies resources required for research, systems development, and all required mission and operations support activities.

B. Budget Activities:

Systems Engineering and Architecture:

All programs and mission areas require the implementation of a strong and disciplined systems engineering approach. Systems engineering is integral to program support, and includes areas such as risk management, configuration control, requirements development, and technical evaluation and analysis. Systems engineering is also a key component of test and evaluation efforts, providing the basis for the development of test strategies and plans, definition of test schedules, generation of test requirements, selection of appropriate test venues and equipment, support of test implementation, and reporting of test results. In addition, DNDO has established the Graduated Rad/Nuc Detector Evaluation and Reporting (GRaDER), a program to ensure independent and consistent testing of radiation detectors for the private sector.

At the core of all DNDO activities is the systems architecture function: determining gaps and vulnerabilities and then formulating recommendations and plans to develop an enhanced architecture.

By intensively studying the multi-layered structure of the rad/nuc detection architecture, a well-defined and carefully coordinated network of interrelationships is understood and developed.

The Joint Annual Interagency Review of the GNDA gives rise to critical projects across all DNDO mission areas and the U.S. Government. DNDO Systems Architecture efforts are focused on developing an enhanced GNDA, including both domestic and international components. The global architecture comprises several key elements: a multi-layered structure of rad/nuc detection systems, deployed both domestically and overseas; a well-defined and carefully coordinated network of interrelationships among them; and a set of systems engineering-based principles and guidelines governing the architecture's design and evolution over time.

Near-term (FY 2008-FY 2010) RD&O priorities for systems engineering and architecture are:

- Develop Technical Capability Standards for handheld, transportable, and mobile rad/nuc detection equipment, non-intrusive inspection systems, and for radiation portal monitors.
- Participate in the development of national and international standards for rad/nuc detection equipment.
- Complete an overarching strategic plan for the GNDA and continually update the architecture gap and risk analyses.
- Conduct international country and regional studies that outline the characteristics and potential vulnerabilities of a country or region's rad/nuc capabilities.
- Conduct maritime architecture studies to characterize PRND opportunities both domestically and overseas.
- Conduct domestic interior PRND studies for the "Green Border" States along the Mexican and Canadian borders, identify gaps and develop mitigation strategies.
- Continue to develop a cooperative and integrated effort with DOD to assure an interagency program to advance the strategic vision for a GNDA by leveraging the DNDO GNDA.
- Continue to refine the GNDA to effectively address the risk from the commercial and general aviation pathways by gathering relevant data and conducting analyses in a coordinated manner which supports the efforts of other stake holders. Efforts will include focus on continuing development of overseas scanning options as well as addressing the domestic aviation pathway.

Systems Development:

DNDO Systems Development programs serve as the rad/nuc detection product improvement component within DNDO, taking concepts for new detection systems from exploratory research into a level of maturity sufficient for later production and deployment. Systems Development activities include engineering development and all developmental logistics products associated with the current and next generation of nuclear detection systems. Product lines include radiation portal monitors (and associated materials development and facilitation), radiography (which includes non-intrusive inspection, or NII), human-portable systems.

Near-term (FY 2008-FY 2010) RD&O priorities for systems development are:

- Develop a rad/nuc scanning capability to address cargo entering the country from Canada and Mexico via rail.
- Develop next-generation radiography systems that can automatically detect materials that could be used to shield special nuclear materials.
- Develop next-generation human-portable and mobile rad/nuc detection systems to improve presently-deployed capabilities at our Nation's borders and airports.
- Continue the field evaluation of Commercial-Off-The-Shelf (COTS) detectors and Concept of Operations (CONOPS) validation for non-POE land borders.
- Continue the support of crosscutting and enabling functions such as algorithm improvements, and quality control, management, and communication of data.
- Develop solutions for scanning international general aviation aircraft, passengers, and their baggage at "gateway" airports to protect against the aforementioned "direct-to-target" scenario.
- Develop and evaluate rad/nuc detection technologies (human-portable, boat-mounted, and airborne detectors) to address the "detection at sea" mission.
- Develop and implement, at seaport terminals that have on-dock rail transfer capabilities, technologies to scan cargo that is transferred directly from ship to rail and exits the terminal by train.

Assessments:

The DNDO research and development process is anchored by a critical assessment of technologies as they are developed, deployed, and implemented, as well as a continual assessment of the global nuclear detection and reporting architecture, through a variety of means. Mission-specific research, development, and acquisition programs are supported by test and evaluation (T&E) campaigns to characterize technologies and systems, red teaming assessments to deepen the understanding of adversary capabilities, and net assessments to identify the effectiveness of the planned and deployed global nuclear detection and reporting architecture.

In addition to the above activities, DNDO has established a Pilots Execution Division to oversee the execution of all pilots – activities planned as operational tests or trials to inform that serve as a tentative model for future development or deployment decisions. While DNDO's other test campaigns (mentioned above) are intended to evaluate the technical performance of detection technologies in controlled environments, pilot programs allow DNDO to conduct limited deployments of new CONOPS or emerging rad/nuc detection technologies in existing operational environments, or alternately, existing CONOPS or technologies in new operational environments. These pilots provide an assessment of the process, equipment, and/or system to support PRND mission objectives and customer/stakeholder requirements. Pilots are a tool for DNDO to identify and leverage lessons learned that will reduce the risk of full scale deployments, enhance the impact of limited and competing resources, and expedite the deployment of the GNDA, increasing the Nation's ability to respond to the rad/nuc threat.

Near-term (FY 2008-FY 2010) RD&O priorities for assessments are:

- Conduct Net Assessments and Red Teaming evaluations that enable DNDO programs to enhance the integration of international, Federal, State, tribal, local, first responders, and other mission partners with DNDO PRND efforts.
- Complete the Rad/Nuc Countermeasures Test and Evaluation Complex (RNCTEC) facility in FY 2009. This facility that will be the premier national test facility for DNDO and other agencies to conduct passive and active radiation detection, and radiography testing.
- Conduct RNCTEC Operational and management activities following startup completion.
- Retain radiation experts to assist in test planning and analysis and to ensure independent and technically defensible T&E campaigns.
- Produce rad/nuc sources for all DNDO testing programs.
- Conduct T&E activities each year to support each DNDO mission area, and enhance testing infrastructure at the testing sites as required.

National Technical Nuclear Forensics:

Nuclear forensics is one of the three pillars along with intelligence and law enforcement investigations that are critical to the ability to attribute the source of nuclear material. In the event of a rad/nuc incident or interdiction in the United States, the technical questions raised during an investigation are partially answered through nuclear forensics.

Current nuclear forensics capabilities are built upon a foundation from the Cold War, which addressed nuclear weapons development and testing, arms control monitoring, and intelligence activities. The imperative to modernize and advance these capabilities came into sharp focus after the 9/11 attacks. Nuclear forensics, in response to a disrupted or actual attack, will be called upon to help answer the questions about the identification of the source of materials, reducing uncertainties, and reducing the time required to reach technical conclusions. In order to address this threat, the Presidential Directive, “National Technical Nuclear Forensics,” was issued and established roles and responsibilities of six federal organizations. The Secretary of Homeland Security was directed to establish within DNDO the National Technical Nuclear Forensics Center (NTNFC). Nuclear forensics priorities are focused squarely on technological advances, international cooperation, interagency integration, and exercising to assure readiness.

At the same time, the strategic landscape is in a state of flux, directly impacting the nuclear forensics community. The nuclear weapons complex, which provides most of the facilities and expertise that is leveraged for NTNFC, is being reduced, and many of the senior experts are either retiring or moving on to more promising career paths. Furthermore, the academic pipeline that would provide the next generation of nuclear experts has withered and is currently in a state of extremis. Hence, DNDO is aggressively pursuing improvements to the academic pipeline with synchronized programs encompassing the DNDO mission space for nuclear detection and forensics.

Within the forensics landscape, DNDO is striving to advance the technical capabilities, integrate the partner agencies, and restore the academic pipeline to ensure an enduring national capability. In order to accelerate accomplishment of these goals, DNDO is planning to continue increasing its focus and resources in the nuclear forensics program in FY 2010. This will serve to not only more rapidly address the scientific challenges to improve pre-detonation materials forensics technology capabilities,

but at the same time to continue expanding our efforts to restore the nuclear forensics expertise pipeline, across the spectrum from the most junior (e.g., student internships fellowships, and retaining/recruiting new faculty) to the most senior (e.g., engaging and retaining the expert laboratory forensic scientists through a stable and sufficient R&D program). The expertise pipeline program relies on a measured approach, building on the initial efforts launched in FY 2008 and FY 2009 and gauging performance in step with the expansion.

Near term (FY 2008-FY 2010) RD&O priorities for National Technical Nuclear Forensics are:

- Accelerate the development and advancement of technological capabilities to perform nuclear forensics on pre-detonation rad/nuc materials with a focus on discovery of new material signatures and new tools, models and methods to evaluate forensic data.
- Foster and advance a fully integrated interagency NTNF enterprise by leading joint planning activities to include a senior level Steering Committee, Executive Council, Joint Program Review teams, and leading interagency exercises and corrective actions follow-up activities.
- Expand and direct essential activities to reinvigorate university programs, faculty and students in nuclear forensics-related specialties, while restoring the national laboratory expertise pipeline and workforce to include summer internships, undergraduate opportunities, Ph.D. student fellowships, post-doctoral fellowships, and university research programs and faculty awards.
- Advance established international partnerships in nuclear forensics and develop new cooperative relationships working closely with the State Department, the Department of Energy and NTNF partner agencies through initiatives such as the Global Initiative to Combat Nuclear Terrorism, the International Technical Working Group on Nuclear Smuggling, and the international nuclear forensics Model Action Plan.

Transformational Research and Development:

DNDO has established a transformational research and development (TR&D) program to identify, explore, develop, and demonstrate scientific and technological approaches that meet one or more of the following criteria: address gaps in the GNDA, dramatically improve the performance of nuclear detection components and systems, or significantly reduce the operational burden of rad/nuc detection. Dramatic technological improvements may include improvements in system or component effectiveness and performance characteristics; reduction in cost of acquisition or maintenance; or reduction of operational burden by users in the field. R&D investments are made based on competitive awards, with investigators in all sectors – government laboratories, academia, and private industry – encouraged to participate. This program takes advantage of the qualities and respective advantages of all three sectors to develop products, and teaming among them is encouraged. TR&D is carried out within three major programs: Exploratory Research, the Academic Research Initiative, and Advanced Technology Demonstrations.

Toward the goals of improving nuclear detection capabilities, addressing enduring vulnerabilities, or reducing the operational burden of rad/nuc detection, exploratory efforts in radiation detection materials research and development over the last several years have yielded several very promising materials. These new materials have shown significant improvement over the current materials with respect to the key metrics: sensitivity, energy resolution, manufacturability, and cost. The increase in

FY 2010 will further these efforts to accelerate the material optimization, production techniques, and establish a low rate production capability for this material. The definitive outcome of this initiative would be that much higher performing detection devices would become commercially affordable. This could have a tremendous impact on the ability to detect radiation threat sources.

TR&D is engaged in long-term R&D with projects that span several years. The TR&D activity is robust, long-term, stable, and annually refreshed. Therefore, continuation of programs is a necessary and positive indication of progress.

Near term (FY 2008-FY 2010) RD&O priorities for TR&D are:

- Create new advanced technology demonstration (ATD) programs every year as programs build on past success. Continue to initiate 1 ATD per year with a performance period of 2 to 3 years per ATD with transitions throughout FY 2009 and FY 2010.
- Refresh the exploratory research (ER) projects each year including elimination of less promising concepts for new ones at a reasonable rate is vital for a robust program. Continue a strong ER program, exploring innovative, high-risk, early-stage, new ideas that can make a transformational contribution to DNDO mission of reducing the risk of nuclear terrorism.
- The Academic Research Initiative (ARI) is meant to be stable over many years so continuation and constant funding is desirable. Continue the ARI to engage the academic community in DNDO research goals, building a community dedicated to solving long-term, high-risk research issues and to develop the next generation of researchers in nuclear detection technology.

Operations Support:

DNDO operations support efforts enhance DNDO's situational awareness of the rad/nuc landscape and the GNDA, while directly facilitating the technical adjudication of rad/nuc incidents. Through these activities, DNDO provides actionable analytical and intelligence assessment products for operational decision makers. DNDO also works directly with law enforcement and other Federal partners to determine indicators of nuclear terrorism and recommend response or interdiction. Additionally, DNDO develops and maintains information sharing capabilities and analytical tools necessary to create an integrated operating system to be used by Federal, State, local, and tribal law enforcement agencies, as well as the larger intelligence and counterterrorism communities. A central operations support capability is the Joint Analysis Center (JAC), a 24/7 DNDO information and analysis hub that provides for situational awareness of the deployed nuclear detection architecture, rapid information reporting, and facilitation of technical support for alarm adjudication and resolution. The JAC relies on the Technical Reachback Program (TRB) to provide expert advice and analysis in support of detection operations and the Nuclear Assessment Program (NAP) to maintain awareness of the nuclear threat and illicit trafficking, and to support the Federal government with rapid analysis of communicated threats. While these operations support activities require DNDO to closely interact with the Intelligence Community, DNDO does not act as an intelligence collection agency. In addition, DNDO does not provide command or control functions over detection and response assets, but provides critical support to entities which have these responsibilities and authorities.

Near term (FY 2008-FY 2010) RD&O priorities for Operations Support are:

- Maintain situational awareness of the Global Nuclear Detection Architecture (GNDA).
- Analyze information from the GNDA and share data with the Community (ies) of Interest to make the GNDA more effective.
- Ensure that detection leads to an appropriate response by local or Federal hazmat and law enforcement.
- Conduct engagements with State and local communities to increase awareness, partnerships, and capabilities.
- Build the appropriate support assets for State, local, and other Federal partners. Existing foundational programs, such as training, exercises, and facilitated on-site program assistance will be expanded to include a broader range of customers, evolving risks and vulnerabilities, technologies, and proven operational concepts.
- Complete the initial operating capability of the JAC Collaborative Information System (JACCIS).

C. Budget Request Summary:

The Domestic Nuclear Detection Office requests \$326.537 million for FY 2010 Research, Development, and Operations, an increase of \$3.337 million over the FY 2009 Enacted level.

An internal review of the DNDO financial, mission and program management was conducted in 2007 per the “Implementing Recommendations of the 9/11 Commission Act of 2007” (P. L. 110-53, Section 1103), calling for the preparation of a Joint Annual Review of the Global Nuclear Detection Architecture (GNDA). Consequently, DNDO initiated an internal adjustment of the management of projects and activities to better reflect the missions and customers of DNDO in the context of the GNDA.

Prior to this managerial adjustment, DNDO focused on the research, development and eventual deployment of specific products and technologies, such as the Advanced Spectroscopic Portal (ASP) as the focus of addressing the nuclear threat. The nuclear threat, however, is multifaceted and requires DNDO to be more flexible and comprehensive as it addresses rad/nuc detection in various pathways as outlined in the GNDA. As a result, the solution sets have evolved to more effectively support the detection and prevention efforts in the threat layers as described in the GNDA. DNDO is effectively executing the cross-agency coordination by integrating the mission area end-user requirements into DNDO planning and activities. In accordance with the expression of Congress, this budget for DNDO is submitted in the same account structure as previously appropriated. The previous structure had been designated as DNDO was created as an organizational element within DHS. The evolution of its budget and program management from technological and product focus to a mission area orientation is a practical evolution demonstrative of its responsiveness to the Nation’s needs.

To better align the financial and program management, DNDO requests a new budget structure be considered and adopted so that DNDO management can:

- increase the transparency of DNDO’s financial planning and program management as it crosswalks its planned programs and activities to the requirements of mission area customers;

- better facilitate the reporting of financial and program performance along both the mission and program and product areas; and
- improve DNDO's efforts to be results-oriented as it correlates DNDO budgets with its goals and refines its performance-based budgeting.

II. Summary of FY 2010 Budget Estimates by Program, Project and Activity (PPA)

Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development and Operations
 Summary of FY 2010 Budget Estimates by Program/Project Activity
 (Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Systems Engineering and Architecture	---	21,918	---	25,147	---	25,448	---	301	---	---	---	301
Systems Development	---	100,087	---	108,100	---	100,000	---	(8,100)	---	---	---	(8,100)
Transformational R&D	---	86,942	---	103,300	---	110,537	---	7,237	---	7,237	---	
Assessments	---	32,446	---	32,000	---	32,416	---	416	---		---	416
Operations	---	32,710	---	37,753	---	38,436	---	683	---	---	---	683
Forensics	---	14,122	---	16,900	---	19,700	---	2,800	---	2,800	---	
								---		---		---
Subtotal, Enacted Appropriations and Budget Estimates	---	288,225	---	323,200	---	326,537	---	3,337	---	10,037	---	(6,700)
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	---	\$288,225	---	\$323,200	---	\$326,537	---	\$3,337	---	\$10,037	---	(\$6,700)

III. Current Services Program Description by PPA

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development and Operations
Program Performance Justification
(Dollars in thousands)**

PPA: SYSTEMS ENGINEERING AND ARCHITECTURE

	Perm Pos	FTE	Amount (\$k)
2008 Actual	---	---	21,918
2009 Enacted	---	---	25,147
2010 Adjustments-to-Base	---	---	301
2010 Current Services	---	---	25,448
2010 Program Change	---	---	0
2010 Request	---	---	25,448
Total Change 2009-2010	---	---	0

DNDO requests \$25.448 million for this activity. There is an increased adjustment to base of \$.301 million over the FY 2009 enacted level.

CURRENT SERVICES PROGRAM DESCRIPTION:

The DNDO systems engineering and architecture programs are (1) developing, implementing, and supporting a disciplined systems engineering approach throughout DNDO, and (2) enhancing the GNDA, including both domestic and international components.

Systems Engineering Program: DNDO is committed to the successful implementation of its founding principal of establishing and putting into practice a strong and disciplined systems engineering approach in achieving an integrated and balanced global nuclear detection solution. DNDO's systems engineering program provides integral support to program areas and establishes and documents clear and measurable rad/nuc detection and identification requirements. This program also leads the establishment of rad/nuc detection standards.

Pursuant to the SAFE Port Act of 2006, DNDO is responsible for developing Technical Capability Standards for non-intrusive imaging and radiation detection systems. The objective of the DNDO Standards Program is to ensure all radiation detection standards are based on the actual threat. By ensuring a threat basis for standards, the Standards Program directly or indirectly supports all DNDO programs for acquisition, research and development.

Initial standards will be government-unique standards that will use classified information on rad/nuc threats as a basis. The approach is to develop a technical capability standard for each category of detection systems. As appropriate, the program will then support the modification of existing consensus standards to include the government-unique standard information. The Technical Capability Standard will also provide a basis for DNDO to work with DOE's National Nuclear Security Administration (NNSA) to develop unclassified test objects that are consistent with the threat-based

requirements. In collaboration with the National Institute of Standards and Technology (NIST), DNDO has formed an interagency working group and commenced work on developing the Technical Capability Standards, with a goal of publishing the first standard in 2009.

In addition to having responsibility for the Technical Capability Standards, DNDO is responsible for supporting the development of national and international rad/nuc detection consensus standards. The DNDO consensus standards program will:

- Review present standards for currency and revision as needed; identify those areas requiring development of new standards.
- Provide the support needed to maintain the current Internet access to rad/nuc ANSI standards under DNDO responsibility.
- Provide modeling development and analysis necessary for definition and establishment of criteria, parameters, and specifications for existing and proposed standards.
- Support U.S. participation at related international standards development meetings to ensure U.S. concerns are represented in the international community, and that U.S. standards reflect existing international efforts.

DNDO also provides systems engineering and evaluation support to specific DNDO programs in areas such as standard systems engineering documentation, adaptation of CONOPS, systems capabilities matrices, and test campaigns. These systems engineering activities are included in the Systems Development PPA as a part of the programs that receive this support.

Accomplishments in Mission Support:

Significant accomplishments in FY 2008 include:

- Developed a draft, threat-based Technical Capability Standard for handheld rad/nuc detectors.
- Provided 2,381 rad/nuc consensus standards to vendors requested through the Institute of Electrical and Electronics Engineers, Inc.(IEEE) website on standards.

FY 2009 planned accomplishments include:

- Achieve interagency concurrence on a Technical Capability Standard for handheld rad/nuc detectors.
- Created a working group to update the ANSO N42 rad/nuc data format standard..

FY 2010 planned accomplishments:

- Achieve interagency concurrence on Technical Capability Standards for transportable and mobile radiation detection systems and for radiation detection portal monitors.
- Work with CBP and other key stakeholders to begin development of a Technical Capability Standard for rad/nuc detection by non-intrusive imaging systems.

Graduated Rad/Nuc Detector Evaluation and Reporting (GRaDER) Program: The rad/nuc detector industry continues to develop new technologies and enhancements to existing technology. Federal, State, and local technology users need accurate, objective, and unbiased performance testing

of this equipment to inform the development of their requirements. The pace of innovation and new products in the marketplace makes it prohibitive for the Federal government to continually conduct testing to ensure that rad/nuc detectors meet necessary performance standards. DNDO is mandated by Congress (SAFE Port Act of 2006) to implement a test and evaluation program to provide effectiveness information and metrics for evaluating preventive rad/nuc detection technology. The GRaDER program was established to provide vendor-funded performance testing against established standards. As such, partnership and collaboration with the Standards Program (discussed above) is a key element of the GRaDER framework. This testing framework can be accessed any time a vendor has a new technology, rather than waiting for a government-sponsored test.

In the first phase, the GRaDER Program established independent testing against ANSI N42 consensus standards established by industry and the government. The law also requires DHS to publish technical capability standards and standard operating procedures for the use of non-intrusive imaging and radiation detection equipment. The GRaDER program will integrate these technical capability standards into the next phase of the program as the Federal government's unique technical capability standards are developed. The GRaDER program, working with the NIST, uses the National Voluntary Laboratory Accreditation Program (NVLAP) to designate competent laboratories and assure independent and consistent testing of Commercial-Off-The-Shelf (COTS) radiation detection devices. Results of the GRaDER program will be made available to DHS components, other Federal agencies, and State, local and tribal law enforcement and first responder agencies. The ultimate objective is to enable informed procurement decisions, particularly in the use of grant funding.

Accomplishments in Mission Support:

Significant accomplishments in FY 2008 include:

- Initiated the GRaDER program in collaboration with NIST, the Federal Emergency Management Agency (FEMA), and the DHS Science and Technology (S&T) Directorate.
- Collaborated with NIST to begin NVLAP accreditation of labs.
- Published guidance on the DHS website to explain the program to laboratories, vendors and users and to provide information regarding participation in the program.
- Reviewed and accepted request from first accredited laboratory.

FY 2009 planned accomplishments:

- Initiate vendor-financed testing of COTS rad/nuc detection systems by NVLAP-accredited laboratory.
- Report results of testing against selected ANSI N42 standards to support the Authorized Equipment List from the FEMA Grant Program Office.
- Integrate at least two additional NVLAP-accredited or DNDO-accepted laboratories.
- Increase scope of laboratory testing of additional ANSI N42 standards in support of the GRaDER program.
- Execute outreach strategy to the vendor community to inform them of the availability, benefits, and protocols of the program.

FY 2010 planned accomplishments:

- Initiate testing against Technical Capability Standards.
- Integrate additional NVLAP-accredited or DNDO-accepted laboratories.
- Increase scope of laboratory testing in terms of additional ANSI N42 standards.
- Support NIST to conduct a GRaDER post-market surveillance program to ensure continued vendor compliance.
- Update information on previously tested instruments based on the NIST post-market surveillance program.
- Continue outreach to the vendor community.

Systems Architecture: DNDO develops time-phased strategies and plans for improving the probability of detecting and interdicting rad/nuc attacks. Plans are developed jointly with DNDO's intra- and interagency partners and in close coordination with relevant DNDO offices. These plans are focused on addressing the most important gaps in the existing GNDA. Studies and analyses are performed to characterize the gaps, identify options, evaluate the advantages and disadvantages of alternative solutions, and formulate time-phased plans for reducing risk. The time-phased aspect of the plans is important because it allows for the integration of current and near-term technologies and approaches, as well as longer-term options that may draw upon technologies that are currently in the R&D phase and that may not be available for implementation for several years.

The global architecture comprises several key elements: a multi-layered structure of rad/nuc detection systems (deployed both domestically and overseas), a well-defined and carefully coordinated network of interrelationships among them, and a set of systems engineering based principles and guidelines governing the architecture's design and evolution over time. The architecture will continue to assess threats by mission areas.

The principal focus of DNDO's systems architecture efforts since FY 2006, when the initial baseline architecture analysis was completed, has been to identify ways to address the largest gaps in the border layer—namely, air, maritime, and land pathways between designated POEs—and gaps in the interior layer. These efforts are summarized in the accomplishments by fiscal year. Going forward in FY 2009 and FY 2010, an additional focus will be to complete an overarching strategic plan for addressing gaps and monitoring progress across the entire GNDA. Architecture work will continue in four areas: International Architecture; Border Layer; Interior; and Modeling, Crosscutting Studies and Analyses. The International Architecture area will support international programs such as the Global Initiative to Combat Nuclear Terrorism (GI) and the Security and Prosperity Partnership (SPP) to identify and encourage best practices for rad/nuc detection architectures. In addition, the GI work will encourage regional architectures and conduct analyses of appropriate CONOPS or particular regions. The Border Layer will continue to support analyses of detection strategies between the POEs and remaining vulnerabilities at POEs, as well as modeling and risk assessments focused on characterizing the threat and identifying opportunities for detection and interdiction at the border. Emphasis will be placed on the land border (to include rail pathways), aviation pathways, and the maritime border. The Interior area will continue to develop approaches to detection and interdiction appropriate for metropolitan areas, special events, and domestic pathways. In addition, DNDO is leading an interagency effort to increase the public's awareness of the risks, consequences, and appropriate responses related to an attack using an RDD. The Modeling, Crosscutting Studies, and Analyses area will be responsible for the Annual Report to Congress as well as overarching risk analyses and detection modeling such as the bi-annual risk analysis to support medical countermeasure planning and the detection architecture risk

assessments. This area will support architecture documentation development and will provide systems architecture support (for items such as the standardization of data exchange and functional requirements) as necessary. The GNDA strategic plan will continue to be updated and enhanced.

Accomplishments in Mission Support:

Significant accomplishments in FY 2008 include:

- Prepared the first Joint Annual Review of the GNDA, as required by Sec. 1103 of the “Implementing Recommendations of the 9/11 Commission Act of 2007 (P.L. 110-53).”
- Drafted the global nuclear detection guidelines document in support of the GI.
- Facilitated recommendations for hardening blood and research irradiators containing cesium chloride sources.
- Developed of the interagency action plan for “Public Education” on RDDs, as called for by the Radiation Source Protection and Security Task Force established by the Energy Policy Act of 2005.
- Expanded the maritime dimension of DNDO Mission Support to provide additional support to States with major ports and navigable waterways (Florida and California (Los Angeles/Long Beach)).
- Completed a maritime background radiation study on small vessels to measure normal background and hull impact to onboard sources with various types of small vessels (less than 300 gross tons).

FY 2009 planned accomplishments include:

Systems Architecture will continue to enhance individual components (i.e. individual detection “layers” or threat pathways) of the initial baseline architecture. However, the principal focus of system architecture work in FY 2009 will shift. The emphasis will be to strengthen the architecture by addressing remaining challenges, beyond those addressed in FY 2007-2008.

Specific efforts will include:

International Architecture:

- Complete and publish GNDA model guidelines document (and associated maritime guidelines “annex”) supporting the GI.
- Initiate planning and implementation of an engagement strategy for regional rad/nuc architectures for key international regions.
- Conduct international country and regional studies that outline the characteristics and potential vulnerabilities of a country or region’s rad/nuc capabilities. Increased emphasis will be placed on bilateral and multilateral technical workshops and exchanges to help countries and regions develop and implement effective rad/nuc architectures tailored to address existing vulnerabilities.
- Strengthen neighboring countries’ maritime borders by supporting a bilateral rad/nuc detection capability-building program with Mexican Customs and other Mexican organizations, to include equipment, training, protocols, technical reachback, exercises, etc.

- Formalize relationship with United States Northern Command (NORTHCOM) to enhance both the domestic architecture as well as leverage NORTHCOM's relationships with Canada and Mexico.
- Initiate a systematic framework for engagement planning and execution with foreign (e.g., North American, European, Central and South Asian, North Pacific Rim, Wider Caribbean Region, and Southeast Asian) partners on establishing regional rad/nuc detection architectures. Develop international engagement "annexes" for both the maritime and aviation pathways.

Modeling, Crosscutting Studies and Analysis:

- Complete the 2009 Joint Annual Interagency Review of the GNDA, including GNDA Program/Budget Crosscut.
- Develop a framework for overarching strategic plan for the GNDA.
- Begin the second edition of risk assessment of architectures based on risk results from FY 2007 and FY 2008.
- Continue detection modeling research and analysis.
- Continue work on data fusion and analysis in support of various operational programs.
- Develop a rad/nuc Detection Operational Concept and a rad/nuc Detection Capability Document that will be prepared in accordance with the general format specified by DoD's Joint Capabilities Integration Development System (JCIDS).

FY 2010 planned accomplishments:

International Architecture:

- Continue to strengthen United States maritime borders in partnership with Canada and Mexico including joint work on training and exercise plans, reachback, and information sharing agreements.
- Continue to support the bilateral rad/nuc detection capability-building program with Mexican Customs and other Mexican organizations.
- Continue engagement with foreign (e.g., European, Central and South Asian, North Pacific Rim, Wider Caribbean Region, and Southeast Asian) partners on establishing regional rad/nuc detection architectures.
- Expand relationship with NORTHCOM to enhance both the domestic architecture as well as leverage NORTHCOM's relationships with Canada and Mexico.

Modeling, Crosscutting Studies and Analysis:

- Complete the 2010 Joint Annual interagency review on the GNDA including the Program/Budget Crosscut.
- Work with DHS S&T Directorate to complete the second edition of the HSPD-18 risk analysis for medical countermeasures.
- Complete the GNDA Strategic Plan and supporting analysis.
- Complete the second edition of the risk assessment of the architecture building on risk results from FY 2007 through FY 2009.

- Continue detector fusion and algorithm development for a range of fixed and mobile detectors.

Guided by the GNDA, DNDO provides support relative to the assessment and mitigation of threats in the land border, aviation, maritime and interior mission areas, such as the development of specific architecture studies, CONOPS analyses, detector modeling studies, and enterprise architecture support that are specific to each mission area. These studies will typically be focused on specific programs and will directly support DNDO pilot and R&D initiatives. In general, mission areas will commission architecture studies to identify and characterize trade-offs, risks and costs before deciding on a specific implementation. These preliminary studies are intended to reduce the technical and programmatic risk of new efforts and enhance their integration and interoperability with the overall GNDA.

For each mission area, DNDO approaches and mitigates threats by working with our front-line end-user components to assess and implement solutions to mitigate the threat. This allows DNDO to delineate accomplishments by mission area. During FY 2008 DNDO began the evolution from a product-centric focus to a mission area focus and anticipates achieving the following in support of these efforts:

Accomplishments in the Land Borders Mission Area:

FY 2009 planned accomplishments include:

- Initiate a study of the feasibility of using unattended ground sensors for PRND along the U.S. – Mexico border between POE's..

FY 2010 Planned Accomplishments:

- Investigate other types of radiation detectors that might be suitable for use at CBP Office of Border Patrol (OBP) checkpoints.

Accomplishments in the Aviation Mission Area:

FY 2009 planned accomplishments include:

- Perform systems architecture analyses to enable CBP to more effectively perform the rad/nuc screening mission in the international general aviation environment.
- In close coordination with CBP, TSA, and other operating agencies and stakeholders, perform systems architecture analysis studies of various rad/nuc screening equipment suites and CONOPS variants to introduce rad/nuc screening into the international commercial aviation environment.
- Develop a guidelines document for rad/nuc screening for the general aviation environment for use in international engagements.

FY 2010 Planned Accomplishments:

- Conduct an updated analysis of pre-clearance scanning of general aviation at overseas points of departure and domestic aviation architectures.

- Conduct a study of the gaps related to detection capabilities for international aviation traffic transiting into the United States from outside the continental United States private or non-commercial airports.

Accomplishments in the Maritime Mission Area:

FY 2009 planned accomplishments include:

- Partner with the USCG to fully develop rad/nuc scenarios into the USCG Maritime Security Risk Analysis Model (MSRAM).
- Analyze and develop PRND architecture options for various vectors, which may include: tug and barge, inland waterways, off-shore secondary screening, passenger/vehicle vessels, and cruise ships.
- Develop an International maritime pathways execution plan.
- Complete a maritime architecture study to analyze and develop options for non-container vectors (bulk, break bulk, roll-on/roll-off, tanker).
- Complete an architectural study of the maritime domain in the Great Lakes region to lay the ground work for enhancing the layered detection capability along this significant maritime border.
- Initiate an architectural study that analyzes solutions for underwater detection against smuggling illicit materials via unconventional submersible, semi-submersible, towed, and parasitic devices.

FY 2010 planned accomplishments:

- Carry out the International maritime pathways execution plan developed in 2009 focusing on implementation of PRND concepts.
- Complete an architectural study that analyzes solutions for underwater detection against smuggling illicit materials via unconventional submersible, semi-submersible, towed, and parasitic devices.

Accomplishments in the Interior Mission Area:

FY 2009 planned accomplishments include:

- Execute DNDO's component of the multi-agency Radiological Dispersal Device (RDD) Public Education program under the Radiation Source Protection and Security Task Force.

Training, Education, and Outreach on Nuclear Threat Policy: The Training, Education, and Outreach on Nuclear Threat Policy program seeks to stimulate and encourage a sustainable knowledge base on nuclear policy issues with a new generation of nuclear policy experts drawn from among social scientists, policy analysts, physical scientists, and engineers that ensures continuity of these critical skill sets, and to support the development of a “pipeline” of a new generation of nuclear professionals.

The effort will leverage the knowledge, resources, and experience of nuclear and policy experts to cultivate future generations of nuclear policy experts, scientists, and engineers, across a broad

spectrum of academia, government, and industry. This knowledge base will include renowned personnel with broad nuclear policy expertise including political policy advisors, U.S. diplomats, and specialists from the national laboratories, government agencies (DOE, DoD, DOS, DHS, etc), the private sector, and academia. A key outcome of these activities is the interaction of the counterproliferation and counterterrorism communities in fusing their ideas into coordinated policies for the future. Program-sponsored networking will allow participants to gain additional information in specific areas of interest and/or expertise.

Accomplishments in Mission Support:

Significant accomplishments in FY 2008 include:

- There was no activity in the Training, Education, and Outreach on Nuclear Threat Policy in FY 2008.

FY 2009 planned accomplishments include:

- There was no activity in Training, Education, and Outreach on Nuclear Threat Policy in FY 2009.

FY 2010 planned accomplishments:

- Commence the Training, Education, and Outreach on Nuclear Threat Policy program.

SUMMARY: The table below assists in illustrating the crosswalk between specific projects and activities and the DNDO mission areas. It is clear that programs and activities have applicability to more than one mission area are represented in a cross-cutting manner.

PPA: SYSTEMS ENGINEERING AND ARCHITECTURE					
	Mission Support	Land Borders	Aviation	Maritime	Interior
Systems Engineering Program	X				
Graduated Rad/Nuc Detector Evaluation and Reporting (GRaDER) Program	X				
Systems Architecture	X	X	X	X	X
Training, Education and Outreach on Nuclear Threat Policy	X				

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development and Operations
Program Performance Justification
(Dollars in thousands)**

PPA: SYSTEMS DEVELOPMENT

	Perm Pos	FTE	Amount (\$k)
2008 Actual	---	---	100,087
2009 Enacted	---	---	108,100
2010 Adjustments-to-Base	---	---	(8,100)
2010 Current Services	---	---	100,000
2010 Program Change	---	---	0
2010 Request	---	---	\$100,00
Total Change 2009-2010	---	---	(8,100)

DNDO requests \$100.000 million for this activity. This includes a decrease of \$8.100 million from the FY 2009 Enacted level because of management and technology efficiencies and the conclusion of the Securing the Cities initiative in the New York City region.

CURRENT SERVICES PROGRAM DESCRIPTION:

DNDO is responsible for ensuring that the Nation maintains a preeminent research and development program to address user requirements in radiation detection science and technology. Consequently, DNDO has implemented a consistent development methodology to address technical requirements arising from gaps in operational capabilities and to meet user requirements.

International Rail Program: International rail traffic represents one of the most difficult challenges for radiation detection systems. Over 120 trains with 4,800 loaded rail cars enter the United States from Canada and Mexico each day through 31 CBP rail POEs. Over 2,500 million rail cars pass every year with goods destined for every state in the country. Approximately three times the number of trains cross from Canada compared to Mexico. Additionally, three of the top five northern gateways and four of the top five southern gateways are situated in major urban population centers.

Currently, radiographic imaging systems are installed at the major CBP rail POEs to enable non-intrusive inspections (NII) of rail cargo. Generally, false alarms due to large amounts of naturally occurring radioactive material (NORM) make first-generation RPMs (which are not able to discriminate between radiation alarms) unacceptable for rail. Next-generation passive detection systems which have identification capabilities are also challenged in this environment due to the increased offset distances for rail portals, and due to the heavy steel construction of the rail cars. Furthermore, there are unique operational challenges in this environment due to the length of the trains (up to 2 miles), the distance required to stop moving trains, and the difficulties in separating alarming cars for further examination.

DNDO has worked with CBP to capture the end-user needs, characterize the rail operational environment, and develop operational requirements and is presently developing feasible system concepts. In the fall of 2008, DNDO initiated system concept development and preparation of technical requirements to support a joint DNDO/CBP program to develop a rad/nuc detection system to meet the unique requirements of the international rail environment.

Accomplishments in the Land Borders Mission Area:

Significant accomplishments in FY 2008 include:

- Completed development of CBP operational and threat-based requirements for scanning all international rail traffic entering the United States from Mexico and Canada.

FY 2009 planned accomplishments include:

- Complete development of technical requirements and transition to a technology development program.
- Participate in a Rail Cargo Scanning Project with Canada to develop a strategy to explore the technical and operational options available to mitigate the risks posed by the rail pathway between the U.S. and Canada, especially including options that would involve U.S.-Canada cooperation.
- Initiate a Rail Cargo Scanning Project with Mexico.
- Conduct Analysis of Alternatives (AOA) for the Rail Cargo Scanning Project.
- Develop systems architecture for the selected alternative.

FY 2010 planned accomplishments:

- Engage in detailed engineering development of the selected approach to address the international rail environment including:
 - Develop base system user interface software.
 - Extend prototype of selected alternative to Engineering Design Model (EDM) including all subsystems.

Joint Integrated Non-Intrusive Inspection Program: Currently-deployed Non-Intrusive Inspection (NII) radiography systems are primarily designed to provide the capability to address detection of “traditional” contraband such as drugs, currency, guns, and explosives that may be illicitly smuggled in cargo containers. These types of contraband have a relatively low atomic number (low Z), and are generally detectable with standard radiography systems and the use of image analysts for the two-dimensional radiograph. Conversely, nuclear material or shielding material, which has a high atomic number (high Z), will show up in the radiograph as an opaque or dark object (because the high Z material will attenuate the x-rays more effectively than low Z material) that might be noticed by an image analyst. Current systems are used in this way and provide some degree of rad/nuc detection capability. In FY 2006, DNDO began the development of the Cargo Advanced Automated Radiography System (CAARS), which will provide the capability to automatically detect high Z materials with high confidence and a low false alarm rate. These CAARS systems will be able to automatically distinguish between low density materials such as aluminum and steel, and higher density materials such as lead, uranium, or plutonium. CAARS systems will also provide CBP

operators with the capability to continue to detect traditional contraband, although this function will not be automated and will continue to require manual image analysis.

In FY 2008, two important conclusions were reached and programmatic changes were made in response. First, it was concluded that the technology needed to achieve the goals of the CAARS program was less mature than originally estimated (but still feasible) and therefore it would take longer to develop and test the systems than planned. Second, privately funded development had advanced in the intervening two years since CAARS was initiated and some capability to perform automated high Z detection would be forthcoming in future commercial product releases. It is worth pointing out that although these commercial products do not deliver the full capability that CAARS will offer (e.g., they are not as sensitive), they should be available sooner than CAARS systems.

Therefore, DNDO has initiated the Joint Integrated Non Intrusive Inspection (JINII) program with the primary purpose of combining CAARS development with a new development and testing program. Systems to be tested will include the CAARS units as they become available in addition to the nearer-term commercial systems that have been developed by industry and possess some capability to manually or automatically detect high-Z materials. Development of the advanced capability (CAARS) will continue. Systems previously deployed will be capable of creating images that will allow CBP image analysts to continue to inspect for low Z contraband at least as effectively as they can with current systems. System development and testing will be consistent with CBP operational needs.

JINII will also include a research campaign to determine if simple methods are available to upgrade the currently deployed NII radiographic systems to incrementally improve shielded nuclear material detection performance. If methods are found, these methods will be further developed and tested by DNDO.

With regard to the CAARS development, the CAARS prototype systems will be delivered in FY 2009. FY 2009 activities will focus on subjecting systems to a test and evaluation (T&E) program necessary to evaluate the technology. The same methods used to characterize existing NII systems will be used to characterize the CAARS prototypes. Prior to conducting the formal test, each of the CAARS vendors will conduct a rigorous readiness test at their facilities.

The results of the CAARS T&E will be compared to the results of the existing NII system T&E. The result of this study will be a cost-benefit analysis (CBA) to include recommendations with regard to future development and testing options. Depending on the results of the CBA, DNDO may release a solicitation for a rapid development prototype followed by a pilot deployment at a POE yet to be determined.

Accomplishments in the Land Borders Mission Area:

Significant accomplishments in FY 2008 include:

- Planned a test campaign to characterize the ability of near-term commercial NII systems to manually detect shielded nuclear material.
- Initiated a study to determine if methods are available to upgrade existing NII systems to incrementally improve shielded nuclear material detection performance.
- Continued development of three prototype CAARS systems that are designed to automatically detect shielded nuclear material at high throughput rates.
- Updated the JINII health physics impact study.

FY 2009 planned accomplishments include:

- Validate radiographic test objects.
- Complete development of CAARS prototypes.
- Begin T&E campaign of the CAARS prototypes.
- Complete test campaign to characterize the ability of near-term commercial NII systems to detect shielded nuclear material through either automated image analysis or manual image interpretation.
- Complete assessment of available methods to upgrade existing NII systems to incrementally improve shielded nuclear material performance.

FY 2010 planned accomplishments:

- Complete T&E campaign of the CAARS prototypes.
- Perform cost benefit analysis (CBA) to include recommendations with regard to future development and testing options.
- Depending on the CBA recommendation, solicit and award contracts for a rapid development prototype and pilot project to get a realistic measure of the false alarm rate in real stream of commerce and test the overall robustness of the system.

Human-Portable Systems: DNDO has multiple Programs that will provide a wide variety of law enforcement and first responders with effective human portable systems for rad/nuc detection: the Handheld program, the Human-Portable Wide Area Search (HPWAS) program, and the Human-Portable Tripwire (HPT) program. Each of these programs will result in the delivery of human-portable systems that will be used in all DNDO mission areas. For example, human-portable systems will be targeted for use by CBP Office of Field Operations and Office of Border Patrol in the land borders mission area. In the aviation mission area, systems will aid CBP Officers in scanning aircraft and their contents (passengers and baggage) in the international general aviation environment, as well as passengers and baggage in the international commercial aviation environment. For the maritime mission area, future generations of human-portable systems will augment the capabilities of the U.S. Coast Guard. Interior customers will also benefit from DNDO's development of human-portable systems. Through the State & Local Stakeholder Working Group, South East Transportation Corridor Pilot (SETCP) Regional Task Team users working group, and other State and local engagements, DNDO has gathered user requirements for handheld systems. New and enhanced equipment that results from the handheld program will be available to State and local agencies through grants and other funding.

Overall, each of the three human-portable system programs seeks to expand the spectrum of detectors available to end users by 1) investigating existing commercially available systems and tailoring them to better meet the needs of operators; 2) developing cutting-edge technology when current systems are inadequate to meet customer requirements; and 3) conducting systems development efforts for maturing technologies that transition from Advanced Technology Demonstrations (ATDs). Next-generation systems will provide enhanced radiation detection, threat source identification, and notification capabilities to aid end-users in mitigating nuclear threats.

The first human-portable detection technology expected to transition from an ATD to a systems development phase is the Intelligent Personal Radiation Locator (IPRL), a pocket-sized spectroscopic radiation locator that detects radiation, delineates source type, and locates the source. The IPRL technology is discussed in more detail in the Transformational Research and Development (R&D) PPA. In FY 2010 the IPRL program will transition to a systems development phase. DNDO plans to engage in an iterative development process to bring IPRL capability to end-users in a timely manner.

Accomplishments in multiple mission areas:

Significant accomplishments in FY 2008 include:

Handheld Program

- Tested and evaluated sodium iodide (NaI)-based handheld systems. Continued system refinement for Lanthanum Bromide (LaBr₃) handheld systems to support a production decision in FY 2009.
- Conducted data analysis and requirements verification to allow DNDO to deliver the next generation high purity germanium (HPGe)-based handhelds.
- Conducted spectral data collection campaigns to support algorithm and detection system improvements.
- Evaluated handheld EDMs in operationally-relevant environments to assess and incorporate end-user feedback.

Human-Portable Wide Area Search (HPWAS) Program

- The HPWAS program was not formally initiated until FY 2009.

Human-Portable Tripwire (HPT) Program

- Developed prototype systems, including improved algorithms, optimized for non-POE operating environments.

FY 2009 planned accomplishments include:

Handheld Program

- Complete the development of base technologies that will be adapted to support mission-specific environments.
- Finalize, with the users, the operational requirements for handheld systems that will be used for small area searches and secondary screenings.
- Continue to improve the associated software utilized within the detectors. Based on additional data collection campaigns in FY 2008 and FY 2009, improvements will be made to the isotope libraries upon which these algorithms are built.

Human-Portable Wide Area Search (HPWAS) Program

- Complete the updated mission analysis that identifies the needs for human-portable systems.
- Begin the development of operational requirements through user engagement and operational analysis.

Human-Portable Tripwire (HPT) Program

- Begin the development of operational requirements through user engagement and operational analysis.
- Conduct a capability transition assessment for the transformational R&D IPRL program, including specific assessments of the unique capabilities that IPRLs are designed to provide.

FY 2010 Planned Accomplishments:

Handheld Program

- Initiate LRIP for handheld systems that will be used for small area searches and secondary screenings
- Conduct Operational Testing for handheld systems that will be used for small area searches and secondary screenings.
- Enter full rate production for Germanium based handheld detectors that will be used for advanced operations.

Human-Portable Wide Area Search (HPWAS) Program

- Complete the development of operational requirements for an HPWAS system through user engagement and operational analysis.
- Conduct AOA for HPWAS potential materiel and non-materiel solutions.

Human-Portable Tripwire (HPT) Program

- Complete the development of operational and functional requirements for an HPT system through user engagement and operational analysis.
- Conduct AOA for HPT potential materiel and non-materiel solutions.
- Initiate the development of a HPT system designed to meet user requirements.

Vehicle/Mobile Program: Federal, State, and local end-users in the security and law enforcement communities have stated requirements for a vehicle-based rad/nuc detection capability. A vehicle-mounted, mobile detection system may be utilized for PRND across the land borders, maritime, aviation, and interior mission areas.

In the land borders and maritime mission areas, CBP has stated a need for a next generation mobile detection capability for operations on both the northern and southern land border POEs and sea POEs.

In the aviation mission area, vehicle/mobile detection may prove useful for targeted inspections of cargo, baggage or aircraft, in both commercial and general aviation environments. Further, the vehicle/mobile systems may augment some of the tasks currently performed by handheld devices. As such, an AoA will be conducted to determine the technical and operational feasibility of utilizing vehicle-mounted, mobile detection in the aviation environment. Pending the results of the analysis, requirements will be defined to drive appropriate R&D efforts within the Vehicle/Mobile program to address aviation-specific needs.

In the interior mission area, the primary missions anticipated for a vehicle-mounted radiation detection system are:

- Planned Operations - screen for radiological sources of interest during planned operations such as checkpoints, commercial vehicle inspection, Special Events, etc; and
- Routine Operations - screen for radiological sources of interest while performing routine operations such as highway patrols, vehicle detection, and emergency response or during emergent operational situations such as detection and examination of a “suspicious package” by police, fire, or bomb squad.

In order to address these needs, DNDO used the non-recurring engineering and the production experience gained with ASP cargo scanning systems to develop customized designs for new mobile systems. The resultant mobile detection system will be refined based on proof of technology

demonstrations with State and local end-users in the Securing the Cities (STC) initiative and SETCP. In addition, commercially-available, vehicle-mounted rad/nuc detection technologies will be evaluated in order to provide users in all mission areas the ability to acquire the vehicle-based technology that best fits their operational needs.

The ASP-based mobile detection system utilizes spectroscopic radiation detection equipment mounted inside a sport utility vehicle (SUV) to provide multidirectional detection, identification, and classification of radiation sources (both gamma-ray and neutron). This system incorporates capabilities similar to the core technology developed for the fixed advanced spectroscopic cargo portal, and provides mobile scanning capabilities that the fixed nuclear detection systems cannot perform. Currently, DNDO is in the final stages of developing the ASP-based mobile detection system.

DNDO intends to conduct a test in 2009 to compare the capability of the ASP-based mobile system against commercially available and Government-off-the-Shelf (GOTS) mobile detection systems to assess the overall effectiveness of the various systems. The test will be designed to allow DNDO to determine which mobile detection system(s) best satisfies(y) customer requirements and is (are) most suitable within the various layers of the GNDA. Additionally, during FY 2010, DNDO will continue to collect reliability data to develop a logistics cost model for maintaining these systems. The results of the report will drive selection of the mobile systems to be acquired by customers to best fit their operational needs.

Accomplishments in multiple mission areas:

Significant accomplishments in FY 2008 include:

- Completed prototype ASP-based mobile detection systems.
- Performed assessment of ASP-based mobile detection systems in typical operational scenarios.
- Deployed four limited production ASP-based mobile detection systems for use within SETCP.
- Deployed three limited production ASP-based mobile detection systems for use within the STC initiative.
- Analyzed data from fielded units to improve system capability.

FY 2009 planned accomplishments include:

- Incorporate additional user interface features realized during early deployments and assessments.
- Test and compare the capabilities of the ASP-based mobile system against commercially available and GOTS mobile detection systems to assess effectiveness of systems in different operational environments.
- Identify mobile units that demonstrated superior performance in operational settings relevant to end users.

FY 2010 planned accomplishments:

- Complete collection of reliability data to develop a logistics model for maintaining systems.

Aviation Program: In the aviation domain, DNDO supported CBP to achieve scanning of all international general aviation aircraft arriving in the United States by December 30, 2007. Shortly following CBP's International General Aviation (IGA) scanning implementation, in FY2008, DNDO and CBP began rigorously testing Commercial Off-the-Shelf (COTS) equipment for effectiveness in the general aviation environment in conjunction with controlled laboratory tests to evaluate the performance of next generation human portable detection devices. The former evaluation was conducted at Andrews AFB, and the latter was conducted at the Nevada Test Site (NTS). For FY 2009, based on the results of these tests, DNDO will continue working with its federal partners to analyze alternatives for potential system enhancements within the IGA environment for scanning aircraft for rad/nuc materials at APOEs and airports of departure (APODs). This includes implementing immediate improvements to non-materiel elements of the process (such as introducing modifications to the current Standard Operating Procedure based on feedback from CBP officers and equipment experts) as well as further examining materiel alternatives for scanning at APOEs. DNDO is also working with TSA and CBP to characterize the APOD environment to inform the implementation of the scanning procedures at commercial and general aviation pre-clearance sites, and will use available test data as well as test data from the planned (FY 2009) International Commercial Aviation Passenger and Baggage Program equipment evaluation to inform future strategies.

DNDO and CBP have initiated a pilot program for screening international commercial passengers and their baggage at APOEs. The pilot program is in response to congressional direction in the Consolidated Appropriations Act of 2008 (P.L. 110-161), which states, "DNDO shall work with U.S. Customs and Border Protection (CBP) to initiate two pilots of radiation portal monitors within the air port of entry environment for screening individuals and their baggage for radioactive materials. The pilots should include a detailed concept of operations." In FY 2008, DNDO and CBP completed five airport facility site surveys to understand the operating environment, generate user needs, and develop requirements for a test campaign and two pilot demonstrations that DNDO will conduct in FY 2009/2010 to evaluate applicable COTS rad/nuc detection equipment. The Passenger and Baggage (Pax/Bag) Pilot Program will evaluate the technical and operational integration of rad/nuc detection capabilities in this environment. Systems that are selected as a result of the FY 2009 test campaign will be evaluated in a limited pilot deployment at Seattle-Tacoma International Airport in FY 2009, to be followed later by a limited deployment at Charlotte International Airport. Each pilot will run for approximately two months at each airport.

The results of the Pax/Bag Pilot Program will inform future strategies for APOEs and overseas pre-clearance efforts managed by CBP and will provide input for R&D efforts to optimize rad/nuc scanning of passengers and their baggage in the airport environment.

Accomplishments in Aviation Pathways Mission Area:

Significant accomplishments in FY 2008 include:

International General Aviation

- In partnership with CBP, DNDO conducted five test sessions at Andrews Air Force Base to baseline the performance of currently-deployed systems for scanning IGA aircraft, to assess whether CBP operational procedure changes could enhance performance, and to evaluate performance of other human-portable detection systems to support CBP operations.
- The Joint CBP/DNDO IGA Working Group evaluated test results from the Andrews AFB test and the HPRDS test campaign at the NTS in order to assess the current capability and

determine opportunities for capability development. The data from both tests will feed subsequent material research and development efforts, as appropriate.

- After analyzing results from the IGA Test Campaign and the IGA analysis portion of the HPRDS Test Campaign, DNDO and CBP concluded that the currently deployed IGA materiel capability is sufficient until a replacement device with demonstrated improvements is available.
- A set of program objectives derived from testing and CBP-DNDO discussions on expanding future operational capabilities defined the following priorities:
 - Provide a set of operational requirements that leads to improved technical identification capability in human portable systems.
 - Implement IGA SOP recommendations to enhance the operational performance of the currently deployed capability to better achieve the IGA mission. These enhancements clarify and improve SOP guidance.

International Commercial Aviation Passengers and Baggage

- Conducted site visits to Charlotte International Airport in North Carolina, BWI International Airport in Maryland, JFK International Airport in New York, Seattle-Tacoma International Airport in Washington, and Vancouver International Airport in Canada. Gathered data required to plan pilots of rad/nuc scanning of personnel (passengers and crew), carry-on bags, checked baggage, and the aircraft itself in the international commercial scheduled passenger environment.
- Completed Analysis of Alternatives to identify potential scanning and detection technologies for evaluation in a controlled test campaign.

FY 2009 planned accomplishments include:

International General Aviation

- Evaluate impact of the IGA SOP recommendations made in FY 2008 and determine need for additional adjustments.
- Evaluate rad/nuc detection capability in the general and commercial Pre-Clearance Airport environment. Review and modify as appropriate the operational environment requirements; analyze potential international alarm resolution solutions.
- Analyze CBP Air & Marine's operational environment and requirements to determine potential future enhancements of their rad/nuc detection capability.

Note: FY 2008 and FY 2009 activities were funded from the FY 2007 Supplemental appropriation.

International Commercial Aviation Passengers and Baggage

- Conduct a test campaign to establish performance of systems to be carried forward in two pilots scheduled to take place in Seattle-Tacoma International Airport in Washington and Charlotte International Airport in North Carolina.
- In close coordination with CBP and other operating agencies and stakeholders, conduct and conclude pilot at Seattle-Tacoma International Airport to study the effectiveness and suitability of various rad/nuc scanning equipment suites and CONOPS for scanning international air passengers and their baggage.

FY 2010 planned accomplishments:

International General Aviation

- Based on the results from FY08-09 activities, the path forward for International general Aviation will be re-evaluated.

Based on the results from FY08-09 activities, the path forward for International General Aviation will be re-evaluated.

International Commercial Aviation Passengers and Baggage

- In close coordination with CBP and other operating agencies and stakeholders, conclude pilot at Charlotte International Airport to study the effectiveness and suitability of various rad/nuc scanning equipment suites and CONOPS for scanning international air passengers and their baggage.
- Provide limited operational capability to Charlotte International Airport to assess the holistic impact to an airport location where CBP also conducts cargo scanning operations in addition to passengers and baggage scanning.
- With CBP, TSA and other federal and international partners, conduct at least one pilot in the commercial pre-clearance environment, if the pre-clearance location is available, to evaluate scanning alternatives according to specific pre-clearance requirements.
- Conduct an equipment test campaign based on the Pax/Bag Pilot Program results to inform acquisition decisions for the commercial aviation pathway.

On-Dock Rail Program: On-dock rail accounts for the transfer of approximately 2% of all imported cargo containers to the U.S. This program addresses the challenge of scanning cargo at seaport terminals where containers are transferred from ships to a rail facility that is within the terminal. These shipments therefore leave on rail cars that bypass the detectors at the terminal exit gate which scan trucks departing with the other 98% of the containers. Pursuant to the requirements of the SAFE Port Act of 2006, DNDO established a Rail Test Center (RTC) at the Port of Tacoma, WA. The on-dock rail terminals at the Port of Tacoma, WA, account for half of the aforementioned 2% of import containers.

Operational testing conducted at the RTC at the Port of Tacoma has demonstrated that either mobile or fixed radiation portal monitors are adequate to scan containers where chassis are used to move containers to the rail facility. However, when straddle carriers are used in this role, no technology currently available is effective at scanning containers. Efforts are underway to develop the use of a large radiation detector portal to scan the container at primary as a straddle carrier moves it from dockside to a lay-down area prior to being loaded onto a rail. Should a secondary scan be required, a mobile detection system may be developed to scan containers referred by the primary system. Also, CBP investigated a radiation detector mounted to the crane-mounted spreader bar that moves the container from ship to shore. Tests were conducted at the RTC and at Los Alamos National Laboratory.

FY 2009 funds were provided to the On Dock Rail to support the design a prototype straddle carrier portal. In FY 2009, a straddle carrier portal test article will be constructed and subsequently tested at the RTC.

Accomplishments in Maritime Mission Area:

Significant FY 2008 accomplishments include:

- Performed a requirements analysis of rad/nuc scanning solutions for the on-dock rail environment.
- Conducted operational impact analysis for the straddle carrier portal detection system.
- Modeled the straddle carrier portal radiation detection systems using both polyvinyl toluene (PVT) and ASP systems.
- Produced preliminary design of a prototype radiation detection portal to scan a container as it is carried by a straddle carrier.

FY 2009 planned accomplishments include:

- DOE, DNDO, and CBP will conduct additional tests of two crane-mounted detection systems to evaluate the capability of systems to detect special nuclear material sources
- Based on modeling results, complete design of a straddle carrier portal test prototype for installation at RTC
- Develop straddle carrier portal prototype design and initiate test efforts at RTC

FY 2010 planned accomplishments:

- Based on modeling and simulation, as well as test results, DNDO, in coordination with CBP, will develop a specification for procurement of technologies to address the stated mission need of the On-Dock Rail program
- Construct a prototype straddle carrier portal at RTC and evaluate its performance

Boat-Mounted Sensor Program: Results of the FY 2008 Maritime test campaign (Crawdad) and early deployments of selected systems in the West Coast Maritime Pilot in Puget Sound will lead to the definition of a boat-mounted radiation detection system (for further information, please see the Maritime Test Campaign and West Coast Maritime Pilot program descriptions in the Assessments PPA). If it is demonstrated that operational and technical requirements of the maritime mission area can be met by commercially available boat-mounted systems, systems may be incorporated into DHS operational component acquisition programs. DNDO will develop and test a prototype system if commercially available systems cannot meet operational requirements.

Accomplishments in Maritime Mission Area:

Significant accomplishments in FY 2008 include:

- Conducted the Crawdad maritime test campaign on currently available boat-mounted equipment to baseline performance characteristics in a controlled maritime environment. Test results are being used to inform boat-mounted system development efforts and requirements generation, to identify equipment for follow-on testing in an operationally relevant environment, and to support the West Coast Maritime PRND pilot program. The Crawdad program is discussed further in the Assessments PPA.

FY 2009 planned accomplishments include:

- Conduct the Dolphin maritime test campaign to test boat-mounted detection systems in an operationally relevant environment that could be further developed to meet DHS operational component requirements for boat-mounted systems.

- Collect and compile the mission needs of DHS operational components in regards to maritime standoff detection to include boat-mounted, aircraft-mounted, fixed, and mobile. Develop operational requirements specific to boat-mounted detection systems from USCG, CBP-AMO, and CBP-OBP.
- Complete an analysis of alternatives to compare cost effectiveness and probability of detection of boat and aircraft-mounted standoff detection systems with currently fielded detection equipment carried by law-enforcement boarding teams.

FY 2010 planned accomplishments:

- Produce EDM unit(s) for selected alternative.
- Develop boat-mounted systems to support evaluation and deployment on selected DHS small boats.
- Develop Life Cycle Cost Estimates (LCCE) to support larger-scale deployments.

Securing the Cities Initiative: The Securing the Cities (STC) Initiative was an effort to plan and implement the coordinated and integrated detection and interdiction of illicit rad/nuc materials that may be used as a weapon within a major metropolitan area. The initial three-year STC pilot, concluding in FY 2009, was conducted within the New York City (NYC) region, which for the purposes of the STC initiative is defined as within 45 miles of the NYC border. State and local participation is incorporated into all aspects of the STC initiative through multi-jurisdictional working groups.

Particular emphasis of the STC initiative is placed on roadway and maritime (small vessels) pathways because they allow for a wide-spectrum, in both size and weight, of rad/nuc threat devices to be transported under the direct physical control of adversaries. An additional area of emphasis is detection screening of industrial, warehouse, and storage areas which may be utilized by terrorists for weapon construction, assembly, and/or storage areas. Mass transportation and railways are also addressed. All operational capabilities incorporate the means to characterize the nature of detection alarms, including mechanisms and procedures for referring alarm information to technical experts for adjudication.

No STC funding is requested in FY 2010.

Accomplishments in Interior Mission Area:

Significant accomplishments in FY 2008 include:

- Completed a strategic plan for STC in NYC.
- Completed supportability concept analysis; selected a concept, and began the implementation plan.
- Developed and refined CONOPS.
- Conducted 18 tailored workshops assisting State and local personnel in evaluating how to best deploy their equipment in their specific operational environment.
- NYPD completed Memoranda of Understanding with all relevant regional partners to implement the STC initiative.

FY 2009 planned accomplishments include:

- Develop and document deployment positions in the NYC region.
- Complete 13 tailored workshops.
- Complete concept refinement studies for a multilane roadway detection system, and begin RDT&E.
- Develop a Personal Radiation Detector and Radioisotope Identification Detector training refresher course to enable operator proficiency to be maintained after initial training.
- Implement a capability for detection system supportability.
- Initiate planning for a regional full scale exercise.
- Pilot an automated information system for reporting sensor information to the Lower Manhattan Security Initiative.

FY 2010 planned accomplishments:

- Prior-year funding will provide for the continued assessment of the effectiveness of the STC engagement model at the first site, New York City area.

National Technical Nuclear Forensics: DNDO's National Technical Nuclear Forensics (NTNF) capability serves as an integral component and layer of the United States Government (USG) effort to combat nuclear terrorism. This capability provides means for the collection, analysis, and evaluation of rad/nuc materials and associated evidence for the purpose of comprehensive and timely forensic analysis to contribute to attribution conclusions. An effective forensics and attribution capability will inform national response deliberations and can help to prevent a follow-on attack. At the strategic level, nuclear forensics can contribute to deterrence and prevention by promoting the concept of "nuclear accountability" for nations that may wittingly or unwittingly enable a terrorist to obtain nuclear devices or materials.

The NTNF PPA describes the core activities and pertinent accomplishments of this mission area. Additionally, beginning in FY 2010, the Systems Development PPA provides for nuclear forensic systems technology advancements in order to meet the stringent requirements and expectations of the primary stakeholders in the Executive Branch and in the Congress. By prudently leveraging Systems Development resources, DNDO will initiate and expand forensics systems development projects which will allow us to develop advance techniques to more rapidly and accurately characterize materials and link them to nuclear processes/facilities/locations to support attribution. This effort is focused on developing the Knowledge Management and Assessment System (KMAS), a system of evaluation tools to 1) canvas and link large amounts of disparate data and information, 2) recognize latent patterns and trends in multi-dimensional data, and 3) discover potentially new discriminating nuclear forensics signatures. The KMAS will play a key role in formulating technical nuclear forensics conclusions in a credible and defensible manner.

Accomplishments in National Technical Nuclear Forensics:

Significant accomplishments in FY 2008 include:

- In FY 2008 all activities were accomplished within the NTNF PPA.

FY 2009 planned accomplishments include:

- In FY 2009 all activities were accomplished within the NTNF PPA.

FY 2010 planned accomplishments:

- Expand the application of KMAS evaluation tools to initial use in the forensics exercise program and operational case studies.
- Conduct the first demonstration of KMAS tools for pattern recognition and trend analyses when sifting through substantial banks of nuclear materials data.
- Demonstrate the next generation of tools for pattern analysis and methods to articulate whether or not nuclear material signatures can be included or excluded from specific families of signatures.
- Develop and validate predictive models and techniques to improve understanding of how technical processes within the nuclear fuel cycle (from mining raw material to processing, enrichment, burn-up and disposal) can affect the resultant nuclear materials' forensic signatures (which are created, erased and persist throughout the fuel cycle).

Nuclear Assessment Program: The Nuclear Assessment Program (NAP) is responsible for assessing nuclear threat communications and monitoring worldwide illicit trafficking in rad/nuc materials, and assessing illicit nuclear trafficking incidents and trends. A comprehensive description of NAP, including pertinent accomplishments, is contained within the Operations Support PPA. As DNDO increases engagements with mission area customers to provide additional PRND capability through systems development efforts and other support programs, it is imperative that DNDO concurrently enhance NAP to appropriately support new customer groups. Beginning in FY 2010, the DNDO Systems Development PPA will provide for necessary NAP enhancements, but will continue to leverage funds within the Operations Support PPA to maintain the current NAP capability.

Accomplishments in Mission Support:

Significant accomplishments in FY 2008 include:

- In FY 2008 all activities were accomplished within the Operations Support PPA.

FY 2009 planned accomplishments include:

- In FY 2009 all activities were accomplished within the Operations Support PPA.

FY 2010 planned accomplishments:

- Upgrade and transform the historical NAP database into a community-accessible tool.
- Collaborate with the Defense Intelligence Agency (DIA) and DOE to produce a database for the communities of interest.
- Complete a repository for smuggling data and continue data management for increased GNDA situational awareness.

Technical Reachback Program: The Technical Reachback (TRB) Program provides 24/7 regionally and nationally-based expertise to resolve alarms promptly and accurately. A detailed description of TRB, including pertinent accomplishments, can be found in the Operations Support PPA. As DNDO increases engagements with mission area customers to provide additional PRND capability through systems development efforts and other support programs, it is imperative that DNDO concurrently enhance TRB to appropriately support new customer groups, including the projected increase in reachback requests. Beginning in FY 2010, the DNDO Systems Development PPA will provide for necessary TRB expansion, but will continue to leverage funds within the Operations Support PPA to maintain the current TRB capability.

Accomplishments in Mission Support:

Significant accomplishments in FY 2008 include:

- In FY 2008 all activities were accomplished within the Operations Support PPA.

FY 2009 planned accomplishments include:

- In FY 2009 all activities were accomplished within the Operations Support PPA.

FY2010 planned accomplishments:

- Train an additional six national-level spectroscopists to account for attrition and the increasing demand for technical support as the GNDA develops.
- Provide additional trend analyses of State and local data that will be collected and archived from the domestic layer via the DNDO Joint Analysis Center Collaborative Information System (JACCIS) S&L portals.

Training and Exercises Program: The Training and Exercises program develops and executes rad/nuc training and exercises for Federal, State and local law enforcement and emergency responders. A thorough description of the Training and Exercises program, including pertinent accomplishments, is included in the Operations Support PPA. As DNDO increases engagements with mission area customers to provide additional PRND capability through systems development efforts and other support programs, it is imperative that DNDO concurrently develop training curricula and additional training delivery modalities, and provide appropriate support for exercises. Beginning in FY 2010, the DNDO Systems Development PPA will provide for additional training and exercises support, but will continue to leverage funds within the Operations Support PPA to maintain the baseline Training and Exercises capability.

Accomplishments in Mission Support:

Significant accomplishments in FY 2008 include:

- In FY 2008 all activities were accomplished within the Operations Support PPA.

FY 2009 planned accomplishments include:

- In FY 2009 all activities were accomplished within the Operations Support PPA.

FY 2010 planned accomplishments:

- Provide strategic planning and Subject Matter Expertise for training and exercise activities across DNDO mission areas, including scanning cargo, passengers and aircraft/freight left on board; maritime operations support; and interior pilots.

Systems Architecture: At the core of all DNDO activities is the systems architecture function, which determines gaps and vulnerabilities and then formulates recommendations and plans to develop an enhanced architecture. By intensively studying the multi-layered structure of the rad/nuc detection architecture, a well-defined and carefully coordinated network of interrelationships is understood and developed.

With DNDO's increased emphasis on mission area needs and customer requirements, DNDO requires additional systems architecture activity in order to support and inform near and long term systems development programs. While the Systems Engineering and Architecture PPA addresses the core systems architecture functions and certain mission area analysis tasks, the Systems Development PPA addresses systems architecture studies and analyses to support new technologies and capabilities.

Accomplishments in Land Borders Mission Area:

Significant accomplishments in FY 2008 include:

- No land borders mission area accomplishments are delineated for Systems Architecture in the Systems Development PPA in FY 2008 because they were consolidated with the Systems Engineering and Architecture PPA during that fiscal year.

FY 2009 planned accomplishments include:

- Develop long-term and transformational architecture options for land borders between POEs.
- Continue field evaluation of COTS detectors and CONOPs validation for non-POE land borders.
- Complete a follow-on study to determine the feasibility of using unattended radiation sensors in the areas between checkpoints.
- Develop detailed requirements for future agent-based detector additional requirements which will be determined through the past year's evaluation and analysis efforts, as well as analyses conducted throughout this fiscal year.
- A study of the feasibility of using unattended ground sensors will be initiated.
- Completion of a threat and gap analysis of rail pathways into the United States for smuggling rad/nuc material.
- Completion of a study that examines the potential architectures and CONOPS that take into consideration a collaborative effort between the CBP, State, and local entities, including State-State interactions, for protecting the domestic interior of the United States from rad/nuc material smuggled in between the non-POE border areas.

FY 2010 planned accomplishments:

- Complete field evaluations of advanced rad/nuc detection technologies and CONOPs to support the Border Patrol.
- Complete initial detector deployment of selected COTS detectors to the Border Patrol in accordance with the Phased Deployment Implementation Plan (PDIP).

Accomplishments in Aviation Mission Area:

Significant accomplishments in FY 2008 include:

- No aviation mission area accomplishments are delineated for Systems Architecture in the Systems Development PPA in FY 2008 because they were consolidated with the Systems Engineering and Architecture PPA during that fiscal year.

FY 2009 planned accomplishments include:

- Conduct a study on air domain situational awareness for general aviation flights entering the United States.
- Conduct a targeted architecture study of helicopter traffic transiting the Gulf of Mexico and crossing the United States coast or border.
- Conduct a study on near term options for gateway pre-clearance screening of international general aviation.
- Complete the Megaports for Air study, an integrated North American aviation architecture study, and complete detection and interdiction studies for fixed wing aircraft making illegal cross-border trips.

FY 2010 planned accomplishments:

- Conduct a study of pre-clearance scanning of general aviation at overseas points of departure and domestic aviation architectures.
- Conduct a targeted architecture study of regional cross-border aviation traffic along the U.S.-Canadian border.
- Conduct a study of the gaps related to detection capabilities for international aviation traffic transiting into the U.S from private or non-commercial airports.

Accomplishments in Maritime Mission Area:

Significant accomplishments in FY 2008 include:

- No maritime mission area accomplishments are delineated for Systems Architecture in the Systems Development PPA in FY 2008 because they were consolidated with the Systems Engineering and Architecture PPA during that fiscal year.

FY 2009 planned accomplishments include:

- Complete an architectural study to enhance the Coast Guard Maritime Risk Assessment Model (MSRAM).

- Complete a geographic architecture study of the Inland Waterway environment within the Continental United States, to include the Central and Western River Systems and the Intracoastal Waterway to include evaluating PRND strategies for locks and bridges prominent in the inland waterways.
- Complete an Offshore Secondary Inspection Study to examine current and appropriate Inter-agency Conops and alternative capabilities for inspecting cargo onboard large vessels (particularly containerized cargo) as well as smaller vessels prior to entering port. This study will also assess alternative protocols for at-sea safe-distance divert and hold locations.
- Complete a review of all maritime reports, studies, and strategic plans associated with DNDO maritime elements of the GNDA and synthesize these documents into a summary and develop a maritime document repository for DNDO to perpetually retain this knowledge.
- Complete an architectural study of the maritime domain in the Great Lakes region that builds on previous architecture studies of the maritime pathway and lays the ground work for enhancing the layered detection capability along this significant maritime border.
- Complete a maritime architecture study to analyze and develop options for non-container vectors (bulk, break bulk, roll-on/roll-off, tanker).

FY 2010 planned accomplishments:

- Incorporate previous studies results and analysis into the USCG MSRAM model, and conduct risk modeling for several Tier I ports.
- Complete an architecture study to understand the requirements and existing PRND capabilities for Customs and Border Protection Air and Marine Office. Translate gaps into a multi-year joint acquisition strategy.
- Complete an architecture study to evaluate PRND options, existing programs, capabilities/curriculums for maritime state/local/international public safety and law enforcement boarding teams.
- Initiate architecture study to understand USG plans to expand maritime domain awareness (MDA) and propose options to better incorporate PRND requirements, including remote detection, reachback communications, and situational awareness among federal, state, local, and tribal public safety forces and community decision makers.
- Complete architecture study to assess screening/scanning capabilities and conops for cruise ship passengers/cargo/stores and ferry services (passengers and vehicles).

Accomplishments in Interior Mission Area:

Significant accomplishments in FY 2008 include:

- No interior mission area accomplishments are delineated for Systems Architecture in the Systems Development PPA in FY 2008 because they were consolidated with the Systems Engineering and Architecture PPA during that fiscal year.

FY 2009 planned accomplishments include:

- Examine the existing PRND Architecture for the “Green Border” States along the Mexican and Canadian borders, identify gaps and develop mitigation strategies.

- Examine the risk reduction attained when PRND architectures are applied to urban areas in the United States.
- Produce a comprehensive guide to existing RDD public education resources. This effort is the baseline for the other six projects in the Public Education Action Plan and will feed into the projects as they are initiated.

FY 2010 planned accomplishments:

- Architecture will advise the PRND strategy for future engagements in urban areas.
- Completed the public education program baseline curriculum development
- Investigate PRND capabilities in the non-border (interior) States to maximize the effect of PRND at pathway intersections.

State and Local Capability Development: Central to the success of an integrated effort to defend our Nation from the rad/nuc threat is a strong partnership with State and local entities responsible for the PRND mission within their own communities.

To facilitate this partnership, DNDO is pursuing targeted engagements with State and local communities to educate and inform them on rad/nuc threats, available support from DNDO and partner agencies and activities they can undertake to reduce risks. Prioritization of the Interior architecture is as follows: regions in and around major urban areas; border States; and finally, non-border States without major urban areas. Additional efforts to promote the PRND mission include: providing reports to State Fusion Centers and Emergency Operations Centers; maintaining a secure web portal; including a dedicated appendix on PRND in the DHS Homeland Security Grant Program Guidance; and outreach to national associations and State and local stakeholders through conferences and meetings. DNDO is also coordinating with Federal partners (including but not limited to: FBI, DOE, DoD, CBP, TSA, DHS Office of State & Local Government Coordination, and FEMA) to identify potential stakeholders interested in PRND.

Beyond increasing awareness and promoting the PRND mission, DNDO is addressing the needs of State and local partners that are dedicating resources toward the PRND mission by establishing support systems that will grow over time to meet increasing demands. Seeking long-term partners to assist in our evolving support network, DNDO has identified key members of the State and local PRND community from over 25 States who have been engaged in PRND planning and operations. Since 2005, the DNDO State & Local Stakeholder Working Group has met eight times and has collaborated in developing the entire range of support resources offered by DNDO, such as training curriculum, exercise designs, and equipment test designs. Another series of capstone products that DNDO is developing with the stakeholder group is the PRND Program Management Handbook and accompanying modules. The Handbook provides comprehensive guidance to State and local agencies in developing, enhancing, and maintaining PRND programs around the framework of planning, organization, equipment, training, and exercises. For the Handbook and other program development, DNDO also relies on the subject matter expertise of other State and local public safety agencies on specialized operations such as maritime, special events, and CVI.

As national awareness increases and more resources are dedicated by Federal, State, and local governments to the PRND mission, operational programs will grow in size and create further demand for support services. To meet these needs, DNDO will develop new training, exercise, and other support resources that remain relevant to the full range of operations, technologies, and threats.

Specialized capabilities at the State and local levels, as well as Federal capabilities such as the TSA's Visible Intermodal Prevention and Response (VIPR) program and DNDO's Mobile Detection Deployment Program (see the Systems Acquisition appropriation, FY 2008 and FY 2009 for a description of these initiatives), will require much greater hands-on assistance to foster and develop comprehensive, integrated, and regional approaches to PRND programs.

Accomplishments in Interior Mission Area:

Significant accomplishments in FY 2008 include:

- Conducted four situational awareness outreach meetings with Urban Area Working Groups and Joint Terrorism Task Forces
- Conducted two State and Local Stakeholder Working Group Meetings, including one dedicated to the development of user requirements for the next-generation, human-portable, rad/nuc detection systems program.
- Developed an additional module for the PRND Program Management Handbook, focusing on Small Maritime Craft
- Completed the delivery of a Statewide PRND Facilitated Handbook Program Assistance package in Florida, and initiated delivery in California

FY 2009 planned accomplishments include:

- Conduct six situational awareness outreach meetings with Urban Area Working Groups and Joint Terrorism Task Forces
- Conduct two State and Local Stakeholder Working Group Meetings, focusing on development of special event and source security modules for the PRND Program Management Handbook
- Complete development of one additional module for the PRND Program Management Handbook
- Complete delivery of Statewide PRND Facilitated Handbook Program Assistance package to California, and conduct at least one additional State delivery

Note: In FY 2008 and FY 2009, activities aligned with State and local capability development were funded in a decentralized manner, with funds provided from all DNDO mission and functional areas to support this range of activities. FY 2010 is the first year in which DNDO has centralized all State and local capability development activities under one program with a unique line item in support of the interior mission area.

FY 2010 planned accomplishments:

- Conduct at least eight situational awareness outreach meetings with Urban Area Working Groups and Joint Terrorism Task Forces.
- Conduct at least two State and Local Stakeholder Working Group Meetings, leading to development of new, specialized operational support modules for the PRND Program Management Handbook.
- Deliver Statewide PRND Facilitated Handbook Program Assistance package to at least three additional States.

- Deliver PRND Facilitated Handbook Program Assistance package to at least three Urban Areas.
- Develop technical assistance support programs for specific operational capabilities
- Deliver specialized technical assistance support to at least five States or Urban Areas in developing specific operational capabilities.

Algorithm Development: DNDO is responsible for the current and next generation of nuclear detection and identification systems. The identification will occur both at the detector level, such as a handheld device, or at the reach-back level when assistance from a nuclear specialist is required.

A critical component of the DNDO nuclear detection architecture is the software that correctly identifies the radioisotope. The algorithm program will review different mathematical approaches to radioisotope identification by studying the gamma spectroscopic signatures of threat isotopes, response functions of detector crystals, signal to noise ratios of the electronic filters, resulting in a high performance algorithm for deployment into the field and for technical reachback. The high performance algorithm (DHSIsotopeID) will provide the reachback analyst with an automated tool validated to provide fast and accurate evaluation that can accept data files from rad/nuc detection systems.

Accomplishments in Mission Support:

Significant FY 2008 accomplishments include:

- Completed the delivery of the first version of DHSIsotopeID, including documentation.
- Began the validation of DHSIsotopeID using data collected from the ASP cargo portal.

FY 2009 planned accomplishments include:

- Complete the validation testing of DHSIsotopeID using the algorithm testbed.
- Investigate other Isotope Identification algorithm techniques.
- Add additional isotopes to the identification library.
- Add additional shielding templates to the identification library.
- Add masking material templates to the identification library.

FY 2010 planned accomplishments:

- Conduct testing of DHSIsotopeID for all new radioactive isotopes and templates added to the identification library, supported by the algorithm testbed.
- Regression test new isotopes to ensure those added to the library do not alter the performance characteristics of other isotopes.
- Investigate other isotope identification algorithm techniques, and add additional isotopes, shielding templates, and material templates to the identification library as needed to support analysis of spectra from fielded systems.

Standard Information Exchanges (Data Interfaces) and Communications: The development and deployment of rad/nuc detection devices for operational monitoring and detection is one part of preventing a catastrophic rad/nuc event. In order to be successful, data must be exchanged efficiently and quickly among many nodes to support rapid decision-making and to initiate effective response once detection has occurred. Standardization of information exchanges is essential to achieving this capability and the standard Information Exchanges and Communications program tackles these challenges in a common manner providing economies of scale and removing duplication of effort. This program leverages earlier efforts to standardize radiation sensor system communications data as well as other government agency approaches to setting up communications links and distributing data automatically and securely to the right recipients.

The initial efforts in FY 2009 and FY 2010 will design and implement (as part of an existing pilot program) an interoperable approach to data communications while enhancing USG-wide standards. In FY 2010, specialized measures to accommodate low bandwidth scenarios will be tested and in the out-years DNDO will continually update the communications approaches to take advantage of emerging technology. Existing standards will be maintained and evolved while methods for validating new capabilities against these standards will be developed and provided to appropriate DHS or USG standards testing organizations.

Accomplishments in Mission Support:

Significant FY 2008 accomplishments include:

- There was no activity in the Standard Information Exchanges and Communications program in FY 2008.

FY 2009 planned accomplishments include:

- Complete documentation of the rad/nuc domain data exchange standard for inclusion in the National Information Exchange Model (NIEM), and support adoption of these standards by the broader Chemical, Biological, Radiological, and Nuclear (CBRN) community.
- Develop an approach to low bandwidth communications interoperable with the rad/nuc domain.
- Identify potential solutions for a communications capability for mobile systems and select one to test as part of an existing pilot program.

FY 2010 planned accomplishments:

- Implement approach to low bandwidth communications as part of an existing pilot program
- Complete testing of a mobile systems communication.

Data Validation & Quality: Radiation sensors provide significant quantities of complex data that must be used effectively to identify and interdict threats. This complexity manifests itself both in the data structures of the sensor system, as well as in the assessment of performance of the sensor systems themselves. To achieve interdiction of rad/nuc threats, data must be well-defined and accurately collected to be used effectively. This effort is closely integrated with the Sensor Data Management activities referenced in the Assessments PPA.

Accomplishments in Mission Support:

Significant FY 2008 accomplishments include:

- Completed ASP data interface validation software and supported ASP testing and evaluation.
- Completed initial Handheld program data interface validation software.

FY 2009 planned accomplishments include:

- Continue to support major DNDO test campaigns with data quality collection checks.
- Design, as part of a joint DNDO-CBP joint effort, N.25 (rad/nuc Domain) data standard validation capability with broad applicability to several pilot programs such as Handheld program LRIP units.

FY 2010 planned accomplishments:

- Support the Handheld program next-generation Operational Test and Evaluation (OT&E) activity.
- Integrate validation capabilities with Archive and Retrieval Management System (ARMS).

SUMMARY: System Development projects and activities maintain the Nation’s preeminent research and development program. The table below illustrates the crosswalk between specific and the DNDO mission areas. It is clear that programs and activities have applicability to more than one mission area and are represented in a cross-cutting manner.

	Land Borders	Aviation	Maritime	Interior	Forensics	Mission Support
International Rail Program	X					
Joint Integrated non Intrusive Inspection Program	X					
Human Portable Systems	X	X	X	X		
Vehicle / Mobile Program	X	X		X		
International General Aviation Aircraft Program		X				
International Commercial Aviation Passenger and Baggage Program		X				
On-Dock Rail Program			X			
Boat Mounted Sensor Program			X			
Securing the Cities Initiative				X		
National Technical Nuclear Forensics					X	
Nuclear Assessment Program						X
Technical Reachback Program						X
Training and Exercises Program						X
Systems Architecture	X	X	X	X		X
State and Local Capability Development				X		
Standard Information Exchanges (Data Interfaces) and Communications						X

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development and Operations
Program Performance Justification
(Dollars in thousands)**

PPA: ASSESSMENTS

	Perm Pos	FTE	Amount (\$k)
2008 Actual	---	---	32,446
2009 Enacted	---	---	32,000
2010 Adjustments-to-Base	---	---	416
2010 Current Services	---	---	32,416
2010 Program Change	---	---	0
2010 Request	---	---	32,416
Total Change 2009-2010	---	---	416

DNDO requests \$32.416 million for this activity. This includes an increase to the adjustment to base of \$.416 million over the FY 2009 enacted level.

CURRENT SERVICES PROGRAM DESCRIPTION:

The DNDO research, development, and acquisition process is anchored by the assessment of DNDO-mission related programs as they are developed, deployed, and implemented. DNDO continually assesses the global nuclear detection and reporting architecture through a variety of means, including test and evaluation (T&E) campaigns to characterize technologies and systems, execution of pilots with operational agencies to evaluate concepts of operation (CONOPS), red teaming assessments to deepen the understanding of adversary capabilities, and net assessments to identify the effectiveness of the planned and deployed global nuclear detection and reporting architecture.

Test and Evaluation (T&E) Infrastructure and Operations: The DNDO research, development, and acquisition process is anchored by a rigorous assessment of DNDO-mission related technologies as they are developed, deployed, and implemented. The testing of detection systems against special nuclear materials (SNM) in significant quantities and in realistic configurations is a key to assessment of rad/nuc systems.

The SNM test capability will be improved by the completion of the Rad/Nuc Countermeasures Test and Evaluation Complex (RNCTEC) located at the Nevada Test Site (NTS). This facility is unique in the U.S. Government, enabling the technical community to bridge the gap between “bench-top testing” performed by developers and operational field-testing, including pilot deployments.

Scanning containers at intermodal seaports presents unique challenges, including marine and surface cargo carriers. The Port of Tacoma was designated as host for the Rail Test Center (RTC) for DNDO to evaluate operational protocols and various instrument technologies for radiation scanning without adversely impacting commerce. The standup of the RTC was required by the SAFE Port Act of 2006.

RTC began operational data collection in the early spring of 2008, and conducted the first system testing beginning in July 2008.

DNDO must also continue to develop and maintain supporting infrastructure and materials needed for test campaigns at other test facilities such as the maritime test facility at L-Lake in the DOE Savannah River Site (SRS). The Crawdad test campaign assessed eleven marine-specific detection systems during the summer of 2008.

Core testing capabilities have expanded to include mobile data collection systems which are flexible to support multiple test campaigns, expanded GPS and wireless communication systems, an expanded data archival/retrieval data collection system to maintain all DNDO test data, and video tracking systems. To ensure comprehensive, technically defensible test campaigns, radiation and nuclear experts are included in all test planning activities from organizations such as NIST, DOE national laboratories, and Defense Threat Reduction Agency (DTRA).

Accomplishments in Mission Support:

Significant accomplishments in FY 2008 include:

- Conducted twelve distinct test campaigns at NTS, PNNL, SRS, RTC, and Kirkland and Andrews Air Force Bases (AFBs).
- Re-initiated construction of the RNC TEC.
- Established the RTC at the Port of Tacoma.
- Established a maritime test bed at the DOE SRS.
- Procured, developed, and maintained a supply of test articles, including threat-representative sources, challenging Naturally Occurring Radiation Material (NORM), and masking materials.
- Developed plans and procedures to conduct limited scope rapid response testing (R2T) at NTS to shorten planning process in times of urgent need. Conducted field exercise to validate plans and procedures
- Delivered one weapons-grade plutonium (Pu) sealed source to NTS for detector testing and potential algorithm development for future generation systems.
- Integrated expertise from a variety of partner agencies for threat test scenario planning, analytic design, and technical data analyses and modeling.

FY 2009 planned accomplishments include:

- Complete construction of RNC TEC, start nuclear operations, and initiate test campaigns at this facility.
- Increase testing infrastructure at the SRS, particularly at the Calibration Laboratory.
- Expand testing capabilities at RTC to include straddle carrier testing.
- Develop and assemble test objects for active interrogation and advanced radiography testing.
- Procure and develop relevant sources and stream-of-commerce NORM (such as “abandoned” or “seized” rad/nuc material at POEs) to support testing. This includes sources needed for Graduated Rad/Nuc Detector Evaluation and Reporting (GRaDER) testing against government-unique Technical Capability Standards.

- Conduct R2T scenario to validate process and maintain readiness and proficiency.
- Perform twelve distinct test campaigns at RNC TEC/NTS and RTC.
- Integrate expertise from partner agencies in integrated test campaigns for threat test scenario planning, analytic design, and technical data analyses and modeling.
- Enhance data acquisition systems to include integrated video tracking, secure wireless data transmission and storage, and enhanced data archival/retrieval systems.

FY 2010 planned accomplishments:

- Conduct at least eight test campaigns.
- Increase testing infrastructure at RNC TEC to support advanced radiography and active interrogation.
- Expand testing capabilities to support aerial rad/nuc detection.
- Maintain schedule of radiation detector test operations and pilots at RNC TEC (T&E) and RTC and San Diego Port and Seattle airport (pilots).
- Integrate expertise from partner agencies in integrated test campaigns for threat test scenario planning, analytic design, and technical data analyses and modeling.

Directed Test Campaign: Routinely, DNDO conducts test campaigns to characterize currently-available equipment in operationally relevant environments. Such tests provide for the independent assessment of equipment outside of the Developmental Test and Evaluation (DT&E) and Operational Test and Evaluation (OT&E) conducted by the developers of this equipment. State and local entities have repeatedly stated their requirements for these test data to inform their grant requests, to ensure that they develop grant applications that include rad/nuc equipment that is proven to be effective for their unique operational environments.

Advanced Aerial Mounted Detector Campaign. Federal, State, and Local partners are currently purchasing and deploying COTs and GOTs detector systems for use with fixed and rotary wing aerial platforms. This test campaign will focus on determining technical performance of currently available COTs and GOTs systems in operationally relevant land-based and maritime-based scenarios. The results will support State and locals in the interior mission area, between ports of entry in the Land Border mission area, and large area screening by State and Coast Guard in the Maritime mission area.

Maritime Test Campaigns. In support of the Boat-Mounted Sensor Program (in Systems Development PPA in prior years) and the West Coast Maritime Pilot Program, DNDO conducted the Crawdad test campaign in FY 2008 to characterize the performance of mobile standoff (boat-mounted) detection systems in the marine environment. In FY 2009 DNDO will conduct additional testing of boat-mounted detection equipment as part of the West Coast Maritime Pilot program.

Accomplishments in the Maritime Mission Area:

Significant accomplishments in FY 2008 include:

- Conducted a maritime test campaign (Crawdad) on currently available boat-mounted detectors to baseline their performance in a controlled maritime environment (L-Lake, SRS). Test results will inform the decision-making process in the selection of equipment for the

West Coast Maritime Pilot Program as well as technical requirements for future development efforts.

FY 2009 planned accomplishments include:

- Evaluation of COTS/GOTS boat-mounted radiation detection systems in the West Coast Maritime Pilot program in Puget Sound.
- Conducted boat-mounted maritime radiation detector test (Dolphin) in San Diego to support West Coast Pilot in Sand Diego.

FY 2010 planned accomplishments:

- There is no planned maritime test campaign activity in FY 2010.

Red Teaming and Net Assessments (RTNA): RTNA evaluates the overall effectiveness of implemented PRND capabilities using adversary emulation, workshops, expert elicitation, modeling, cooperative assessments, covert testing, open source studies and adversarial red teaming. Over time, these tools can improve the effectiveness of the Nation's capabilities relative to a determined adversary, and they are used as part of a coordinated assessments cycle, using cooperative and adversarial approaches in assessing the effectiveness of implemented programs. Assessments are tailored to meet the customers' objectives and capability maturity levels and to provide an actionable set of recommendations for improvement.

The red teaming process tests the GNDA using information available to a variety of potential adversaries. This emulation of the threat increases the probability that DNDO identifies and addresses weaknesses in the Nation's PRND defenses, and more importantly, focuses on the effectiveness of these defenses against a resourceful and adaptive adversary. Open source studies use publicly available information to develop realistic courses of action. Adversarial red teaming acts on these courses of action. Red teaming will contest technologies, concepts, and approaches and provide insights for achieving a more robust PRND capability. Covert testing, on the other hand, focuses on the performance of implemented capabilities by attempting to penetrate known defenses with materials of interest.

The net assessments process examines the overall effectiveness of implemented and planned PRND capabilities and perceived adversary capabilities through cooperative means. It enables the United States to evaluate its effectiveness against the adversary. This process incorporates findings and recommendations from a variety of assessment methods, including cooperative assessment methods, surveys, probabilistic modeling, and expert elicitation.

When these various assessment tools are used in coordination, DNDO benefits by understanding how defensive systems perform against an emerging, adaptive adversary. This continuous process will significantly improve global nuclear detection capabilities.

Accomplishments in Mission Support:

Significant accomplishments in FY 2008 include:

- Conducted open source studies, covert testing, and adversarial red teaming of PRND capabilities and exercises. Assessments focused on seaports (in support of CBP's Top 22

Seaport testing to comply with the SAFE Port Act of 2006) and initial engagement with State and local detection capabilities.

- Conducted training assessments with Federal, State, and local agencies and developed a strategy for follow-on testing and assessment, including first responder and law enforcement personnel and spectroscopists involved in technical reachback and alarm adjudication.
- Assessed DNDO detection equipment surge capability, initiated assessment of embedding detection capability with TSA VIPR teams, and assessed the STC business model.
- Continued with development validation of a probabilistic model that incorporates an adversary's aspirations coupled with a comprehensive transportation network.

FY 2009 planned accomplishments include:

- Conduct open source, covert testing, and adversarial red teaming activities, including use of SNM surrogates. Continue assessments of Federal detection capabilities beyond seaports (e.g. land border POEs and aviation). Continue to assess domestic capabilities, aligning support with DNDO outreach programs (e.g. WCMP and State engagements).
- Continue assessing the effectiveness of international, Federal, State, territorial, tribal, local agency, and first responder PRND training.
- Conduct assessments of PRND programs internal to DNDO and programs involving other agencies to determine program effectiveness. Continue assessment of the effectiveness of the STC engagement model, complete assessment of embedding detection capability with TSA VIPR teams, and initiate the PRND data collection effort to base-line State and local detection capabilities.
- Conduct workshops on nuclear terrorism to enhance adversary portrayal in the probabilistic model under development.
- Complete the first phase of development of a probabilistic model that incorporates an adversary's aspirations coupled with a comprehensive transportation network.

FY 2010 planned accomplishments:

- Conduct open source, covert testing, and adversarial red teaming activities to include using SNM surrogates and possible involvement in the West Coast Maritime Pilot and expanded assessments of land border and aviation pathways.
- Assess the effectiveness of international, Federal, State, territorial, tribal, local agency, and first responder PRND training.
- Conduct assessments of PRND programs internal to DNDO and programs involving other agencies to determine program effectiveness including continuation of the PRND Data Collection Effort.
- Refine the probabilistic model by fully incorporating red teaming and net assessment findings and recommendations and conducting analysis that enhances the nation's PRND defenses, and conduct model verification, validation, and accreditation.

Southeast Transportation Corridor Pilot: In 2006, DNDO began a pilot program to test certain elements of the interior layer of the GNDA. The Southeast Transportation Corridor Pilot (SETCP) involved Federal, State, and local participants in the Southeast Region of the United States, and dealt

with the detection and interdiction of illicit rad/nuc materials on the Nation's interstate highways. SETCP is scheduled to end on or around July 31, 2009 .

SETCP focused on the following objectives:

- Develop a regional threat detection and interdiction architecture.
- Implement a limited operational detection and reporting capability.
- Develop and demonstrate a regional CONOPS, including alarm resolution protocols.
- Enhance regional communication infrastructure and collaboration for information exchange.
- Implement technical reachback to support detector deployments.
- Evaluate detection, data sharing, training, and connectivity components, individually and as part of an integrated system.

Accomplishments in the Interior Mission Area:

Significant accomplishments in FY 2008 include:

- Completed the design, installation, and training for radiation portal monitors (RPMs) in five States (SC, GA, VA, MS, and NC). These deployments provide a detection capability at weigh stations and have supported the identification of basic capability requirements and determination of the feasibility of the expanded use of radiation detection monitors at weigh stations throughout the country.
- Deployed six mobile detection systems (TN, KY, FL, AL, VA, DC), four of which were the mobile version of the Advanced Spectroscopic Portal (ASP). These systems allow for a re-locatable detection capability which can be used to monitor by-pass routes, road-side inspection activities, and targeted detection activities within commercial vehicle inspection (CVI) operations.

FY 2009 planned accomplishments include:

SETCP initiatives concluded with a full scale exercise (FSE) in CY 2008. Final SETCP documentation will be finalized in FY 2009.

- The pilot culminated in a FSE, *Southern Exposure*, which took place in October and November 2008. *Southern Exposure* included an evaluation of source detection within all SETCP-Member States, the District of Columbia, and the Port of Charleston, SC (*Project SeaHawk*); communication of spectral data to State command centers, the Joint Analysis Center (JAC), and Regional Reachback centers; and resolution of alarms. The results of the *Southern Exposure* FSE will be captured in an After Action Report (AAR) released in the Spring 2009.
- As a pilot, SETCP has an exit strategy that includes a finalized Best-of-Breed design package for weigh station portal monitor installations. The design package will provide a turn-key approach to planning, designing, installing and operating detection equipment at weigh stations. It will provide States the necessary means to conduct PRND operations in a CVI environment to include coordinating resolution of alarms with the Federal Government.
- At the end of the pilot DNDO will publish a Final Report to include pilot lessons learned, an operational utility assessment (OUA), and a business case analysis (BCA) that will inform future decisions regarding expanding PRND capabilities within State and local CVI operations and support further enhancements to the interior layer of the GNDA.

West Coast Maritime Pilot Program: This pilot program supports the DHS Small Vessel Security Strategy objective to develop a robust layered defense by expanding and enhancing maritime rad/nuc detection capabilities for international, Federal, State, local, tribal and private stakeholders. Consequently, the focus of this effort is to evaluate the effectiveness of a limited, phased deployment of commercially available and Government-Off-the-Shelf (GOTS) rad/nuc detection capabilities against the small vessel threat in the Puget Sound and San Diego regions and gather lessons learned to improve effectiveness of a wider deployment of maritime capabilities to other priority US ports. The pilot will conclude in September 2010 with final report expected by December 2010.

Accomplishments in the Maritime Mission Area:

FY 2008 accomplishments include:

- Baselined the existing PRND architectures for both Puget Sound and San Diego regions.
- Identified 15 State and local participants for the West Coast Maritime Pilot in the Puget Sound region, and identified available assets from the USCG and CBP (Offices of Field Operations and Air & Marine).
- Performed initial design activities in Puget Sound to include 1) assessing geographic choke points and buffer zones in order to maximize opportunities to encounter, detect, and interdict rad/nuc threats, 2) developing initial deployment strategies and CONOPS, and 3) identifying detector technology/equipment requirements.
- Developed and implemented regional concepts of operation and the alarm adjudication process for the Puget Sound Region.
- Developed a deployment plan supported by CONOPS for commercially available human portable rad/nuc detectors suitable for the maritime environment for the Puget Sound Region.
- Began initial training for human portable rad/nuc detection equipment in Puget Sound.
- Initiated development of long-term regional supportability plan.
- Assisted DOE in conducting a feasibility study of rad/nuc detection in the maritime environment using airborne detection systems.

FY 2009 planned accomplishments include:

- Build on the work completed in Puget Sound to develop and implement regional CONOPS and an alarm adjudication process for San Diego.
- Complete a background radiation report for Puget Sound and San Diego.
- Complete the initial design and begin limited employment of boat-mounted rad/nuc detection equipment in Puget Sound and San Diego.
- Initiate training in San Diego and continue training in the Puget Sound Region to support the deployment of rad/nuc detection equipment.
- Conduct drills and exercises with human portable equipment. These exercises will test the validity of the CONOPS, procedures and protocols that have been developed for each region.
- Build on initial design efforts by conducting feasibility study and analysis of alternatives for possible locations for fixed radiation detection equipment.

- Validate the effectiveness and usability of the Maritime Module for the PRND Program Management Handbook.
- Develop and implement maritime-specific training.

FY 2010 planned accomplishments:

- If determined feasible, deploy, integrate and assess fixed detectors and associated CONOPS and SOPs.
- Conduct FSEs in Puget Sound and San Diego in order to validate training, equipment, CONOPS, procedures and protocols. The exercises will be designed to involve all participants in the West Coast Maritime Pilot, and evaluate the effectiveness of human portable, boat-mounted, and fixed rad/nuc detection equipment in the maritime environment.
- Document lessons learned and identify gaps from the pilot to improve future development and deployment of maritime PRND capabilities.
- Develop and document a maritime PRND process that will provide a framework for other Area Maritime Security Committees (AMSC)/ports considering the establishment of a maritime PRND program.
- Complete an integrated logistics study to identify life-cycle costs associated with maintaining a maritime PRND capability.
- Identify requirements to support a full-scale maritime PRND capability.
- Identify Maritime Domain Awareness (MDA) and Command, Control and Communications requirements to integrate maritime PRND with intelligence, targeting, reachback and response for a full scale deployment.

Sensor Data Management. The activities within this section pertain to the collection, standardization, utilization and archiving of data throughout the DNDO programs. This includes Data Architecture, Standard Information Exchanges (Data Interfaces) and Communications, and Data Validation and Quality.

Data Architecture: Virtually every DNDO program collects and stores data of some kind. Many programs collect large amounts of complex data from radiation or radiography sensors as well as supporting sensors such as cameras. This data must be collected, stored, archived and analyzed to support both operational and test missions of DNDO. The Data Architecture program seeks to standardize these data management functions across DNDO in order to facilitate analysis of data trends, information sharing and advanced algorithm development obviating the need for additional and costly testing.

Support for Test and Evaluation Data: As part of the Data Architecture program DNDO is developing an important capability aimed at archiving and using technical performance data associated with the types of instruments DNDO develops and/or procures. This archived data, called the algorithm development test bed, is a powerful tool capable of improving algorithm and detector performance by using previously collected test data thereby providing substantial cost savings to the government. The algorithm development test bed is a nationwide asset being used by DNDO, DOE, and many national laboratories to perform injection studies, make trade-off decisions, and verify software updates.

All activities that comprise the Data Architecture effort will work together to make all data collections interoperable, comparable, and re-useable for different purposes. In FY 2008 and FY 2009, initial systems are being developed to archive, manage and utilize data from DNDO test programs. This effort is closely integrated with the Data Validation & Quality activities referenced in the Systems Development PPA.

Accomplishments in Mission Support:

Significant FY 2008 accomplishments include:

- Designed and began implementation of the Archive and Retrieval Management System (ARMS) for DNDO test campaign data.
- Designed and deployed core functionality for the Data Collection System (DCS) against major test campaigns.
- Began implementation of the Report Analysis and Archive System (RAAS) and collected input documents on RPMs.
- Generated certified data sets from data collection efforts for threat identification algorithm development and to perform regression analysis during the ASP system qualification testing.
- Developed tools to support algorithm analysis and injection studies

FY 2009 planned accomplishments include:

- Create long-term storage design implementation for ARMS. Complete conversion of high value data from past tests into the ARMS standardized format.
- Add functionality to DCS and use for an increased number of test campaigns.
- Complete the RAAS implementation at the Defense Threat Reduction Information Analysis Center
- Migrate open and closed data sets generated for ASP algorithm development and Human Portable Radiation Detection Systems into ARMS
- Maintain Algorithm test bed, continue injection studies and support algorithm development and new technology trade studies
- Perform regression testing of software updates as needed and support DHSIsotopeID testing and development

FY 2010 planned accomplishments include:

- Complete implementation of ARMS long-term data storage design.
- Support algorithm development and new technology trade studies and injection studies.
- Perform regression testing of software updates as needed, and maintain support for DHSIsotopeID testing and development.
- Enhance data acquisition systems to include integrated video tracking, secure wireless data transmission and storage, and enhanced data archival/retrieval systems.

SUMMARY: The table below illustrates the crosswalk between specific projects and activities and the DNDO mission areas. Programs and activities have applicability to more than one mission area and are represented in a cross-cutting manner.

	Maritime	Interior	Mission Support
Test and Evaluation (T&E) Infrastructure and Operations			X
Maritime Test Campaign	X		
Red Teaming and Net Assessments			X
Southeast Transportation Corridor Pilot		X	
West Cost Maritime Pilot Program	X		
Sensor Data Management			X

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development and Operations
Program Performance Justification
(Dollars in thousands)**

PPA: NATIONAL TECHNICAL NUCLEAR FORENSICS

	Perm Pos	FTE	Amount (\$k)
2008 Actual	---	---	14,122
2009 Enacted	---	---	16,900
2010 Adjustments-to-Base	---	---	0
2010 Current Services	---	---	16,900
2010 Program Change	---	---	2,800
2010 Request	---	---	19,700
Total Change 2009-2010	---	---	2,800

DNDO requests \$19.700 million for this activity. This includes a program change increase of \$2.800 million over FY 2009 enacted levels.

CURRENT SERVICES PROGRAM DESCRIPTION:

In the aftermath of a nuclear detonation in the United States, the interdiction of a nuclear device, or the seizure of nuclear materials, there will be extreme pressure to attribute the source, establish responsibility, and to ensure that it does not happen again. Nuclear forensics, as one of the three pillars supporting attribution, along with intelligence and law enforcement investigations, provides essential support to the global nuclear detection architecture through deterrence, and should a device or materials be intercepted, support for attribution of the materials and subsequent US Government (USG) actions.

DNDO’s National Technical Nuclear Forensics (NTNF) capability serves as an integral component and layer of the USG effort to combat nuclear terrorism. This capability provides means for the collection, analysis, and evaluation of rad/nuc materials and associated evidence for the purpose of comprehensive and timely forensic analysis to contribute to attribution conclusions. An effective forensics and attribution capability will inform national response deliberations and can also help to prevent a follow-on attack. At the strategic level, nuclear forensics can contribute to deterrence and prevention by promoting the concept of “nuclear accountability” for nations that may wittingly or unwittingly enable a terrorist to obtain nuclear devices or materials.

DNDO’s NTNF mission is twofold: 1) to serve as national “systems integrator” providing centralized planning, integration, assessment, exercising, and stewardship of USG nuclear forensics capabilities, and 2) to conduct nuclear materials R&D enabling an enduring capability to rapidly, accurately, and credibly identify the origins and history of nuclear and radiological materials.

A strong, consistent effort to coordinate TNF activities across the USG is critical to the success of the mission – ad hoc cooperation in the aftermath of an event will fail to meet intense demands for rapid

and effective processes. DNDO's NTNF Center (NTNFC) has the leading role to ensure this coordinated success as national systems integrator for USG nuclear forensics. NTNFC is fulfilling its mandate to steward the national-level planning, integration, advancement, and readiness of an enduring national nuclear forensics capability. This includes continuous review, exercising, and assessment of NTNF activities, in order to maximize readiness and advance capabilities. It also includes leading and stewarding USG initiatives to restore and sustain an enduring nuclear forensics expertise pipeline, which is one of the most important challenges facing the nation's TNF capability. DNDO has begun planning and leading efforts to address pipeline deficiencies on multiple fronts, including fellowships, internships, outreach, university awards, and enhanced multi-year R&D funding. DNDO's joint forensics and transformational research academic expertise initiatives have generated enormous enthusiasm among non-governmental organizations, universities, and national labs. These new initiatives are providing a significant adrenaline boost to the nuclear pipeline.

DNDO's pre-detonation nuclear materials R&D program supports its essential mission to serve as the national capability provider for technical nuclear forensics of rad/nuc materials interdicted before a detonation. The success of the pre-detonation materials program is crucial in responding to the growing threat of nuclear terrorism, which is evidenced by increased global nuclear smuggling, proliferation, and accessibility to nuclear knowledge since the early 1990s. The program is focused on ensuring and advancing the capability to perform rad/nuc materials analysis, evaluation, and interpretation of all sources of technical information, including isotopic and chemical composition, physical structure, manufacturing processes, and material pathways; developing and sustaining a pre-detonation concept of operations and technical capabilities to handle and analyze rad/nuc materials; and performing research and development to address gaps and shortfalls in the capabilities. This includes the development of Material Reference Standards & Measurements. DNDO is working with the DOE National Laboratories, in addition to international partners, to further progress in this mission area.

Within this context, DNDO is striving to advance the technical capabilities, integrate the partner agencies, and restore the academic pipeline to ensure an enduring national capability. In order to more effectively accomplish these goals, DNDO is focusing its efforts in both the Systems Development PPA and NTNF PPA and will serve to not only more rapidly address the technical challenges to improve pre-detonation forensics technological capabilities, but at the same time to focus attention on the nuclear forensics expertise pipeline, which requires continuing measured and enhanced funding across its spectrum from the most junior (e.g., student internships and fellowships, and retaining/recruiting new faculty) to the most senior (e.g., engaging and retaining the laboratory forensic scientists through a stable and sufficient R&D program).

Operational Readiness Support -- Integration, Stewardship, and Evaluation: DNDO's overarching nuclear forensics mission to serve as national "systems integrator" to ensure readiness involves providing centralized planning, integration, assessment, exercising, and stewardship of USG nuclear forensics capabilities. DNDO leads the coordination of a comprehensive global TNF capability that weaves together and leverages the six departments and agencies with roles and responsibilities across the TNF mission spectrum, including DHS, DOE, DoD, FBI, DOS, and the Office of the Director of National Intelligence (ODNI).

Accomplishments in National Technical Nuclear Forensics:

Significant accomplishments in FY 2008 include:

- Completed development of the USG interagency NTNF Playbook that describes the coordination and operations across the entire mission space from pre-detonation materials, to interdicted devices, to post-detonation debris in both domestic and foreign scenarios.
- Initiated development of an interagency NTNF Strategic Plan, Baseline Capabilities Framework and CONOPS. The Strategic Plan describes the overarching goals and objectives for FY 2009 – FY 2014 to further develop and sustain an enduring USG technical nuclear forensics capability. The NTNF Baseline Capabilities Framework delineates expected near-term (FY2009-FY2012) threshold NTNF capabilities across the pre-det materials, pre-det device, and post-det mission areas. The NTNF CONOPS is a strategic version of the Playbook, outlining at a higher level NTNF interagency coordination and operations across the mission spectrum.
- Initiated a National Academy of Sciences (NAS) assessment on nuclear forensics capabilities, infrastructure, and workforce, which is jointly sponsored by DNDO, DOE, DoD, and the FBI.
- Led the centralized interagency planning effort to coordinate TNF activities, address programmatic issues, and align and leverage resources. Accomplished this by leading the interagency NTNF Steering Committee, Executive Council, and numerous program planning and alignment meetings to coordinate activities and refine the NTNF interagency Budget Crosscut.
- Chaired the interagency Attribution Working Group of the Office of Science and Technology Policy Nuclear Defense R&D Roadmap and completed the forensics and attribution chapter of this document prioritizing USG R&D needs for FY 2010-2014.

FY 2009 planned accomplishments include:

- Complete the interagency NTNF Strategic Plan and the Baseline Capabilities Framework and the CONOPS.
- Complete a “Path Forward Plan” for interagency work toward the development of NTNF requirements. This plan will include options for incrementally tiered capability improvements across the NTNF mission space, tied to resource implications. Once the Path Forward Plan is complete or well under way, work will commence on Capability Area Technical Annexes, to include Pre-Det Materials Requirements.
- Update the NTNF Playbook.
- Complete the development of an NTNF interagency Strategic Communications Plan, which will inform stakeholders, the media, the public, and adversaries. This plan was delayed in order to coincide with emerging U.S. declaratory policy and Weapons of Mass Destruction (WMD) attribution policy.
- Conduct two interagency program planning and alignment sessions to coordinate activities and refine the NTNF interagency budget crosscut.
- Lead interagency Steering Committee meetings at least once every two months and an annual Executive Council meeting to facilitate issue resolution and document development, coordination, and review.
- Participate in developing and coordinating interagency NTNF International Engagement Strategy.
- Initiate the first overarching NTNF Annual Capability Assessment to evaluate how well the NTNF community can accomplish the mission in each phase of the process. Partner with the

FBI and ODNI to plan and lead a major assessment and exercise in the Summer Hard Problem Program (SHARP) entitled “Interdisciplinary Communication of Nuclear Event Attribution: How and Why?” The assessment will examine issues and processes related to time-sensitive decision making and effective formulation and communication of technical conclusions (which may be based on incomplete information) with their associated confidence levels to senior officials

- Complete the National Academies Study, which will provide findings and recommendations to sustain and improve the Nation's nuclear forensics capabilities. Continue to chair Attribution Working Group to coordinate interagency long-term R&D priorities.

FY 2010 planned accomplishments:

- Complete first NTNF Annual Capability Assessment.
- Complete the CONOPS based on results from two end-to-end interagency exercises in FY09, Oak Phoenix (post-det IND) and Marble Challenge (pre-det IND).
- Continue to lead the centralized interagency effort to coordinate TNF activities and ensure continued interagency program and resource alignment, including annual refining of the Budget Crosscut.
- Continue to lead joint planning through the interagency Steering Committee and Executive Council.
- Update the Playbook and CONOPS as necessary to reflect maturing TNF operational processes.
- Update the NTNF Strategic Plan.
- Conduct first annual assessment to ensure alignment of interagency budgets with OSTP Roadmap.
- Continue to chair Attribution Working Group to coordinate interagency long-term R&D priorities.

Technology Advancement -- Pre-Detonation Materials Research & Development (Collections, Analysis, Evaluations, and International Collaborations): The pre-detonation rad/nuc materials forensics mission is the NTNFC’s primary R&D concentration. This mission is focused on ensuring and advancing the capability to perform rad/nuc materials analysis and evaluation of all sources of technical information, including isotopic and chemical composition, physical structure, and material pathways; developing technical capabilities to handle and analyze rad/nuc materials; and performing R&D to address gaps and shortfalls in the capabilities. The pre-detonation material capability also engages in a disciplined approach to developing scientifically sound validated methodologies that will provide a known level of confidence to analytical results. The development and implementation of validated methodologies in technical nuclear forensics analyses ensures the use of standard methods for signature analyses, articulation of confidence in results, and practice of demonstrated competencies in measurements and evaluations.

There are many nuclear and radiological threat materials that require the same level of rigor in laboratory analysis. At the current level of funding, DNDO validated one signature every two years. At this rate, it will take more than 15 years of effort on the high priority threat items alone. This could dramatically affect our ability to respond adequately to a nuclear forensics requirement resulting from a terrorist event.

While the NTNF PPA describes the core activities in this mission area, beginning in FY 2010 the Systems Development PPA provides for additional NTNF capability advancements in order to meet the stringent requirements and expectations of the primary stakeholders in the Executive Branch and in the Congress. By prudently leveraging Systems Development resources, DNDO will initiate and expand forensics systems development projects (described in the Systems Development PPA for the Knowledge Management and Assessment System (KMAS)) which will allow us to more quickly analyze and catalogue U.S. and foreign nuclear materials, develop techniques to more rapidly and accurately characterize materials and link them to nuclear processes/facilities/locations to support attribution. Note to clarify the forensics PPA alignment: in order to remain consistent with the previous direction of Congress, funding for KMAS system developmental work resides in the Systems Development PPA.

Accomplishments in National Technical Nuclear Forensics:

Significant accomplishments in FY 2008 include:

- Developed a more balanced technology portfolio for R&D incorporating Collection, Analysis, and Evaluation projects. For FY 2008 proposals, conducted the first merit review process using federal representatives from stakeholder agencies such as the FBI, DOE, and DoD. Initiated a structured approach to managing projects through their entire lifecycles, beginning with a call for proposals, merit reviews, selection, development of Statements of Work and funding processes, project oversight, and concluding with project closeout. Further efforts to refine this process will continue in FY 2009.
- Initiated development of a phased approach for validating methodologies for laboratory analysis, beginning with ¹³⁷Cesium age dating, which will improve the understanding of confidence levels as well as enhance accuracy.
- Conducted high resolution gamma-ray measurement screening on U.S.-produced highly enriched uranium (HEU) for follow-on forensics analyses and material characterization.
- Completed study for controlled uranium production capability to enable development of process-based predictive signatures for HEU.
- Demonstrated group exclusion algorithms, using the open-source SFCOMPO (spent reactor fuel) database, to mathematically exclude hypothetical questioned samples from potential signature families.
- Enhanced NTNF collaborations with the State Department in support of cooperative international nuclear forensics activities, including the Global Initiative to Combat Nuclear Terrorism (GI), the International Technical Working Group on Nuclear Smuggling & Forensics (ITWG), and a series of three meetings with Canadian counterparts through the North American Security and Prosperity Partnership (SPP).

FY 2009 planned accomplishments include:

- Examine foreign source materials for radiological dispersal device (RDD) signatures, specifically Am and AmBe sources, to populate a database for comparative signatures as well as have material samples for future methodology development.
- Perform comprehensive forensics material characterization on selected U.S. HEU samples, based on the high resolution gamma-ray screening results from 2008, to identify potential discriminating signatures in U.S. HEU.

- Initiate plans for controlled uranium production capability to enable development of process-based predictive signatures for HEU.
- Conduct forensic analyses of foreign research reactor spent fuel assemblies from Savannah River Site to improve modeling in research reactors which will support both special nuclear materials (SNM) and RDD attribution.
- Based on the successful demonstration of group exclusion algorithms, initial feasibility of group inclusion (which is more challenging) will be demonstrated, using the open-source SFCOMPO (spent fuel) database, to mathematically include hypothetical questioned samples with potential signature families.
- Facilitate the advancement of international nuclear forensic capabilities -- partner with the Atomic Weapons Establishment (AWE) in the United Kingdom, through the existing DOE/JOWOG collaboration, to identify and determine diagnostic signatures in Pu material.
- Collaborate with international partners through the 14th International Technical Working Group on Nuclear Smuggling and Forensics.
- Collaborate with the Canadian government on RDD material signatures and associated databases.
- Partner with State to support international workshops and related activities under the Preventing Nuclear Smuggling Program (PNSP) and Global Initiative.

FY 2010 planned accomplishments:

- Demonstrate the first production batch of uranium material from controlled bench-scale production capability to enable development of process-based predictive signatures.
- For RDD threat material, complete validated methodology for ¹³⁷Cs age dating in a CsCl matrix (the first validated methodology for the TNF program) and include the development of a supporting barium reference material.
- Support efforts to better link TNF research to the law enforcement needs of the FBI by employing a “mock trial” to demonstrate how TNF evidence and conclusions would be used in a court of law.
- Using the “mock trial,” conduct the first demonstration of the robust criteria for standard forensics data requirements for nuclear materials (information from illicit nuclear material trafficking events to be used in the prosecution of responsible individuals), which will define an initial framework of how existing nuclear information may be used in TNF cases.
- Continue international collaborations on TNF materials signatures analyses and comparative process knowledge with the UK and Canadian governments.
- Continue broader international cooperation under the GI and ITWG constructs.

Material Reference Standards & Measurements: The use of standard reference materials is crucial to ensuring the accuracy of laboratory analyses/measurements both in operational casework as well as in research. They allow for the understanding of how well an analytical method works, how errors propagate through the process, and the level of confidence that can be placed in the results. The ability to validate a methodology is often dependent upon reference materials, which in many cases do not exist and must be developed for this particular purpose. The development of reference standards is time consuming and is often the longest lead item in achieving a validated methodology that can support casework.

DNDO will continue to support the development of quality assurance (QA) standards for nuclear forensics purposes, and per agreement with the FBI the responsibility for the maintenance of an operational QA capability will rest with the FBI. In turn, NTNFC is responsible for the development of standard reference materials. QA and reference standards are intricately tied together and DNDO has been partnering with the FBI on this endeavor.

Accomplishments in National Technical Nuclear Forensics:

Significant accomplishments in FY 2008 include:

- Developed a plan of action to prioritize reference standards development for rad/nuc materials and continued capability development.
- Completed formal QA certification and annual QA re-certification at partner laboratories.
- Developed experimental design and certification strategy for production of ^{229}Th Isotope Dilution reference material.
- Completed calibration, characterization, dilution, verification, and certification of RDD material identification solutions (^{60}Co , ^{90}Sr , ^{137}Cs , ^{210}Po , ^{226}Ra , ^{238}Pu , ^{239}Pu , and ^{241}Am), which was co-sponsored with the Environmental Protection Agency, the Food and Drug Administration, and the Centers for Disease Control and Prevention.

FY 2009 planned accomplishments include:

- Restart mass separator at Idaho National Laboratory, which will be the only operating mass separator in the U.S. for the production of enriched isotopes for standard reference material. Barium is the first material needed for production to support the ^{137}Cs age dating methodology.
- Transition QA oversight and ISO-17025 (certification) maintenance to the FBI. Develop overall policy for QA needs for the NTNFC program.

FY 2010 planned accomplishments:

- Complete standard reference material development to support ^{137}Cs age dating method validation, which will be the first DNDO-sponsored validated methodology for an RDD threat material signature.
- Produce priority standard reference materials with the mass separator.
- Continue to engage international partners in sharing standard reference materials, best practices and protocols, and participate in an international materials forensics exercise.

Exercises: DNDO reviews and assesses NTNFC capabilities by conducting exercises and evaluating proficiencies, processes, and protocols. Once an exercise has been conducted, the documented results are appraised and thoroughly examined for improvement areas. Finally, recommended enhancements are proposed to the interagency NTNFC Exercise Working Group. All relevant interagency partners participate in the exercise planning and schedule coordination process, including DOJ, DOS, DoD, DHS, ODNI, DOE, and the national laboratories. Exercises assess field sampling techniques, laboratory analysis and coordination, data evaluation and reporting, and strategic communication flow

and media output. They alternate between pre-detonation and post-detonation scenarios involving Improvised Nuclear Devices (INDs) and RDDs as well as interdicted materials.

DNDO will support and/or conduct at least one large scale end-to-end exercise annually. These exercises and associated training events will focus on the refinement of interactions between nuclear forensics stakeholders. The primary objectives will explore technical and operational shortcomings and interagency gaps, and DNDO and its partners will pursue corrective actions based on After Action Reports and Lessons Learned.

Accomplishments in National Technical Nuclear Forensics:

Significant accomplishments in FY 2008 include:

- Led an interagency effort to develop an integrated TNF Exercise Plan that leverages cross-cutting expertise and resources. This interagency, integrated document is continuously updated and refined to efficiently plan and execute TNF exercises.
- Used ¹³⁷Cs RDD Materials Exercise (2007) After Action Review to specify near-term materials R&D activities to address gaps in the development of validated methodologies and protocols for RDD materials signature analyses.
- Co-sponsored an in-depth analysis of post-detonation exercises to-date with DoD/Defense Threat Reduction Agency (DTRA). This analysis produced one consolidated set of findings that is now being used to develop a system for tracking progress and implementation of lessons learned in the maturing interagency exercise program.
- Jointly planned and provided exercise support to NCTC and FBI. This was the first table-top exercise of the newly formed Attribution Assessment Group.

FY 2009 planned accomplishments include:

- Provide planning support and participate in the first large-scale NTNF end-to-end exercise. This DOE-sponsored event, named Oak Phoenix, includes players from the DOE, FBI, DHS, and DoD. The exercise objectives encompass post-detonation sample collection, lab analysis, and data evaluation.
- Conduct Proficiency Tests in order to validate competencies in TNF materials analyses and evaluations. These Proficiency Tests are designed to exercise and validate a particular TNF analytical capability. End-to-end exercises are designed to demonstrate proficiencies and interfaces for a specific set of TNF analytical capabilities along with data evaluation procedures and information flow.
- Conduct exercise planning and participate in the DOE and FBI exercise (Marble Challenge) to assess the flow of information from this scenario into the attribution process and the transfer of materials into the pre-detonation analysis process. This involves an interdicted pre-detonation device which is recovered by the FBI, rendered-safe by DOE, and analyzed and evaluated by the national laboratories.

FY 2010 planned accomplishments:

- Lead the NTNF Community through the planning, execution, after action evaluation, and corrective action plan development of NTNF operations as part of National Level Exercise 2010 addressing National Planning Scenario 1, for an Improvised Nuclear Device.

- Review and assess NTNF capabilities by training and exercising all of the processes, targeting the overarching goals of process improvement and technical enhancement.
- Integrate and synchronize exercise events across the TNF community for maximum leverage and benefit to all departments and agencies.

National Nuclear Forensics Expertise Development Program (“Academic Pipeline”): An enduring nuclear forensics scientific workforce and academic pipeline is critical to ensuring a national capability to provide rapid and accurate technical nuclear forensics analyses and interpretations in support of deterrence and attribution. The nuclear forensics interagency community, academicians, and non-governmental organizations have determined that the Nation’s academic nuclear pipeline capacity has withered and will not meet the near and long-term needs for qualified nuclear scientists, engineers, and associated faculty for a credible and enduring capability. In its role as steward for the national nuclear forensics capability, DNDO developed plans and in FY 2008 launched the first steps to begin immediately restoring the pipeline and to prepare for the FY 2009 academic year. Based on the successful inaugural FY 2008 activities, the FY 2009 and FY 2010 academic pipeline activities will be expanded and enhanced to include summer internships, Ph.D. student fellowships, post-doctoral fellowships, and faculty awards. This forensics focused academic strategy is closely integrated with the academic initiatives in DNDO’s transformational R&D mission area. These activities are intended to expand at a prudent pace annually, so that results can be measured and evaluated in step with expansion.

Accomplishments in National Technical Nuclear Forensics:

Significant accomplishments in FY 2008 include:

- Supported the Glenn T. Seaborg Institute Nuclear Science Summer Internship Programs.
- Initiated the Nuclear Forensics Graduate Fellowships for the 2008 – 2009 academic year which funded the award of four students and arranged a partnership with DoD/DTRA.
- Initiated a partnership with the American Physical Society (APS) Education Office for nuclear forensics outreach programs at undergraduate and top high schools.
- Sponsored university outreach, e.g., Project on Nuclear Issues (“PONI – Young Nukes”), and the Air Force Institute of Technology (AFIT).

FY 2009 planned accomplishments include:

- Continue support to a new cadre of interns at the Seaborg Institute Nuclear Science Summer Internship Programs.
- Continue and expand the Nuclear Forensics Graduate Fellowships for the 2009 – 2010 academic year, funding the initial four students for an additional year and awarding fellowships to four new students.
- Continue a partnership with the APS for nuclear forensics outreach programs at undergraduate and top high schools.
- Continue sponsorship of outreach to universities, war colleges, and other institutions.
- Initiate a Nuclear Forensics Education Awards Program (NFEAP) to foster nuclear forensics-related education and research at universities (initially two awards in FY 2009).

- Initiate an undergraduate internship program that would fund undergraduate research projects and students.
- Initiate two Post-doctoral Fellowships at the national laboratories in order to bring the best and brightest into the nuclear forensics core team's pipeline.

FY 2010 planned accomplishments:

- Build upon the success of programs initiated in FY 2008-2009, and expand them in a controlled and measured fashion to achieve a steady-state goal in FY 2012.
- Expand the nuclear forensics outreach program.
- Continue support for undergraduate internship programs.
- Increase graduate fellowships to 12 in FY 2010 (from eight in FY 2009).
- Expand NFEAP to include five awards in FY 2010 (from two in FY 2009).
- Expand Post-doctoral Fellowships to five in FY 2010 (from two in FY 2009) at the national labs in order to bring the best and brightest into the nuclear forensics core team's pipeline.
- Initiate Junior Faculty Award Program to address the academic faculty deficiencies in the pipeline (initially two awards).

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development, and Operations
Program Performance Justification
(Dollars in thousands)**

PPA: TRANSFORMATIONAL RESEARCH AND DEVELOPMENT

	Perm Pos	FTE	Amount (\$k)
2008 Actual	---	---	86,942
2009 Enacted	---	---	103,300
2010 Adjustments-to-Base	---	---	\$0
2010 Current Services	---	---	103,300
2010 Program Change	---	---	7,237
2010 Request	---	---	110,537
Total Change 2009-2010	---	---	\$7,237

DNDO requests \$110.537 million for this activity. This includes a program change increase of \$7.237 million over the FY 2009 enacted level.

CURRENT SERVICES PROGRAM DESCRIPTION:

DNDO's transformational research and development (R&D) program seeks to identify, explore, develop, and demonstrate scientific and technological approaches that meet one or more of the following criteria: address gaps in the GNDA, dramatically improve the performance of nuclear detection components and systems, or significantly reduce the operational burden of radiological/nuclear detection. Dramatic technological improvements may include improvements in system or component effectiveness and performance characteristics; reduction in cost of acquisition or maintenance; or reduction of operational burden by users in the field. R&D investments are made based on competitive awards, with investigators in all sectors – government laboratories, academia, and private industry – encouraged to participate. This program takes advantage of the qualities and respective advantages of all three sectors to develop products, and teaming among them is encouraged. Transformational R&D is carried out within three major programs: Advanced Technology Demonstrations (ATD), Exploratory Research (ER) and Academic Research Initiative (ARI).

Advanced Technology Demonstration: The ATD program addresses leading edge technology with high potential to address the strategic criteria listed above – in many cases with technology demonstrated conceptually under Exploratory Research – to develop a working prototype that is used to characterize performance capabilities. The results of the characterization form the basis for a subsequent cost benefit analysis (CBA) that is used to objectively determine whether the technology should transition to system development and eventual production and deployment. Each ATD effort is expected to last for two to five years, depending on the maturity and complexity of the technology. Funding constraints dictate that two to three ATD's can be operating at the same time and only one new ATD can be launched per year.

DNDO initiated the Intelligent Personal Radiation Locator (IPRL) ATD in FY 2006, the Standoff Radiation Detection System (SORDS) ATD in FY 2007 and the Shielded Nuclear Alarm Resolution

(SNAR) ATD in FY 2008. The following list includes topics and completion dates for ATD's that have been started, are about to start, or are planned in the near future:

- IPRL (FY 2009 projected completion).
- SORDS (FY 2010 projected completion).
- SNAR (FY 2011 projected completion).
- Intelligent Radiation Sensing System (IRSS) (FY 2012 projected completion).
- Advanced Radiation Module for Detection (ARMD) (FY 2013 projected completion).

Each of these ATD's will be described followed by a list of accomplishments by fiscal year for all ATDs.

IPRL ATD: The purpose of the IPRL ATD is to develop and characterize an affordable, pocket-sized spectroscopic radiation locator that detects radiological/nuclear emissions, delineates source type, and locates the source. The IPRL will be able to discriminate threat sources and special nuclear material (SNM) from non-threat sources, such as naturally occurring radioactive materials (NORM) and medical isotopes by using spectroscopic identification. It will have localization and directionality capabilities derived from GPS and inertial reference systems. It will also have wireless connectivity. IPRL will improve capability for law enforcement, first responder, and counterterrorism officials, the IC, and others in routine activities and surveillance, maintaining constant vigilance at all defensive layers. There are two vendor teams under contract for IPRL.

SORDS ATD: The purpose of the SORDS ATD is to develop and characterize passive stand off detection technologies that are capable of detecting small sources at extended distances. These systems will be integrated and demonstrated on mobile platforms such as a truck or trailer. The SORDS ATD will allow DNDO to develop and evaluate the key technology of gamma-ray imaging for sources detection and localization; as well as, advanced alarming algorithms, and sensor and data fusion techniques that may dramatically improve sensitivity and directional accuracy. These systems will show the operator visual overlays indicating the location and identification of radiation sources. The SORDS technology is directly applicable to standoff detection requirements for maritime, air and land venues. There are four vendor teams under contract for SORDS.

SNAR ATD: The purpose of the SNAR ATD is to develop and characterize advanced technologies to resolve alarms and definitively verify the presence of special nuclear material (SNM) in shielded and/or cluttered environments. The program has two principal applications: (1) Dramatic performance enhancement to commercially or near commercially available x-ray non-intrusive inspection (NII) screening systems, e.g., radiographic, by integrating solutions directly into hardware and software, substantially reducing the number of manual inspections while increasing probability of SNM detection; and (2) Targeted and choke point screening in multiple venues including vehicle crossing borders, checkpoints, rail, air cargo, and general aviation with rapidly re-locatable inspection systems. The cost benefit analysis and transition to system development is planned for FY 2011. There are four vendor teams under contract for SNAR.

IRSS ATD: This ATD will leverage advances in small, efficient directional detectors (such as IPRL) and advanced distributed detection algorithms developed under various Exploratory Research programs and phenomenology studies characterizing the requirements for in-transit detection. IRSS will create data fusion software to maximize performance of co-deployed hardware that is connected by a wireless network. Applications include Coast Guard boarding parties and security teams at special events. A network of systems, which could include many disparate types of detectors, offers

the opportunity for improved sensitivity, wider surveillance area, faster location of threats, and better detection and identification of radiation sources compared to single detectors or multiple autonomous (non-networked) detectors. There is also the possibility of using people or vehicles that are performing other functions to serve as platforms for positioning small mobile sensors and producing valuable detection data without interfering with normal operations. This approach would be directly applicable to commercial and general aviation. Preliminary design reviews are projected to be held in mid-FY 2010, with a final transition decision intended in mid-FY 2012.

ARMED ATD: This ATD is currently being planning with two options, either or both of which may be exercised. Both options will build upon advances in new detection materials under the Exploratory Research and Advanced Technology Demonstration programs. The first option will leverage the hardware developments of both the IPRL ATD and the innovative semiconductor research thrust in the Exploratory Research program to produce the next generation pocket-sized detector. Promising new semiconductor materials such as thallium bromide (TlBr) have already been discovered that could provide significant improvement in detection capability and cost over currently available semiconductor materials, such as the cadmium zinc telluride (CZT), employed in IPRL. The second option will leverage break-through scintillator material development advances as well as solid state replacements for photomultiplier tubes (PMT), which are also being developed under Exploratory Research. The ARMED unit under this option could employ DNDO's new scintillator materials, such as strontium iodide (SrI), for excellent energy resolution and low cost. The PMT replacements would be much more compact and lower power, enabling high performance devices in a compact form factor. ARMED will focus on development of small modular sensors based on innovative, highly sensitive materials that are designed to best exploit the networked systems deployment while maintaining high stand-alone performance. The newly developed detector materials allow for better detection sensitivity and capability in a much more compact form and at significantly lower cost for production than existing detector materials.

Accomplishments for all these ATD's are combined below.

Accomplishments in Transformational Research and Development:

Significant accomplishments in FY 2008 include:

IPRL:

- All vendors completed Preliminary Design Review (PDR), Critical Design Review (CDR), Characterization Readiness Review (CRR) and initial fabrication of key system components.

SORDS:

- All vendors completed Preliminary Design Review (PDR) which entailed the initial modeling and trades studies to optimize and validate the proposed device design. Initial long lead components were also ordered, such as crystals and supporting electronics.

SNAR:

- Initiated SNAR ATD and defined system approach.

FY 2009 planned accomplishments include:

IPRL:

- Complete fabrication of prototype units.

- Complete the demonstration and characterization phase. This entails successful detailed device characterization at the component and subcomponent level of the IPRL systems.
- Perform CBA for IPRL based on performance and cost data.
- Transition the technology to a systems development phase.

SORDS:

- All vendors will complete CDR and CRR. This includes the detailed modeling and/or measurements to validate the final device design prior to fabrication.
- Complete fabrication of detection systems, software integration and mounting on the mobile platform for the SORDS units.

SNAR

- Complete the Preliminary Design Reviews for all vendors which entail the initial modeling and trade studies to optimize and validate the system designs.

IRSS

- Define selected system approach; prepare solicitation based on that approach, review technical proposals received and award contracts.

FY 2010 planned accomplishments:

IPRL:

- Transition IPRL technology to a systems development phase as part of the HPRDS program. The Transformational R&D PPA will no longer provide funds for IPRL.

SORDS

- Complete the demonstration and characterization phase. This entails successful detailed device characterization at the component and subcomponent level of the SORDS systems.
- Perform CBA for SORDS based on performance and cost data.
- Transition the technology to a systems development phase (this may occur in late FY 2010 or early FY 2011).

SNAR

- Complete the Critical Design Review for all of the vendors. This includes the detailed modeling and/or measurements to validate the final device designs prior to fabrication.

IRSS

- Complete PDR's comprising system modeling and trade studies to validate proposed design(s).

ARMD

- Define selected system approach; prepare solicitation based on that approach, review technical proposals received and award contracts.

New ATD programs will be initiated based on successes in ongoing or future exploratory research, changes in the design threats, and changes in the architecture or advances made elsewhere in the

community. Additional concepts are under consideration for future ATD's, especially those that are applicable to detection challenges such as those associated with small commercial maritime vessels, private maritime vessels, small commercial aircraft, private aircraft, non-port of entry (POE) land crossings, and State and local operations, as well as land, maritime, and aviation POEs.

Exploratory Research: The Exploratory Research (ER) program is the vehicle for exploring innovative, high-risk, early-stage, new ideas that can make a transformational contribution to DNDO mission of reducing the risk of nuclear terrorism. Specifically, ER focuses on potential techniques for closing gaps in the GNDA; substantially improving the performance or reducing the cost of radiological/nuclear detection capabilities; and, techniques to improve nuclear forensics. The first step in an ER project is to perform a feasibility study. Innovative concepts that successfully complete this initial feasibility evaluation are typically extended through to a proof-of-concept (PoC) demonstration. Ideas that fail to demonstrate feasibility are dropped. A PoC demonstration is a laboratory test of a technological concept to demonstrate its potential and search for possible major technical barriers. This stage includes laboratory studies to experimentally validate analytical predictions from the feasibility study. If the concept is proven to be successful, it is likely to be incorporated into a subsequent ATD. Exploratory Research also provides capabilities that apply across the DNDO mission, particularly in the areas of performance modeling and improved algorithm development.

Most ER projects are multi-year so funding has to be planned to allow for continuation of successful projects, termination of those that are less promising, and for starting new projects. Proposals are solicited annually through a Broad Agency Announcement (BAA) (for industry and academia) and a Call for Proposals (CFP) (for the national laboratories).

Broad topic areas for ER include:

- Materials
- Passive systems
- Active systems
- Integrated systems
- Algorithms, modeling, and software
- Forensics

Accomplishments in Transformational Research and Development:

Significant accomplishments in FY 2008 include:

- Three concepts transitioned from feasibility to PoC
- New, higher energy resolution, low cost, easily manufacturable, scintillators (e.g., SrI₂) were well characterized. High energy resolution is important to allow high resolution energy spectra of incoming gammas and neutrons in order to allow definitive identification of isotopes, and to distinguish threat material from non-threat material
- New, higher energy resolution, low cost, easily manufacturable, semiconductors (e.g., TlBr) were well characterized.
- Nano-particle composite scintillator, with potentially large area and volume applications, offering high energy resolution, was well characterized.

- Readout technologies for large array semiconductors, based on recent advances in Application Specific Integrated Circuits (ASICs), are available for use in semiconductor devices and 3-D imagers.
- Completed long dwell study, which concluded that in-transit detector systems for cargo containers are not likely to be a cost effective approach to detection and are likely to need to be supplemented with other detection methods or conops.
- Demonstrated (limited) automated detection of high-Z material using drive-through x-ray system.
- Completed PoC of x-ray backscatter to identify high-Z material in simulated cargo container environment.
- Completed successfully a PoC demonstration of fully-functional, sub-scale x-ray scanner that utilizes nuclear resonance fluorescence and high-Z backscatter to detect the elemental constituents of all materials inside cargo containers including SNM, high-Z shielding material and other contraband such as drugs, explosives, and money. This technology has been selected for the SNAR ATD.
- Demonstrated automatically linked gamma-ray and video imaging to track moving vehicles containing radiation sources.
- Screened hundreds of candidate materials for use in scintillator detectors, using a high-throughput facility for discovery and identification of new materials.

FY 2009 planned accomplishments include:

- Approximately 10 concepts will transition from feasibility to PoC.
- Complete development of new scintillator and semiconductor materials for the ARMD ATD.
- Continue characterization and fabrication efforts of several other promising radiation detection materials which have been discovered and developed over the last several years.
- PoC for fusion of video and directional gamma detector images to allow for screening of vehicles at speed across multiple lanes of traffic.
- Evaluate feasibility of actively detecting SNM at distances greater than 100 meters.
- Demonstrate feasibility for pathway-related and proximity induced technologies for nuclear forensics analysis.
- Evaluate feasibility of monochromatic x-ray spectrum and brightness from laser driven, wakefield accelerator. The goal is to reach 3 MeV photons with sufficient brightness and reproducibility.
- Complete PoC demonstration of Large Area X-ray Detector (LAXD) NII system that could potentially enable volumetric imaging (i.e., three dimensional) of air cargo containers, cargo containers, and trucks.
- Integration and PoC of an algorithmic expert system for feature extraction on various contextual info streams.
- Accelerate development of several promising new materials in the categories of both scintillators and semiconductors, addressing the remaining key risks, and starting development of low rate production efforts to help optimization of complete detector devices.
- Accelerate the development of a promising material that could help replace ³He detectors in many applications.

FY 2010 planned accomplishments:

- Approximately seven concepts will transition from feasibility to PoC.
- PoC for Compton Imaging device using room temperature semiconductor detector components with supporting reconstruction and ID algorithms which enable more effective source localization.
- PoC for compact accelerator design for portable active interrogation applications.
- PoC for high spatial resolution particle detectors for use with charged particle interrogation systems.
- PoC for high resolution scintillators integrated, high efficiency readout system which enable more compact, low power devices.
- Demonstration of a compact laser source for nearly monochromatic high energy x-rays for active systems which enable more effective, lower dose systems.
- Demonstration of high resolution semiconductor readouts for tracking electron clouds which enable more effective source localization.
- Accelerate several alternatives to neutron detectors which would not be based on ^3He .
- Complete development of several low rate production efforts for both scintillators and semiconductors.
- Transition several which provide alternatives to ^3He neutron detectors to testing and / or product acquisition.

Academic Research Initiative (ARI): The ARI has two goals. The first is to engage the academic community in DNDO research goals, building a community dedicated to solving long-term, high-risk research issues. The second is to develop the next generation of researchers in nuclear detection technology. DNDO has partnered with the National Science Foundation (NSF) for ARI. NSF administers the proposal solicitation, evaluation, and grant award process as well as the first year of the grant. Subsequent years are administered through the DHS Grants Office. Through the FY 2007 and FY 2008 NSF and DHS grant activity, 31 university teams were selected to begin research programs in areas such as next generation detection systems, nuclear forensics, detection material and detectors, and documenting key nuclear data. By virtue of supporting this research - which includes professors, undergraduates, and graduate students - future nuclear scientists and engineers are being enabled and supported throughout the educational portion of their careers. The ARI is expected to grow as the academic community continues to respond to this stable and relatively new investment in nuclear related R&D, attracting researchers from disciplines in nuclear, particle, solid state, materials, accelerators, chemistry, plasma, astrophysics, etc.. Academic areas not typically associated with nuclear terrorism and radiological/nuclear detection, such as the social sciences, are also being invited to submit ideas and proposals.

The awards made in FY 2007 were a mix of small, medium, and large grants with periods of performance of (generally) three, four, and five years, respectively. Selection of new grants in the future must reflect the time-phasing of the FY 2007 grants and available funding. For example, the FY 2008 grant awards were for medium size projects only. In FY 2009, the small grants from FY 2007 will reach the end of their period of performance and free up funding for more new awards. In this way, equilibrium will be reached in which new grants can be made each year to replace the ones that are nearing completion.

Accomplishments in Transformational Research and Development:

Significant accomplishments in FY 2008 include:

- Continuing and new grants to 25 different universities (36 grants total).
- Conducted the first annual academic conference on nuclear and radiological detection sciences to share ideas and promote collaboration across the community.
- Funding provided support to over 75 students.
- New detectors: performed experimental measurements with novel gas chamber neutron detector, performed optimization of novel photonics based detector, conducted feasibility design study of 3-D pixilated semiconductor scintillator, measurements from silicon drift devices for enhanced imaging of radioactive sources, performed measurements from tungsten coil spectrometer as a fast field diagnostic forensics tool, design study of self-powered neutron detector.
- New materials: explored techniques to fabricate radiation detectors utilizing quantum dots, initiated the first synthesis of boron arsenide powders as a neutron detector material, explored synthesis techniques for colloidal nanocrystals to enhance performance of scintillator materials, explored growth methods for CdMgTe as a solid state radiation detector
- Other: developed models of nuclear resonance fluoroscopy (NRF), software tools for dynamic programming of decision trees to optimize radiation detector deployment, modeled threat scenarios for interdicting smuggled nuclear material.

FY 2009 planned accomplishments include:

- Conduct annual grantees conference.
- Provide additional grant funding to support a total of approximately 110 undergraduate and graduate students.
- New detectors: complete fabrication of lightweight novel gas chamber neutron detector, complete fabrication of light-weight low-power neutron detector, first design photonics-based radiation sensor.
- New materials: first synthesis of enhanced nanophosphor materials, complete synthesis and characterization of high efficiency boron arsenide crystals for neutron detection.
- Other: software to fully simulate NRF, measure key NRF emission lines and (n f) cross sections, smuggling interdiction model with deterrence and strategic gaming, design of shielded HEU detection system, social models for decision support algorithms, software for sensor system management and simulation.

FY 2010 planned accomplishments:

- Conduct annual grantees conference.
- Approximately 140 students will be supported.
- Design and construction of a lightweight and portable neutron detector.
- Detailed examination of CdMgTe as a choice for room temperature gamma-ray detector with a focus on understanding the Te inclusions and mitigating their effects.
- Growth and structural characterization of the first boron phosphide crystals for high efficiency neutron detectors.

- Complete characterization and fabrication of a photonics-based nuclear radiation sensor.
- Complete characterization and testing of a novel solid-state self powered neutron detector.
- Development of a web application for studying optimum use of sensor resources by dynamic programming of decision trees.
- Development of an interdiction model for smuggled nuclear materials with deterrence methodologies and strategic gaming aspects incorporated.

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development, and Operations
Program Performance Justification
(Dollars in thousands)**

PPA: OPERATIONS SUPPORT

	Perm Pos	FTE	Amount (\$k)
2008 Actual	---	---	32,710
2009 Enacted	---	---	37,753
2010 Adjustments-to-Base	---	---	683
2010 Current Services	---	---	38,436
2010 Program Change	---	---	0
2010 Request	---	---	38,436
Total Change 2009-2010	---	---	683

DNDO requests \$38.436 million for this program. This is an adjustment to base of \$.683 million above the FY 2009 enacted level.

CURRENT SERVICES PROGRAM DESCRIPTION:

While technology is a critical tool in combating the nuclear threat, the threat cannot be effectively overcome by technology alone. All detection and interdiction efforts must be conducted in coordination with trained Federal, State, local and tribal law enforcement agencies, as well as the larger intelligence and counterterrorism communities. Accordingly, while DNDO has initiated technology research, development, and acquisition programs, it is also responsible for developing the information sharing and analytical tools necessary to create a fully integrated operating environment. Furthermore, DNDO establishes additional protocols and procedures to ensure that the detection of unauthorized nuclear explosive devices, fissile material or radiological material is promptly reported to the Secretaries of Defense, Homeland Security and Energy and the Attorney General and other appropriate officials for appropriate action by law enforcement, military, emergency response or other authorities. DNDO must have the ability to integrate detection data and intelligence assessments in a near real-time environment to develop information that, as actionable knowledge, maintains an overall system and situational awareness. This requires DNDO to closely interact with the Intelligence Community (IC) as a developer of intelligence requirements and consumer of intelligence products. Conversely, DNDO does not act as an intelligence collection agency. This integrated approach to detection and information analysis will ultimately provide a substantial improvement and efficiency in alarm resolution, threat assessments, data trend analysis, and, most importantly, overall probability of success.

Joint Analysis Center and Joint Analysis Center Collaborative Information System: The Joint Analysis Center (JAC) at DNDO provides 24/7 capabilities to meet the NSPD-43/HSPD-14 directed objectives to maintain situational awareness of the GNDA, analyze information from the GNDA and share data with the Community(ies) of Interest (COI) to make the GNDA more effective, and ensure that detection leads to an appropriate response.

To accomplish this mission the JAC maintains data on all deployed detectors to include their operational environment and detection histories; assists in establishing and understanding appropriate

Federal, State, local and international protocols to ensure detection events lead to an appropriate response; provides 24/7 technical support to PRND operations, including notification to appropriate interagency partners for appropriate response and deployable technical assets; and fuses intelligence, law enforcement and technical data into informational products to better the operators' chances of identifying the threat. In addition, DNDO does not provide command or control functions over detection and response assets, but provides critical support to those who are doing so.

The JAC program includes:

- Operation and maintenance of the JAC's 24/7 capabilities, including the analytical research and techniques and protocols required to maintain situational awareness and facilitate alarm adjudication.
- Nuclear Assessment Program (NAP).
- Technical Reachback (TRB) Program.
- The Joint Analysis Center Collaborative Information System (JACCIS).

Both NAP and TRB are key components of the Presidential Directives NSPD-43 and HSPD 14 (Domestic Nuclear Detection) Annex 1, "U.S. Government Nuclear and Radiological Alarm Technical Adjudication and Resolution Process," and Annex 1 to PDD-41 (U.S. Policy on Improving Nuclear Material Security in Russia and the Other Newly Independent States), 15 May 2007 (C). NAP and TRB also contribute to and utilize the information and communications infrastructure provided by the JAC, and provide the subject matter expertise in support of all the JAC's functions.

The JACCIS provides unique and centralized communication and information technology (IT) support to accomplish the mission of the JAC. Through an adaptive framework by integrating intelligent services and data provisioning capabilities in an open, scalable architecture, the JACCIS also provides the flexibility to adapt to the evolving GNDA, mission areas, business processes, and COI requirements. When fully developed, the JACCIS will fuse and store data obtained by the GNDA, as well as other pertinent data for use by the nuclear technical community, the nuclear policy community, and other members of the nuclear COI. The system will track detection events and provide alerts for events of interest, as well as the relevance to other known events through detailed trending and analysis. It will make available historical trends to refine protocols and search parameters and better inform the nuclear counterterrorism community. The JACCIS is being developed in stages through planned product improvements to provide for integration of future requirements, both technical and operational, as the GNDA continues to mature.

Accomplishments in Mission Support & Operations:

Significant accomplishments in FY 2008 include:

- Established a Beta test bed to validate functional requirements for the JACCIS.
- Began the final build out of the initial JACCIS operational system based on functional requirements and validated by the Beta test bed.
- Established information sharing processes with the State and local authorities. JAC provided weekly postings on the Homeland Security Information Network-Intelligence (HSIN-I) website and formalized the sharing of information with Federal analysts at State and local Fusion Centers.

- Produced and distributed over 35 State Retrospective reports, each providing State and local law enforcement officials with a snapshot of nuclear and radiological information in their state, along with possible threat considerations. Each written, report is an actionable analytical product that describes sensitive facilities, possible transportation vulnerabilities, alleged or actual smuggling or loss of control events, and a listing of nuclear detection and responder resources.
- Established a dedicated notification and conferencing communications system to decrease the response time and increase the ability to collaborate across Federal, State, local and tribal agencies and departments.
- The JAC has seen an increase for technical adjudication support from State and Local entities from three requests in 2007 to 26 in 2008. Of these adjudication requests, six were elevated to National Reachback, and three required coordination for the deployment of Federal assets to assist in the adjudication process to verify there was no threat.
- Conducted a total of 120 drills in 2008 with 58% (69 of 120) of these drills being conducted with State and local entities. The JAC has also conducted an additional 44 connectivity checks with various State and local entities. This is done to ensure that protocols are effective and technical reachback is ready.
- Coordinated with 11 State and Local Governments for detailed alarm adjudication protocols.
- In coordination with NRC, developed a searchable NRC Database for Category 1 and Category 2 nuclear materials and began a pilot to consolidate and automate Agreement State License information.

FY 2009 planned accomplishments include:

- Development, security certification and operational deployment and of the initial JACCIS. Continuing the effort started in FY 2008, the JACCIS will reach Initial Operational Capability (IOC) in April of 2009 providing interoperability with Federal, State and local authorities conducting PRND missions, detection event tracking and logging, real-time data links to the NRC for radiation source license checks, and connectivity to intelligence, law enforcement, and detection event information in an integrated and collaborative environment and automated processing of JAC mission functions, primarily the adjudication of alarms requiring Federal involvement.
- Maintain the 24/7 capability of the JAC for support to the deployed GNDA.
- Provide automated business practices and analytical tools to fuse and analyze all source information and alert operators of items of interest.
- As State and local authorities become more involved in PRND activities, the JAC will coordinate with State and local agencies on specific protocols and SOPs for alarm adjudication/resolution and develop the complementary Federal procedures in support thereof.
- Complete the initial retrospectives on all States and major urban areas.
- Conduct weekly drills of the alarm adjudication, resolution and notification protocols integrating Federal, State and Local agencies into these drills.

FY 2010 planned accomplishments:

The JAC will continue to maintain situational awareness of the GNDA by updating and consolidating data required to facilitate appropriate architecture development, alarm adjudication and resolution,

including detector deployment information and historical data on detection events. The growing GNDA will create and require expanded situational awareness and wider distribution of information products. As rad/nuc detection technology is further deployed, concurrent development of operational support capabilities will be required. GNDA will create and require expanded situational awareness. As rad/nuc detection technology is deployed across the Nation and in strategic areas around the world, operational support will need to adapt and expand by adding increased analysis and presence to ensure 24/7 connectivity and capacity to track and handle multiple simultaneous events, and manage and update the unique protocols and interactions with the GNDA stakeholders. It is anticipated that more domestic partners will develop PRND capabilities due to DNDO engagements and outreach initiatives. It is also anticipated that international partners and their detection systems will become more integrated into a cohesive information sharing architecture due to USG initiatives such as the Global Initiative for Combating Nuclear Terrorism. This will require the JAC to expand and adapt to ensure continued mission accomplishment.

The JAC will continue to operate and maintain the JACCIS, for the effective sharing and use of rad/nuc detection information and intelligence from most, if not all, detection systems operated by DHS and Federal, State, and local partners. The JACCIS baseline capabilities that will be maintained are:

- Comprehensive, accessible asset database on all deployed GNDA systems;
- Real-time data links to existing networked detection systems communications and situational awareness links to Federal operations and intelligence centers (a total of 48 data systems and 15 communications links),
- Rapid and interactive links to technical reachback via an automated communication and data sharing system, linking first responders to regional and national level technical experts,
- Real-time automated radiation source license data verification and source tracking information to include automating and networking four agreement State license information under a pilot program with NRC and the Organization of Agreement States (OAS), and
- Real-time access to intelligence, law enforcement, and detection event information in an integrated and collaborative environment.
- Information/data adaptation and transformation services, interoperability services and integration services,
- Customer Relation Management application(s) to support Reachback Event Management providing: event ticketing and logging, task tracking, complete event and task history accounting, workflow management and collaboration, notification and alerting, technical support knowledgebase and reference material resources.

The maintenance of the JACCIS will include hardware and software status monitoring, a 24/7 “help line” to ensure full-time functionality and correction of problems, and the robust information security and access control procedures required to ensure protection of the system while facilitating access by the GNDA COI.

To maintain the viability and capability of the JACCIS, planned product improvements will begin in FY 2010. This includes defining and validating the updated functional requirements to support the evolving evolution of the JAC concepts of operations and the expanding GNDA and development of the upgrades for the JACCIS. Key FY 2010 JAC proposed accomplishments driving the planned improvements are described below:

- Increase the number of technical support requests that can be processed from 12 per day to 20 per day with improved corporate knowledge.
- Increase the number of agencies and/or requests for simultaneous support from six to 12.
- Reduce the number of man-hours per alarm adjudication from four to three.
- Increase the number of JAC MOUs with State Fusion Centers by 20% and develop the automated links from these nodes in the COI to JACCIS.
- Complete a review and update of all previous situational reports for the interior layer of the architecture. A planned review cycle of all situational awareness and information documents is required to ensure currency.
- Increase the number of JAC Technical Report disseminations will increase by 20%.

Nuclear Assessment Program: The Nuclear Assessment Program (NAP), a DOE weapons laboratory-based capability, was transferred from DOE to DHS per the Homeland Security Act of 2002. It is a unique national capability designed to provide rapid, accurate and actionable assessments of illicit nuclear trafficking events and trends, the credibility of nuclear threat communications, and other nuclear terrorism indicators in order to assist DNDO, DHS and other U.S. Government decision makers. NAP scientists provide technical, operational and behavioral assessments of communicated nuclear threats while giving support and guidance to the U.S. Government efforts to counter nuclear smuggling. Additionally, NAP not only supports the DNDO JAC and the broader nuclear community during threat and alarm incidents and resolution, but it is critical to providing the JAC with significant support of situational awareness products and threat understanding to the GNDA.

NAP provides rapid technical support of operational elements in the law enforcement, diplomatic and intelligence communities, as well as providing illicit nuclear trafficking trend reports. The NAP program ensures that a resource pool of subject matter experts is sustained in order to analyze the technical feasibility, operational practicality and behavioral resolve of communicated threats. The highly specialized skills required for this effort necessitate continued training of replacement personnel to address attrition due to retirement or other factors in the availability of personnel.

Accomplishments in Mission Support & Operations:

Significant accomplishments in FY 2008 include:

- Continued providing rapid technical support of operational elements in the law enforcement, diplomatic, and intelligence communities.
- Provided 125 NAP formal assessments/reports/products.
- Provided 37 technical reports, training, and briefings to national and international audiences.
- Co-sponsored the CIA University Nuclear Awareness Course and present the “Nuclear Crimes Overview” at 25 venues to over 600 participants from the International Law Enforcement Academy (ILEA) and CIA University.
- Conducted a review of the current nuclear and radiological threat assessment requirements of the federal departments and agencies involved in counter nuclear terrorism to ensure NAP products are based on customer needs. This included a closer look at NAP products, procedures, methodology of assessments and reconciled those needs and changes with other members of DHS, NRC, CIA, DIA, FBI, and DOS.

FY 2009 planned accomplishments include:

- Maintain the unique national capability designed to provide approximately 140 rapid assessments of nuclear threat communications, illicit nuclear trafficking events, and other nuclear terrorism indicators to operational elements in the law enforcement, diplomatic, and intelligence communities.
- Maintain subject matter experts to analyze the technical feasibility, operational practicality, and behavioral resolve of communicated nuclear threats.
- Expand the Scientific Assessor Pool to meet the anticipated growing needs of State and local agencies in rad/nuc alarm adjudication and resolution by more than three.
- Continue co-sponsoring the CIA University Nuclear Awareness Course and present the “Nuclear Crimes Overview” at 25 venues to over 600 participants from the ILEA and CIA University.
- Provide daily reports of all-source information to enhance the situational awareness of the JAC and USG, including ongoing technical, operational and behavioral analysis and evaluations of current cable and open source traffic.
- Explore and plan to enhance the archival and retrieval capability of the historical data maintained by the NAP, and in the multi-agency ‘SENTRY’ illicit nuclear trafficking database.

FY 2010 planned accomplishments:

- Maintain the unique national capability designed to provide approximately 150 rapid assessments of nuclear threat communications, illicit nuclear trafficking events, and other nuclear terrorism indicators to operational elements in the law enforcement, diplomatic, and intelligence communities.
- Maintain the Scientific Assessor Pool to meet the needs of State and local agencies in rad/nuc alarm adjudication and resolution.
- Continue co-sponsoring the CIA University Nuclear Awareness Course and present the “Nuclear Crimes Overview” at 25 venues to over 600 participants from the ILEA and CIA University.
- Provide daily reports of all-source information to enhance the situational awareness of the JAC and USG, including ongoing technical, operational, and behavioral analysis and evaluations of current cable and open source traffic.
- Transition the NAP restricted database and library and the SENTRY database into a single community-accessible tool, and collaborate with members of the IC in developing a single repository for all known data on nuclear smuggling.
- Assist DHS Office of Intelligence and Analysis (IA) in producing at least two comprehensive studies regarding illicit trafficking of nuclear material to be presented to the COI.

Technical Reachback Program: Technical Reachback (TRB) is an essential component of the “U.S. Government Nuclear and Radiological Alarm Technical Adjudication and Resolution Process,” Annex 1 to NSPD-43/HSPD-14 (Domestic Nuclear Detection) and Annex 1 to PDD-41 (U.S. Policy on Improving Nuclear Material Security in Russia and the Other Newly Independent States), 15 May 2007 (C). In coordination with DOE, TRB provides 24/7 technical capability to facilitate radiation detection alarm resolution and effectively transition to response operations. TRB is composed of two

elements: an initial reachback component and a national or secondary component and an initial reachback component. The TRB initial reachback component, which currently utilizes spectroscopy expertise at four national labs, supports primary alarm adjudications resulting from domestic detector deployments from State and local PRND programs. Currently, initial reachback for DHS Federal agencies is performed by CBP's Laboratories and Science Services (LSS). In addition to rapidly facilitating radiation detection alarm resolution by providing subject matter expertise to Federal, State, and local detection operators, the TRB national component, which is operated out of the DOE weapons laboratories, develops analytic tools and reports to assist, evaluate and enhance radiological and nuclear alarm adjudication.

TRB sustains these two reachback components, while enhancing the expertise of the technical personnel who support scalable capability through knowledge of equipment capabilities and limitations, intelligence situational awareness and specific knowledge of end-user CONOPS.

Accomplishments in Mission Support & Operations:

Significant accomplishments in FY 2008 included:

- Continued operation of the National Reachback (Secondary Reachback – SRB) capability, supporting the radiation detection community with immediate spectral data analysis and reports for 53 incidents. These alarms were elevated to reachback due to either complexity, meeting criteria for required analysis to ensure a threat does not go undiscovered, or simply, could not be resolved at the alarm site because of a lack of technical information or capability. Current demand at the national reachback level is handled by two on-call spectroscopists who are available 24/7.
- Analyzed data from deployed detectors and all source information and prepared 15 technical reports that inform the PRND community on detector performance, detection phenomena trends, triggers that may indicate threat material is present and operational aspects of detector performance to assist in adjudicating alarms and identifying threat material.
- Integrated the DHS and DOE alarm resolution processes.
- Sustained the Initial Reachback network, while enhancing the expertise of the technical personnel who support scalable capability through knowledge of equipment capabilities and limitations, intelligence situational awareness, and specific knowledge of end-user concepts of operations. The JAC's current 24/7 initial reachback capability is manned by 4 on-call spectroscopists at any given time.
- Conducted a spectroscopy and reachback seminar for spectroscopists from National and laboratories.

FY 2009 planned accomplishments include:

- Expand operations of the National Reachback capability, supporting the radiation detection community with immediate spectral data analysis and reports for national level reachback request from DHS and State and local entities.
- Sustain the existing Initial Reachback capability, while enhancing the expertise of the technical personnel who support scalable capability through knowledge of equipment capabilities and limitations, intelligence situational awareness, and specific knowledge of end-user CONOPS.

- Develop analytical tools and conduct analysis for spectral adjudication, detector performance evaluations, data mining activities, and operational reports.
- Conduct at least two reachback and spectral analysis courses at the National Laboratories, to provide reachback tools and training to State and local radiation health professionals
- Continue to provide spectral analysis courses to LSS spectroscopists when required.

FY 2010 planned accomplishments include:

The demands for 24/7 TRB assistance at the Federal, State, local, and international levels are projected to increase continually as more assets are deployed, protocols are established, and awareness of the capability increases. TRB will maintain the Initial Reachback capability and ensure the system and numbers of spectroscopists are appropriate to account for the anticipated increase in demands for Initial Reachback support. TRB will begin a robust selection and training program to ensure the pool of experts for National Reachback remains adequate due to attrition of existing experts or call volume increases

- TRB will continue to analyze technology roadmap studies to keep pace with emerging detection technologies and systems in order to maintain need knowledge of field deployed systems that result in alarm adjudication requests.
- Continue to design and enhance software and analytical tools to conduct analysis for spectral adjudication, detector performance evaluations, data mining activities, and operational reports. Keep current with existing and emerging data formats to ensure future operability of software and analytical tools.
- Continue to provide reachback tools and training to State and local radiation health professionals, assistance with State and local development of basic reachback capabilities, and help integrating State experts into the national alarm adjudication protocol.
- Complete trend reports for each Reachback Center, and operate and enhance DNDO's initial reachback capability through increasing alarm resolution and spectral analysis experience, greater rad/nuc detection situational awareness, improved CONOPS, and increased training and drills/exercises
- Coordinate with DOE to ensure the appropriate level of spectroscopists is available at the National Reachback level. Use the program's training efforts to replace spectroscopist attrition and to accommodate increased needs due to higher call volumes.

Training and Exercises Program: Operational training, drills, workshops and exercises accomplish the critical hand-off between the delivery of detection equipment and its effective, sustained use in the operators' environment. The DNDO Training and Exercises program develops and implements such rad/nuc training and exercises for Federal, State, and local law enforcement and public safety agencies. The main objective of the Training and Exercises program is to increase the chances of encountering and detecting a possible indicator of nuclear terrorism by promoting integrated and systematic training and exercise execution to operational users of rad/nuc detection systems. Where appropriate and requested, the Training and Exercise program elements interact with and benefit from the synergistic, DNDO-led matrixed approach to the development and delivery of PRND training and exercise support.

The Training and Exercises program offers courses on instrument operation and deployment, detection mission operations and activities, team organization, reporting/reachback protocols, and other Federal assets available for the integration of operations and assistance. Furthermore, the Training and Exercises program continues to develop, oversee and administer the design, delivery, evaluation, and continual improvement of the PRND training curriculum. This training curriculum is directed by DNDO personnel and provided by contracted instructors in the vicinity of the requesting State or local

agency and utilizes the participants' PRND equipment. Additionally, the Training and Exercises Program is developing a more expansive Train-the-Trainer curriculum, which will significantly increase the number, awareness and capabilities of PRND participants involved with the DNDO mission.

DNDO is also transitioning the Nation's PRND training curriculum from an equipment-based to a capabilities-based focus. The primary means of accomplishing this effort will be the Federal Emergency Management Agency/National Preparedness Directorate (FEMA/NPD) certification of the new Modular Screener Training (MST) curriculum. MST will allow participating agencies to adapt PRND instruction to their individual and collective needs, while minimizing the time officials must spend away from their regular duties to attend training.

DNDO exercises activities assist in evaluating new and existing capabilities. DNDO's Exercise program works closely with training delivery partners to ensure that PRND instruction leads to successful operational capabilities. In addition, the exercise program supports National Security Special Events (NSSE), DHS Special Events, and elevated threat conditions, as required, and the Department of State and other Federal agencies with exercises associated with the Global Initiative to Combat Nuclear Terrorism (GI) and other international activities.

Significant accomplishments in FY 2008 include:

- Developed a National PRND Training Strategy document.
- Directly trained 2,400 and indirectly, through Train-the-Trainer instruction, 2,600 additional Federal, State, and local participants in PRND capabilities.
- Conducted two reachback and spectral analysis courses at the National Laboratories for State and Local radiation health officials.
- Developed initial maritime small craft rad/nuc detection training curricula.
- Participated in Florida Fish and Wildlife Conservation (FWC) Commission's maritime rad/nuc detection operations demonstration, "Project Sturgeon".
- Coordinated with FEMA/NPD in development and delivery of PRND training for the West Coast Maritime Pilot (WCMP) project.
- Provided supplemental training for local officials to improve security at the Democratic and Republican National Conventions.

FY 2009 planned accomplishments include:

- Directly train 3,600 and indirectly through Train-the-Trainer instruction, 7,500 additional Federal, State, and local participants in PRND operations.
- Assist several States (e.g., FL, CA, TX, IL, and WA) to integrate comprehensive PRND capabilities-based training into their State homeland security training infrastructure and expand this effort to additional States.
- Provide subject matter expertise to FWC and other Southeast region mission partners in continued development of their maritime PRND training programs.
- Evaluate WCMP PRND training program and apply lessons learned to next generation maritime training materials.
- Provide training assistance to the Northern Border (Great Lakes) Security Initiative to Ohio in conjunction with the USCG.

- Participate in a National Level Exercise (TOPOFF 5) and two Principal Level Exercises (PLE).
- Provide guidance and oversight for the WCMP exercises.
- Support National Security Special Events (NSSE), DHS Special Events, and elevated threat conditions, as required.
- Represent DNDO with other USG agencies in designing and executing preventive rad/nuc exercises in conjunction with the U.S. Department of State-led GICNT.

FY 2010 planned accomplishments (Training):

- Directly trained 5,000 and indirectly, through Train-the-Trainer instruction, 10,000 additional Federal, State, and local participants in PRND capabilities.
- Develop DVD-ROM and web-based instructional tools for the Personal Radiation Detectors (PRDs) commonly used by law enforcement and first responder agencies.
- Continue to assist additional States (regionally representative) to integrate comprehensive PRND capabilities-based training into their State homeland security training infrastructure and expand this effort.
- Integrate and pilot PRND training curriculum into two to three Federal, State, and local law enforcement and/or fire training academies for current staff and new recruits.
- Provide maritime rad/nuc training detection assistance to additional Great Lakes States participating in the Northern Border Security Initiative.
- Deliver advanced small craft maritime rad/nuc training curriculum to FEMA/NPD.
- Deliver a maritime-specific training module suitable for an integrated port-centric rad/nuc detection plan.

FY 2010 planned accomplishments (Exercises):

- Conduct workshops, table top exercises, drills and FSEs in support of DNDO regional pilot projects and programs.
- Participate in National Level Exercises (NLE) and Principal Level Exercises (PLE), as scheduled.
- Develop and lead two additional regional FSEs with the Interior Mission area.
- Provide guidance and oversight for discussion-based exercise activities supporting the WCMP project.
- Support NSSEs, DHS Special Events, international rad/nuc detection exercises, e.g. GI and elevated threat conditions, as required.

IV. Program Justification of Changes

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development and Operations
Justification of Program Changes
(Dollars in Thousands)**

Program Increase: Exploratory Research

Strategic Goal(s) & Objective(s): DHS Strategic Objective: 2. Continue to Protect our Nation from Dangerous Goods. IPG Priority: 2.1 Prevent and detect radiological/nuclear attacks.

PPA: Research, Development and Operations / Transformational Research

Program Increase: Positions ____ FTE ____ Dollars _\$7,237__

Funding Profile:

	FY 2008. Actual			(ii) FY 2009 Enacted					
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	
Program Increase							0	0	7,237
Total Request	0	0		0	0		0	0	\$7,237

Description of Item:

Performance Metric 1: Crystal Optimization – objective characterization of key performance elements: energy resolution, efficiency, linearity, light production, uniformity to measure the current state of development the radiation detection materials.

Performance Metric 2: Production capability – characterization of the size and quantity of optimized crystals that can be produced monthly.

Directive / Mandate: In the National Security Presidential Directive (NSPD)-43/Homeland Security Presidential Directive (HSPD)-14, DNDO is mandated to “Serve as the primary entity in the United States Government to further develop, acquire, and support the deployment of an enhanced domestic system to detect and report on attempts to import, possess, store, transport, develop or use an unauthorized nuclear device, fissile material, or radiological material in the United States.”

Justification: Transformational R&D focuses on dramatically improving nuclear detection capabilities, addressing enduring vulnerabilities, or reducing the operational burden of rad/nuc detection. The increase in FY10 will exploit the initial detection material break-throughs realized in

FY09. Two new revolutionary detection materials have been demonstrated, but need to move through several steps before production can start. The new materials would be state of the art for gamma and neutron detection (ideal for SNM detection) at a competitive cost. The neutron detection material is a potential replacement for He3 detectors, which is an emerging critical shortage for DHS and DOE applications. The increase in FY10 is to optimize production techniques and establish a low rate production facility for each material capable of producing 10 crystals per month. These crystals could then be integrated in to much higher performing devices and more widely distributed due to the lower material costs. This would have a tremendous impact on the ability to detect radiation threat sources.

Risk Reduction: The radiation materials are the building blocks for detection systems. Current portable systems are constrained by two main areas: operational performance and cost of deployment. The new crystals address both areas – higher performing crystals will have a much greater operational performance (the key metric is expected to be twice as good as current NaI systems). The costs are expected to lower than other alternatives, enabling deployment of more highly capable units. This would have a broad risk reduction in the area of nuclear terrorism.

Program Increase: National Technical Nuclear Forensics

Strategic Goal(s) & Objective(s): DHS Strategic Objective: 2. Continue to Protect our Nation from Dangerous Goods. IPG Priority: 2.1 Prevent and detect radiological/nuclear attacks.

PPA: Research, Development and Operations / National Technical Nuclear Forensics

Program Increase: Positions ____ FTE ____ Dollars _\$2,800__

Funding Profile:

	(v) FY 2008 Actual			(vi) FY 2009 Enacted					
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	
Program Increase							0	0	2,800
Total Request	0	0		0	0		0	0	\$2,800

Description of Item: The pre-detonation radiological/nuclear materials forensics mission is the primary R&D concentration of the National Technical Nuclear Forensics (NTNF). Building on the significant progress in prior years the increase in FY 2010 will expand efforts to identify and characterize the most discriminatory material signatures in US-made nuclear and radiological materials; and reduce timelines to develop validated protocols to ensure laboratory material analyses/measurements are performed in a credible and defensible manner. The increase will also expand our international collaborative efforts of collecting relevant nuclear forensics information and sharing appropriate information with our international partners and will also increase the amount of support provided to universities under the National Nuclear Forensics Expertise Development Program.

Performance Metric 1: Increase number of signature development projects

Performance Metric 2: Increase number of university awards, internships and fellowships.

Directive / Mandate: In the National Security Presidential Directive (NSPD)-43/Homeland Security Presidential Directive (HSPD)-14, DNDO is mandated to “Serve as the primary entity in the United States Government to further develop, acquire, and support the deployment of an enhanced domestic system to detect and report on attempts to import, possess, store, transport, develop or use an unauthorized nuclear device, fissile material, or radiological material in the United States.”

Justification: The overall goal of the NTNFC is to develop an enduring TNF capability that provides rapid, accurate, credible conclusions; is well exercised, with maximum readiness; and attracts and retains critical expertise. At the current level of funding, NTNFC is managing to sustain, and able to

baseline but with marginal advancement. This funding will contribute to the acceleration, advancement and exploration of novel technological approaches; begin to close identified gaps; and attract and retain the forensics experts, providing them a viable career path by:

- Enabling more TNF scientists to devote more than their current average of 15% time on materials forensics-related R&D
- Expanding the internships, fellowships, university and faculty awards in the National Nuclear Forensics Expertise Development Program
- Moving beyond maintaining the current state of capability which primarily relies on Subject Matter Experts
- Beginning investments in novel R&D methods and tools at national laboratories and universities which could enable breakthroughs in TNF signatures discovery and analyses
- Advancing the pace of validating signature methodologies: Currently only one age-dating methodology is being developed and validated

Risk Reduction: It is widely recognized that global nuclear risks are accelerating with growing access to nuclear power, technology, expertise and materials. A credible nuclear forensics capability provides a significant measure of deterrence to both witting and unwitting transfers of materials to terrorists, if a nation realizes those materials have a “return address” – a powerful contributor to risk reduction. Additionally, a rapid and robust forensics capability can help to minimize the risk of a follow-on attack or smuggling of materials into the U.S. Within the U.S. the strategic landscape for nuclear defense measures is in a state of flux, directly impacting the nuclear forensics community. The nuclear weapons complex, which provides most of the facilities and expertise that is leveraged for NTNF, is being reduced, and many of the core senior experts are at risk of either retiring or moving on to more promising career paths at the same time we are trying to advance our capabilities. A stable and enhanced R&D program will reduce the risk of losing our core expertise while achieving advancements. Furthermore, the academic pipeline that would provide the next generation of nuclear experts has withered and is currently in a state of extremis. Hence, DNDO is aggressively pursuing improvements to the academic pipeline with synchronized programs encompassing the DNDO mission space for nuclear detection and forensics.

In summary, it is essential that we reduce the risk of a declining expertise pipeline; reduce the risk that forensics support to attribution will not meet the expectations of the President, the Congress and the public; reduce the risk of insufficient deterrence; and should deterrence fail, reduce the risk of a follow-on event.

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Domestic Nuclear Detection Office
Justification of Proposed Changes in Appropriation Name
Appropriation Language**

For necessary expenses for radiological and nuclear research, development, testing, evaluation and operations, [\$323,200,000] \$326,537,000 to remain available until expended. (Department of Homeland Security Appropriations Act, 20[09] 10)

Explanation of Changes:

B. FY 2009 to FY 2010 Budget

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development and Operations
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
2009 Enacted.....			323,200
Adjustments-to-Base (ATBs)			
Non-Recurring Costs			(6,700)
Total Decreases.....			(6,700)
Total ATBs.....			(6,700)
2009 Current Services.....			316,500
Program Change:			
Exploratory Research			7,237
National Technical Nuclear Forensics			2,800
Total Program Change.....	---		10,037
2010 Request.....		---	326,537
2009 to 2010 Total Change.....		---	3,337

C. Summary of Requirements

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development and Operations
Summary of Requirements
(Dollars in Thousands)**

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual		---	\$288,225
2009 Enacted		---	323,200
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	---	---	---
Increases	---	---	
Decreases	---	---	(6,700)
Total Adjustments-to-Base		---	(6,700)
2010 Current Services		---	316,500
Program Changes (See "FY 2008 to FY 2009 Budget Change" for details)			
		---	10,037
2010 Total Request		---	326,537
2009 to 2010 Total Change		---	3,337

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Systems Engineering and Architecture			25,147			301						25,448			301
Systems Development			108,100			(8,100)						100,000			(8,100)
Transformational R&D			103,300			---			7,237			110,537			7,237
Assessments			32,000			416						32,416			416
Operations			37,753			683						38,436			683
Forensics	---	---	16,900	---	---	---	---	---	2,800	---	---	19,700	---	---	2,800
Total	---	---	323,200	---	---	(6,700)	---	---	10,037	---	---	326,537	---	---	3,337

D. Summary of Reimbursable Resources (not applicable)

E. Summary of Requirements By Object Class

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development and Operations
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
21.0 Travel	1,659	2,480	2,470	(10)
25.1 Advisory and assistance	23,569	23,353	22,068	(1,285)
25.2 Other services	---	---	---	---
25.3 Purchases of goods & sv	109,782	110,825	114,780	3,955
25.4 Operation & maintenanc	---	8,466	8,682	216
25.5 Research and developme	101,170	170,444	171,505	1,061
25.7 Operation and mainten	---	390	390	---
31.0 Equipment	40,330	---	---	---
41.0 Grants/Subsidies/Contrib	11,715	7,242	6,642	(600)
Total, Other Obj	\$288,225	\$323,200	\$326,537	\$3,337
Total, Direct Ob	\$288,225	\$323,200	\$326,537	\$3,337
Unobligated balance, start of year				
Unobligated balance, end of year				
Recoveries of prior year obligations				
Total requirement	\$288,225	\$323,200	\$326,537	\$3,337

F. Permanent Positions by Grade (not applicable)

G. Capital Investment and Construction Initiative Listing (not applicable)

H. PPA Budget Justifications

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development and Operations
Systems Engineering and Architecture
Funding Schedule
(Dollars in Thousands)**

PPA: Systems Engineering and Architecture		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
21.0	Travel	132	405	405	---
25.1	Advisory & Assistance Services	2,122	3,311	3,311	---
25.3	Purchase from Govt. Accts.	4,289	7,385	7,500	115
25.5	Research & Development	15,375	14,046	14,232	186
		\$21,918	\$25,147	\$25,448	301

PPA Mission Statement

Systems Engineering and Architecture: DNDO Systems Engineering and Architecture programs are (1) developing an enhanced global nuclear detection architecture, including both domestic and international components, and (2) maintaining and supporting a disciplined systems engineering approach throughout DNDO. The global architecture comprises several key elements: a multi-layered structure of radiological/nuclear detection systems, deployed both domestically and overseas; a well-defined and carefully coordinated network of interrelationships among them; and a set of systems engineering-based principles and guidelines governing the architecture's design and evolution over time. From its initial stand-up, DNDO recognized the importance and need for the application of a systems engineering approach in achieving an integrated and balanced global nuclear detection system solution. Effective implementation and operation of detection systems begins with the design and development of reliable and maintainable systems, built to rigorous, established performance standards and specifications, while assessing total system performance and total ownership costs within the family of radiological/nuclear detection systems.

2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
\$132	\$405	\$405	\$0

Travel

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request of \$405,000 which is not a change from the FY 2009 enacted appropriation.

2008	2009	2010	2009 to 2010
Actual	Enacted	Request	Change
2,122	\$3,311	\$3,311	\$0

Advisory and Assistance Services

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request is \$3,311,000 which is an increase of \$2,000 change from the FY 2009 enacted appropriation.

2008	2009	2010	2009 to 2010
Actual	Enacted	Request	Change
\$4,289	\$7,385	\$7,500	115

Purchase from Government Accounts

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request of \$7,500,000 which is an increase of \$115,000 above the enacted FY 2009

2008	2009	2010	2009 to 2010
Actual	Enacted	Request	Change
\$15,375	\$14,046	\$14,232	186

Research and Development

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 request is \$14,232,000 which is an increase of \$186,000 from the enacted FY 2009 appropriation.

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development and Operations
Systems Development**

Funding Schedule

(Dollars in Thousands)

PPA: Systems Development		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
21.0	Travel	754	460	450	(10)
25.1	Advisory & Assistance Services	6,685	4,534	3,000	(1,534)
25.3	Purchase from Govt. Accts.	11,021	7,296	5,150	(2,146)
25.5	Research & Development	41,890	93,810	90,000	(3,810)
31.0	Equipment	39,737	0	0	0
41.0	Grants/Subsidies/Contributions	0	2,000	1,400	(600)
Total, Systems Development		\$100,087	\$108,100	\$100,000	(\$8,100)
Full Time Equivalents		---	---	---	---

PPA Mission Statement

Systems Development: DNDO Systems Development and Acquisition (SDA) programs serve as the radiological/nuclear detection systems research, development and acquisition component within DNDO. SDA is responsible for the engineering development, production, and all developmental logistics products associated with the current and next generation of nuclear detection systems. Product lines include radiation portal monitors (and associated materials development and facilitation), radiography (which includes non-intrusive inspection, or NII, systems such as the CAARS), human-portable systems, and integration programs to address the needs of our operational customers (Federal, State, local, and tribal authorities).

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$754	\$460	\$450	(\$10)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request of \$450,000 which is a decrease of \$10,000 from the FY 2009 enacted appropriation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$6,685	\$4,534	\$3,000	(\$1,534)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request is \$3,000,000 which is an decrease of \$1,534,000 change from the FY 2009 enacted appropriation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$11,021	\$7,296	\$5,150	(\$2,146)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request of \$5,150,000 which is a decrease of \$2,146,000 from the enacted FY 2009

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$41,890	\$93,810	\$90,000	(\$3,810)

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 request is \$90,000,000 which is a decrease of \$3,810,000 from the enacted FY 2009 appropriation.

	2008	2009	2010	2009 to 2010
	EOY Proj. Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$2,000	\$2,000	\$1,400	(\$600)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2010 request is \$1,400,000 which is a decrease of \$600,000 from the enacted FY 2009 appropriation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$39,737	\$0	\$0	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request is \$0 which is not a change from the FY 2009 level.

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development and Operations**

**Assessments
Funding Schedule**

(Dollars in Thousands)

PPA: Assessments		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
21.0	Travel	253	545	545	---
25.1	Advisory & Assistance Services	4,361	5,570	5,670	100
25.3	Purchase from Govt. Accts.	21,944	1,026	1,026	---
25.4	Operation & maintenance of facilities	0	8,466	8,682	216
25.5	Research & Development	5,888	10,761	10,861	100
25.7	Operation & maintenance of equipment	0	390	390	---
41.0	Grants/Subsidies/Contributions	0	5,242	5,242	---
Total, Assessments		32,446	32,000	32,416	\$416
Full Time Equivalents		---	---	---	---

PPA Mission Statement

Assessments: The DNDO research, development, and acquisition process is anchored by an independent assessment of DNDO-mission related programs as they are developed, deployed, and implemented, as well as a continual assessment of the global nuclear detection and reporting architecture, through a variety of means. Assessments programs include test and evaluation (T&E) campaigns to characterize technologies and systems, execution of pilots with operational agencies to evaluate concepts of operation, red teaming assessments to deepen our understanding of adversary capabilities, and net assessments to identify the effectiveness of the planned and deployed global nuclear detection and reporting architecture.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$253	\$545	\$545	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request of \$545,000 which is not a change from the FY 2009 enacted appropriation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$4,361	\$5,570	\$5,670	\$100

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request is \$5,670,000 which is an increase of \$100,000 change from the FY 2009 enacted appropriation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$21,944	\$1,026	\$1,026	\$0

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request of \$1,026,000 which is not a change from the enacted FY 2009 appropriation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & maintenance of facilities	\$0	\$8,466	\$8,682	\$216

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2010 request is \$8,682,000, which is an increase of \$216,000 above the FY 2009 request.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$5,888	\$10,761	\$10,861	\$100

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 request is \$10,861,000 which is an increase of \$100,000 from the enacted FY 2009 appropriation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Operation & Maintenance of equipment	\$0	\$390	\$390	\$0

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2010 request is \$390,000 which is not a change from the FY 2009 request.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Grants/Subsidies/Contributions	\$0	\$5,242	\$5,242	\$0

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2010 request is \$5,242,000 which is not a change from the enacted FY 2009 appropriation.

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development and Operations**

Forensics

Funding Schedule

(Dollars in Thousands)

		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
PPA: Forensics					
Object Classes:					
21.0	Travel	59	205	205	---
25.1	Advisory & Assistance Services	957	958	1,105	147
25.3	Purchase from Govt. Accts.	13,106	15,313	17,375	2,062
25.5	Research & Development	---	424	1,015	591
Total, Forensics		\$14,122	\$16,900	\$19,700	\$2,800
Full Time Equivalents		---	---	---	---

PPA Mission Statement

DNDO's National Technical Nuclear Forensics (NTNF) capability serves as an integral component and layer of the United States Government (USG) effort to combat nuclear terrorism. This capability provides means for the collection, analysis, and evaluation of rad/nuc materials and associated evidence for the purpose of comprehensive and timely forensic analysis to contribute to attribution conclusions. An effective forensics and attribution capability will inform national response deliberations and can also help to prevent a follow-on attack. At the strategic level, nuclear forensics can contribute to deterrence and prevention by promoting the concept of "nuclear accountability" for nations that may wittingly or unwittingly enable a terrorist to obtain nuclear devices or materials.

A strong, consistent effort to coordinate NTNF activities across the USG is critical to the success of the mission. DNDO's NTNF Center (NTNFC) has the leading role to ensure this coordinated success as national systems integrator for USG nuclear forensics. NTNFC is fulfilling its mandate to steward the national-level planning, integration, advancement, and readiness of an enduring national nuclear forensics capability. DNDO has begun planning and leading the interagency effort to address pipeline issues on multiple fronts, including fellowships, internships, scholarships, outreach, university awards, and enhanced multi-year R&D funding. DNDO's joint forensics and transformational research academic expertise initiatives have generated enormous enthusiasm among non-governmental organizations, universities, and national labs. These new initiatives are providing a significant adrenaline boost to the nuclear pipeline.

Summary Justification and Explanation of Changes

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Travel	\$59	\$205	\$205	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request of \$205,000 which is not a change from the FY 2009 enacted appropriation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$957	\$958	\$1,105	\$147

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request is \$1,105,000 which is an increase of \$147,000 change from the FY 2009 enacted appropriation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$13,106	\$15,313	\$17,375	\$2,062

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request of \$17,375,000 which is an increase of \$2,062 from the enacted FY 2009

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$0	\$424	\$1,015	\$591

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 request is \$1,015,000 which is an increase of \$591,000 from the enacted FY 2009 appropriation.

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development and Operations
Transformational R&D**

Funding Schedule

(Dollars in Thousands)

PPA: Transformational R&D		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
21.0	Travel	132	355	355	---
25.1	Advisory & Assistance Services	2,136	1,598	1,600	2
25.3	Purchase from Govt. Accts.	37,063	53,804	57,045	3,241
25.5	Research & Development	35,896	47,543	51,537	3,994
25.6	Grants/Subsidies/Contributions	11,715	---	---	---
Total, Transformational R&D		86,942	\$103,300	\$110,537	\$7,237
Full Time Equivalents		---	---	---	---

PPA Mission Statement

DNDO's transformational and applied R&D program seeks to identify, explore, develop, and demonstrate scientific and technological approaches that meet one or more of the following criteria: address gaps in the GNDA, dramatically improve the performance of nuclear detection components and systems, or significantly reduce the operational burden of rad/nuc detection. Dramatic technological improvements may include improvements in system or component effectiveness and performance characteristics; reduction in cost of acquisition or maintenance; or reduction of operational burden by users in the field. R&D investments are made based on competitive awards, with investigators in all sectors – government laboratories, academia, and private industry – encouraged to participate. This program takes advantage of the qualities and respective advantages of all three sectors to develop products, and teaming among them is encouraged. Transformational and applied R&D is carried out within three major programs: Exploratory Research (ER), Academic Research Initiative (ARI), and Advanced Technology Demonstrations (ATD).

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$132	\$355	\$355	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request of \$355,000 which is not a change from the FY 2009 enacted appropriation.

	2008	2009	2010	2009 to 2010
	EOY Proj. Actual	Enacted	Request	Change
Research and Development	\$44,361	\$47,543	\$51,537	\$3,994

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 request is \$51,537,000 which is an increase of \$3,994,000 from the enacted FY 2009 appropriation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Advisory and Assistance Services	\$2,136	\$1,598	\$1,600	\$2

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request is \$1,600,000 which is an increase of \$2,000 change from the FY 2009 enacted appropriation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$37,063	\$53,804	\$57,045	\$3,241

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request of \$57,045,000 which an increase of \$3,241,000 from the enacted FY 2009 appropriation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$35,896	\$47,543	\$51,537	\$3,994

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 request is \$51,537,000 which is an increase of \$3,994,000 from the enacted FY 2009 appropriation.

**Department of Homeland Security
Domestic Nuclear Detection Office
Research, Development and Operations**

Operations

Funding Schedule

(Dollars in Thousands)

PPA: Operations		2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Object Classes:					
21.0	Travel	329	510	510	---
25.1	Advisory & Assistance Services	7,308	7,382	7,382	---
25.3	Purchase from Govt. Accts.	22,359	26,001	26,684	683
25.5	Research & Development	2,121	3,860	3,860	---
31.0	Equipment	593	---	---	---
Total, Operations		\$32,710	\$37,753	\$38,436	\$683
Full Time Equivalents		---	---	---	---

PPA Mission Statement

DNDO Operations Support is responsible for supporting the situational awareness of the nuclear and radiological landscape and the global nuclear detection architecture, while directly facilitating the technical adjudication of rad/nuc incidents. The capability of the JAC is the 24/7 DNDO information hub, and the essence of DNDO's rapid information reporting. Additionally, Operations Support develops training, exercises, information sharing capabilities, and analytical tools necessary to create a fully integrated operating environment to be used by Federal, State, tribal, and local law enforcement agencies, as well as the larger intelligence and counterterrorism communities.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Travel	\$329	\$510	\$510	\$0

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2010 request of \$510,000 which is not a change from the FY 2009 enacted appropriation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$7,308	\$7,382	\$7,382	\$0

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request is \$7,382,000 which is not a change from the FY 2009 enacted appropriation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Purchase from Government Accounts	\$22,359	\$26,001	\$26,684	\$683

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2010 request of \$26,684,000 which an increase of \$683,000 from the enacted FY 2009 appropriation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Research and Development	\$2,121	\$3,860	\$3,860	\$0

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2010 request is \$3,860,000 which is not a change from the enacted FY 2009 appropriation.

	2008	2009	2010	2009 to 2010
	Actual	Enacted	Request	Change
Equipment	\$593	\$0	\$0	\$0

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2010 request is \$0 which is not a change from the FY 2009 level.

I. Changes In FTE (not applicable)

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity (not applicable)

**Department of
Homeland Security**
*Domestic Nuclear Detection Office
Systems Acquisition*



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

DOMESTIC NUCLEAR DETECTION OFFICE SYSTEMS ACQUISITION

I. Appropriation Overview

A. Mission Statement for Systems Acquisition:

At inception, the Domestic Nuclear Detection Office (DNDO) was given responsibility for all Department of Homeland Security (DHS) system procurement, deployment, and installation of radiological/nuclear (rad/nuc) systems to land, air, and sea ports of entry. This responsibility expanded to include acquisition of rad/nuc detection equipment for other DHS components, including the United States Coast Guard (USCG), multiple offices within Customs and Border Protection (CBP), and the Transportation Security Administration (TSA). In addition, the DNDO acquisition program provided robust systems engineering and test and evaluation programs in support of fielded systems. DNDO ensured that all deployed systems were evaluated prior to any acquisition decisions, so that the performance capabilities of these systems are well understood. All deployed technologies were accompanied by the appropriate training, exercises, and alarm response protocols. This ensured that systems are operated properly, and alarms are adjudicated according to established protocols.

B. Budget Activities:

No funds are being requested for the Domestic Nuclear Detection Office Systems Acquisition reflecting unobligated carryover balances from prior appropriations and unanticipated delays in final Secretarial certification of Advanced Spectroscopic Portals. DNDO will continue to acquire radiological/nuclear detection equipment in FY 2010 as it draws down unobligated balances remaining for this activity. To date, DNDO's acquisition program has successfully enabled DHS components to dramatically increase scanning of cargo and persons at US points of entry.

C. Budget Request Summary:

The Domestic Nuclear Detection Office does not request any FY 2010 funding for the Systems Acquisition appropriation account. The total adjustments-to-base is a decrease of \$153,491,000 from the FY 2009 enacted level.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security
Domestic Nuclear Detection Office
Systems Acquisitions**

Summary of FY 2010 Budget Estimates by Program/Project Activity
(Dollars in Thousands)

Program/Project Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Rad Portal Monitoring Program	---	56,429	---	120,491	---	0		(120,491)	---		---	(\$120,491)
Securing the Cities	---	29,582	---	20,000	---	0		(20,000)	---	---	---	(20,000)
Human Portal Rad Detection Systems	---	8,490	---	13,000	---	0		(13,000)	---		---	(13,000)
Subtotal, Enacted Appropriations and Budget Estimates	---	94,501	---	153,491	---	0	---	(153,491)	---	---	---	(153,491)
Less: Adjustments for Other Funding Sources:												
Net, Enacted Appropriations and Budget Estimates	---	\$94,501	---	\$153,491	---	\$0	---	(\$153,491)	---	\$0	---	(\$153,491)

III. Current Services Program Description by PPA

**Department of Homeland Security
Domestic Nuclear Detection Office
Systems Acquisition
Program Performance Justification
(Dollars in thousands)**

PPA: RADIATION PORTAL MONITORING PROGRAM

	Perm Pos	FTE	Amount
2008 Actual	---	---	\$56,429
2009 Enacted	---	---	\$120,491
2010 Adjustments-to-Base	---	---	\$(120,491)
2010 Current Services	---	---	\$0
2010 Program Change	---	---	\$0
2010 Request	---	---	\$0
Total Change 2009-2010	---	---	\$(120,491)

DNDO does not request any FY 2010 funding for this activity. This is a decrease of \$120.491 million from the FY 2009 enacted appropriation level.

CURRENT SERVICES PROGRAM DESCRIPTION:

Radiation Portal Monitoring Program: The Radiation Portal Monitor Program (RPMP) was established by DHS in January 2002 with the objectives of deploying RPMs at the United States POEs and providing the scientific and technical expertise to design, acquire, deploy, operate, and maintain these systems.

Since 2006, DNDO acquired and deployed Commercial-Off-The-Shelf (COTS) first-generation polyvinyl toluene (PVT) RPMs in accordance with the Global Nuclear Detection Architecture (GNDA) and Customs and Border Protection (CBP) priorities, as defined in the "Joint DNDO/CBP Deployment Strategy for Radiation Portal Monitors." DNDO initiated the Advanced Spectroscopic Portal (ASP) program in 2006 for development of a fixed cargo-scanning portal unit. The ASP program is designed to address necessary improvements in the land borders, aviation pathways, and maritime pathways mission areas to better accomplish radiation detection at U.S. land, air, and sea POEs. ASP machines are expected to be ready for Secretarial certification by September, 2009 and the first deployments will begin on October, 2009.

Accomplishments

Accomplishments in FY 2008 include:

- Procured 32 and deployed 22 ASP RPMs for test purposes.

- Procured and deployed approximately 80 PVT RPMs to achieve 98% scanning of containerized cargo and 93% of privately operated vehicles (POVs) entering U.S. land POEs. (Includes screening 96% of cargo and 87% POV along the Northern Border).
- Achieved 100% scanning of cargo containers and POVs at the Southern Border.
- Procured and deployed PVT RPMs to United States seaports.
- Achieved 98% screening of cargo at United States seaports in accordance with the “Joint DNDO/CBP Deployment Strategy for Radiation Portal Monitors.”

FY 2009 planned accomplishments include:

- Subsequent to Secretarial certification of the ASP system, DNDO will upgrade and deploy the 45 low rate initial production NaI ASP units procured in FY 2006.
- Initiate continuous improvement program for ASP RPMs to increase functionality, maintainability and reliability as mutually agreed by DNDO and CBP.
- Procure and deploy a mix of ASP and PVT RPMS to continue to progress towards the DHS goal of 100% screening of containerized cargo and POVs entering the U.S. at designated POEs in accordance with the “Joint DNDO/CBP Deployment Strategy for Radiation Portal Monitors.”
- Achieves the goal of screening 100% of cargo and 100% of POV along the Northern Border.
- Procure and deploy a mix of PVT and ASP RPMs to continue to work toward the goal of scanning 100% of cargo at United States seaports in accordance with the “Joint DNDO/CBP Deployment Strategy for Radiation Portal Monitors.”
- Continue the deployment of PVT RPMs to a large number of smaller capacity seaports that account for a smaller volume of cargo being screened. As such, DNDO expects the percent of cargo screened to remain at 98% at the end of FY 2009.

Customs and Border Protection Joint Acquisition Strategy: The CBP Joint Acquisition Strategy (JAS) is a joint DNDO/CBP-Office of Field Operations effort to procure human portable systems to equip CBP officers operating land, air, and sea POEs. The CBP JAS is closely coupled with the RPMP in that human portable units are included – in addition to RPMs - as part of land, air, and sea POE deployments.

Accomplishments

Significant accomplishments in FY 2008 include:

- Procured 164 NaI-based RIIDS for deployment to address the CBP’s expanding mission as well as to supply replacement units for damaged or worn out systems.
- Procured 50 LaBr₃-based RIIDS for deployment in two venues to evaluate the systems performance in an operational environment.

FY 2009 planned accomplishments include:

- Recapitalize equipment for Customs Officers at POEs (approximately 200 NaI, LaBr₃, and HPGe handheld units and 10 backpack units to CBP officers).

Visible Intermodal Prevention and Response Teams: An increased layer of preventive rad/nuc detection (PRND) capabilities poised at domestic transportation modes provides both a deterrent to terrorist activities and increases the odds of detecting rad/nuc material in transit to a target. The coupling of PRND capabilities with the Transportation Security Administration's (TSA's) Visible Intermodal Prevention and Response (VIPR) team operations provides greater detection capability, rapid response, and additional PRND trained and equipped law enforcement personnel in support of the global nuclear detection architecture (GNDA). Through the delivery of tailored training and suites of PRND equipment, TSA VIPR teams will become another Federal asset that may be called upon during times of heightened alert.

Accomplishments in FY 2008 include:

- Conducted two PRND team drills with TSA's Washington Field Office—variously with TSA's Philadelphia, New Jersey, and Delaware Field Offices, and state and local law enforcement officers—and established a concept of operations (CONOPS) and standard operating procedures (SOPs) for employing PRND equipment and integrating operations into VIPR activities.
- Procured and deployed rad/nuc detection equipment for two VIPR teams.

FY 2009 planned accomplishments include:

- Procure and deploy rad/nuc detection equipment and operational spares for eight national VIPR teams.
- Procure and deploy rad/nuc detection equipment and spares for the TSA training facility to allow TSA to develop and conduct its PRND “train the trainer” program.

Mobile Detection Deployment Program: In FY 2007, DNDO began the procurement of a national nuclear detection “surge” capability, a suite of mobile (man-portable) and re-locatable (vehicle-mounted) detection systems and accompanying communications and information infrastructure deployable to varying locations based upon heightened threat and security alert levels. This Federal asset will increase limited existing “surge” capacity of domestic deployments of radiation detection equipment to support special events, allow for wide-area detection in response to non-specific threats, and serve as a force multiplier for DOE Radiological Assistance Program (RAP) teams and Nuclear Incident Response Teams (NIRT). The 2007 Systems Acquisition appropriation provided funding for the procurement of a mobile detection unit to be deployed to provide increased security in specific areas in periods of heightened alert or if specific threats are identified. The system package will be Federally-owned and maintained, but operated in conjunction with State and local agencies.

The initial specialized MDDP asset (delivered and fielded in FY 2008) was modeled after a RAP response system; a vehicle (SUV/truck/van) towing a trailer loaded with enhanced radiation

detection instruments and command and control capabilities. DNDO is evaluating the recently deployed MDDP system and is utilizing lessons learned to develop an out-year strategy and plan for the MDDP system, and to propose an optimal number of equipment suites. MDDP activities in the out years will rely on the analysis provided through this evaluation activity.

Accomplishments in FY 2008 include:

- Completed the design and build-out of the initial MDDP unit. The unit was deployed at designated special events in FY 2008.

FY 2009 planned accomplishments include:

- Deploy existing MDDP unit and develop a strategy to expand the program to the necessary operational capability.
- Complete build-out of two additional MDDP units and initial deployment of at least one of the additional systems.

**Department of Homeland Security
Domestic Nuclear Detection Office
Systems Acquisition
Program Performance Justification
(Dollars in thousands)**

PPA: SECURING THE CITIES

	Perm Pos	FTE	Amount
2008 Actual	---	---	\$29,582
2009 Enacted	---	---	\$20,000
2010 Adjustments-to-Base	---	---	(\$20,000)
2010 Current Services	---	---	\$0
2010 Program Change	---	---	\$0
2010 Request	---	---	0
Total Change 2009-2010	---	---	(\$20,000)

DNDO does not request any funding for this activity. This is a decrease of \$20 million due to the completion of the initial three-year pilot project in New York City.

CURRENT SERVICES PROGRAM DESCRIPTION:

Securing the Cities Initiative: The objective of the Securing the Cities (STC) initiative is to prevent a rad/nuc attack on high-risk metropolitan areas by enhancing regional capabilities to detect and interdict radiological threats.

No STC funding is requested in FY10.

Significant accomplishments in FY 2008 include:

- Awarded a Cooperative Agreement to NYC to procure, integrate, deploy, and train a multi-layer, multi-pathway, multi-jurisdiction PRND and reporting architecture for the NYC region.

FY 2009 planned accomplishments include:

- Implement the means to calibrate and maintain equipment purchased through the STC initiative.
- Deploy over 4,000 Personal Radiation Detectors, 50 Radioisotope Identifiers (with communication equipment & computers), 100 backpack-based detectors, and 30 mobile detection systems. Deployment includes delivery of uniformly configured equipment and associated training on the use of the equipment.

**Department of Homeland Security
Domestic Nuclear Detection Office
Systems Acquisition
Program Performance Justification
(Dollars in thousands)**

PPA: HUMAN PORTABLE RADIATION DETECTION SYSTEMS

	Perm Pos	FTE	Amount
2008 Actual	---	---	\$8,490
2009 Enacted	---	---	\$13,000
2010 Adjustments-to-Base	---	---	(\$13,000)
2010 Current Services	---	---	\$0
2010 Program Change	---	---	\$0
2010 Request	---	---	\$0
Total Change 2009-2010	---	---	(\$13,000)

DNDO does not request any funding for this activity. This is a decrease of \$13 million from the FY 2009 appropriated level.

CURRENT SERVICES PROGRAM DESCRIPTION:

The Human Portable Systems: DNDO has multiple Programs that provided a wide variety of law enforcement and first responders with effective human portable systems for rad/nuc detection: the Handheld program, the Human Portable Wide Area Search (HPWAS) program, and the Human Portable Tripwire (HPT) program.

Phased Deployment Implementation Plan: The Phased Deployment Implementation Plan (PDIP) is a joint effort between DNDO, the CBP Office of Intelligence and Operations Coordination (OIOC), the CBP Office of Border Patrol (OBP), and Laboratory and Scientific Services (LSS) to upgrade the effectiveness of detecting illicit radioactive material being smuggled into the United States across our borders with Canada and Mexico without passing through official POEs.

A PDIP Working Group has been formed with the user (CBP-OBP) that considered all Border Patrol sectors (including HQ in Washington, DC) and developed a prioritized system deployment schedule.

Accomplishments

Accomplishments in FY 2008 include:

- Procured initial installment of 64 handheld systems for Border Patrol agents.

FY 2009 planned accomplishments include:

- Procure and deploy approximately 169 handheld systems.

Civil Aviation Passengers, Baggage, and Aircraft Scanning: DNDO is currently developing programs that address scanning of passengers, baggage, and aircraft in International General Aviation (IGA) and international commercial aviation. Program efforts include assessing current detection capability, generating technical and operational requirements, and piloting systems and Concepts of Operations (CONOPs) to evaluate deployment concepts.

Accomplishments in the Aviation Pathways Mission Area:

Significant accomplishments in FY 2008 include:

- There was no acquisition activity in the Aviation Passengers, Baggage, and Aircraft Scanning Program in FY 2008.

FY 2009 planned accomplishments include:

- There is no planned acquisition activity in the Aviation Passengers, Baggage, and Aircraft Scanning program in FY 2009.

FY 2010 planned accomplishments:

- No further accomplishments in this area due to decreased funding.

United States Coast Guard Joint Acquisition Strategy: DNDO and the USCG have collaborated on a Joint Acquisition Strategy (JAS) to leverage resources to assist the USCG with achieving the DHS Secretary's goal that all USCG boarding/inspection teams have radiation detection equipment by the end of 2007. The JAS identifies the USCG radiation detection requirements and delineates responsibilities for developing and providing equipment to meet this requirement. In addition, the JAS provides for recapitalization of currently deployed systems, and for the acquisition of advanced detection systems. In FY 2008, DNDO supported: 1) the recapitalization of 10% of the USCG Personal Radiation Detectors (PRDs); 2) the acquisition of the additional HPRDS Communications Packages (HCPs) required to complete the USCG's requirement for wireless spectra transmission of gamma spectra for alarm adjudication; and 3) the provision of an advanced radiation detection capability for the deployable, specialized forces. Beginning in FY 2009, DNDO has budgeted funds for efforts to recapitalize existing USCG equipment at a rate of approximately 20% per year as well as to acquire, in low rates, newly developed rad/nuc detection systems. As newly developed equipment becomes available, cost benefit analyses will be conducted to determine if this next-generation radiation equipment should be used for recapitalizing instead of being replaced with older systems.

Acquisition of advanced rad/nuc detection systems (such as boat-mounted systems) will be required to enhance the radiation detection capability of the USCG, which is predominantly comprised of human portable systems. As currently envisioned, boat-mounted systems do not require the boarding of a vessel to screen it for rad/nuc devices. The Boat-Mounted Sensor

Program description in the Research, Development, and Operations (RD&O) appropriation provides further information about these advanced detection systems.

Accomplishments in the Maritime Pathways Mission Area:

Significant accomplishments in FY 2008 include:

- Procured rad/nuc detection and related equipment in accordance with the USCG JAS, to include: 360 PRDs, 134 HCPs, 6 linear radiation monitors, 18 handheld radiation monitors, and 4 high-purity germanium (HPGe) Radioisotope Identification Devices (RIIDs).

FY 2009 planned accomplishments include:

- Begin recapitalization of existing USCG equipment at an approximate rate of 20% per year
- Procure rad/nuc detection systems to satisfy USCG requirements. Current planning figures for the USCG JAS in FY 2009 includes approximately 788 PRDs, 118 RIIDs and 23 backpack systems

FY 2010 planned accomplishments:

- No further accomplishments in this area due to decreased funding.

West Coast Maritime Pilot Program: This pilot program supports the DHS Small Vessel Security Strategy specific objective to develop a robust layered defense by expanding and enhancing maritime radiological/nuclear detection capabilities for international, Federal, State, local, tribal, and private stakeholders. Consequently, the focus of this effort is to evaluate the effectiveness of a limited-phased deployment of commercially available and Government-Off-The-Shelf (GOTS) rad/nuc detection capabilities against the small vessel threat in the Puget Sound and San Diego regions and gather lessons learned to improve effectiveness of a wider deployment of maritime capabilities to other priority U.S. ports.

Accomplishments in the Maritime Pathways Mission Area:

Significant accomplishments in FY 2008 include:

- Procured PRDs, RIIDs, and backpacks for Federal, State, and local entities participating in the West Coast Maritime pilot, beginning with the Puget Sound region.

FY 2009 planned accomplishments include:

- Procure PRDs, RIIDs, and backpacks for Federal, State, and local entities participating in the West Coast Maritime pilot, in Puget Sound and San Diego.
- Acquire and deploy (on a limited basis) boat-mounted detectors for the Federal, state and local stakeholders that will develop and evaluate CONOPs, protocols and alarm adjudication.

IV. Program Justification of Changes – not applicable

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Domestic Nuclear Detection Office
Justification of Proposed Changes in Systems Acquisition
Appropriation Language**

No funds are being made available for the Domestic Nuclear Detection Office acquisition and deployment of radiological detection systems. (Department of Homeland Security Appropriations Act, 2010)

Explanation of Changes:

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
Domestic Nuclear Detection Office
Systems Acquisitions
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actuals			\$94,501
2009 Enacted			153,491
Adjustments-to-Base			
Increases			
Non-pay inflation excluding GSA Rent....			
Total Increases			0
Decreases			
Nonrecurring costs (Securing the Cities)			(20,000)
Systems Acquisitions			(133,491)
Total Decreases			(153,491)
Total Adjustments-to-Base			(153,491)
2010 Current Services			0
Over Guidance Program Changes			
Total Program Changes	---		0
2010 Request	---		0
2009 to 2010 Total Change	---		(153,491)

C. Summary of Requirements

**Department of Homeland Security
Domestic Nuclear Detection Office
Systems Acquisitions
Summary of Requirements
(Dollars in Thousands)**

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual		---	\$94,501
2009 Enacted		---	153,491
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	---	---	---
Increases	---	---	---
Decreases	---	---	(153,491)
Total Adjustments-to-Base		---	(153,491)
2010 Current Services		---	---
Program Changes (See "FY 2008 to FY 2009 Budget Change" for details)		---	---
2010 Total Request		---	---
2009 to 2010 Total Change		---	(153,491)

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
3 Rad Portal Monitoring Program	---	---	120,491	---	---	(120,491)	---	---	0	---	---	0	---	---	(120,491)
4 Securing the Cities	---	---	20,000	---	---	(20,000)	---	---	0	---	---	0	---	---	(20,000)
5 Human Portal Rad Det Systems	---	---	13,000	---	---	(13,000)	---	---	0	---	---	0	---	---	(13,000)
Total	---	---	\$153,491	---	---	(\$153,491)	---	---	\$0	---	---	\$0	---	---	(\$153,491)

Note:

D. Summary of Reimbursable Resources: (not applicable)

E. Summary of Requirements by Object Class

**Department of Homeland Security
Domestic Nuclear Detection Office
Systems Acquisitions
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
25.1 Advisory and Assistance Services	2,916	0	0	0
25.3 Purchases of goods & svcs. from Gov't accounts	11,000	130,491	0	(130,491)
25.5 Research and development contracts	4,506			
25.7 Operation and maintenance of equipment				
31 Equipment	46,579	23,000	0	(23,000)
41 Grants/Subsidies/Contributions	29,500	0	0	
Total, Other Object Classes	\$94,501	\$153,491	\$0	(\$153,491)
Total, Direct Obligations	\$94,501	\$153,491	\$0	(\$153,491)
Unobligated balance, start of year	(150,000)	(145,000)	(145,000)	
Unobligated balance, end of year	145,000	145,000	145,000	
Recoveries of prior year obligations	(20,000)	---	---	
Total requirements	\$69,501	\$153,491	\$0	

F. Permanent Positions by Grade: (Not Applicable)

G. Capital Investment and Construction Initiative Listing (not applicable)

H. PPA Budget Justifications

**Department of Homeland Security
Domestic Nuclear Detection Office
Systems Acquisitions
Summary of Requirements by Object Class
(Dollars in Thousands)**

Object Classes	FY 2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
25.1 Advisory and Assistance Services	2,916	0	0	0
25.3 Purchases of goods & svcs. from Gov't accounts	11,000	130,491	0	(130,491)
25.5 Research and development contracts	4,506			
25.7 Operation and maintenance of equipment				
31 Equipment	46,579	23,000	0	(23,000)
41 Grants/Subsidies/Contributions	29,500	0	0	
Total, Other Object Classes	\$94,501	\$153,491	\$0	(\$153,491)
Total, Direct Obligations	\$94,501	\$153,491	\$0	(\$153,491)
Unobligated balance, start of year	(150,000)	(145,000)	(145,000)	
Unobligated balance, end of year	145,000	145,000	145,000	
Recoveries of prior year obligations	(20,000)	---	---	
Total requirements	\$69,501	\$153,491	\$0	

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	82	0	0	0

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request is \$0 which is not a change from the FY 2009 enacted appropriation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Purchase from Govt. Accts.	\$0	\$8,000	\$0	(\$8,000)

Purchases from government accounts include costs for purchases from other Federal government agencies or accounts that are not otherwise classified. Funds will be used for installation, integration, and deployment activities at ports of entry and other domestic locations, as outlined in the current services section. The FY 2010 request is \$0 which is an \$8,000,000 decrease from the FY 2009 enacted appropriation.

2008	2009	2010	2009 to 2010
Actual	Enacted	Request	Change

Equipment \$0 \$12,000 \$0 (\$12,000)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. Equipment purchased will be deployed to ports of entry and other domestic locations, as outlined in the current services section. The FY 2010 request is \$0 which is a decrease of \$12,000,000.

2008	2009	2010	2009 to 2010
Actual	Enacted	Request	Change
\$29,500	\$0	\$0	\$0

Grants/Subsidies/Contributions

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2010 request is \$0 which is not a change from the enacted FY 2009 appropriation.

Department of Homeland Security
Domestic Nuclear Detection Office
Systems Acquisitions
Human Portable Radiation Detection Systems
Funding Schedule
(Dollars in Thousands)

		2008	2009	2010	2009 to 2010
		Actual	Enacted	Request	Change
PPA: Human Portable Radiation Detection System					
Object Classes:					
25.1	Advisory and Assistance Services	156			
25.5	Research & Development	8,334			
31.0	Equipment		13,000	0	(13,000)
Total, Other Object Classes		\$8,490	\$13,000	\$0	(\$13,000)
Full Time Equivalents		---	---	---	---

PPA Mission Statement

The HPRDS program is structured to provide a wide variety of law enforcement and first-responder services with the capability to detect and identify terrorist nuclear explosive devices or radiation dispersal devices (RDDs). HPRDS provides key radiation detection, threat source identification, and notification capabilities to aid law enforcement officers in mitigating terrorist nuclear threats in both POE and non-POE locations. HPRDS fills existing shortfalls through either commercial-off-the-shelf (COTS) solutions tailored to existing concepts of operations (CONOPs) and operating environments or, in instance where COTS systems are demonstrated to be inadequate, the development of cutting edge technology, which are used as primary detection tools by Customs officers, Border Patrol agents, and USCG personnel. State and local law enforcement agencies and first responders use this equipment for queued search and secondary identification operations.

Summary Justification and Explanation of Changes

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Advisory and Assistance Services	\$156		\$0	\$0

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request is \$0 which is not a change from the FY 2009 enacted appropriation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Research and Development	\$8,334		\$0	\$0

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2010 request is \$0 which is not a change from the FY 2009 enacted appropriation.

	2008 Actual	2009 Enacted	2010 Request	2009 to 2010 Change
Equipment	\$0	\$13,000	\$0	(\$13,000)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. Equipment purchased will be deployed to ports of entry and other domestic locations, as outlined in the current services section. The FY 2010 request is \$0 a decrease of \$13,000,000 from the FY 2009 enacted appropriation.

I. Changes In FTE (not applicable)

J. FY 2009 Schedule of Working Capital Fund by Program/Project Activity (not applicable)

Department of Homeland Security

Domestic Nuclear Detection Office



Fiscal Year 2010
Strategic Context
Congressional Justification

FY 2010 PRESIDENT’S BUDGET REQUEST STRATEGIC CONTEXT

Domestic Nuclear Detection Office (DNDO)

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A. Mission and Description of Component

The Domestic Nuclear Detection Office (DNDO) was chartered on April 15, 2005, through National Security Presidential Directive 43/Homeland Security Presidential Directive 14 (NSPD-43/HSPD-14). DNDO's primary focus is on the radiological/nuclear (rad/nuc) threat posed by non-state actors. DNDO is the lead Federal agency to develop a Global Nuclear Detection Architecture (GNDA) that will contribute to a robust, layered rad/nuc defense of the United States; enhance and coordinate rad/nuc detection efforts across Federal agencies, as well as state and local governments; coordinate and conduct rad/nuc detection technology research and development (R&D) programs; lead the effort to develop advanced nuclear forensics capabilities for pre-detonation materials and coordinating the USG National Technical Nuclear Forensics (NTNF) capability; and build the core technical expertise and conduct the R&D needed to support rad/nuc response and recovery efforts.

Key to the success of the Department of Homeland Security is improving the Department's ability to mitigate risks across the entire threat spectrum. In recognition of the catastrophic risk posed by the use of a nuclear weapon within the United States, the Department has integrated all nuclear detection research, development, test, evaluation, acquisition, and operational support into a single office. To this end, the Domestic Nuclear Detection Office is developing the global nuclear detection architecture and supporting the deployment of the domestic detection system to detect and report attempts to import or transport a nuclear device, or fissile or radiological material intended for illicit use.

The DNDO has the primary responsibility within the Department of Homeland Security to integrate efforts across the Department in combating the threat of nuclear attack. The DNDO is the lead Departmental representative for all interagency activities to coordinate the U.S. Government (USG) nuclear defense posture. To meet this diverse mission, the DNDO is jointly-staffed with representatives from the Department of Defense, Department of Energy, Department of Justice's Federal Bureau of Investigation, the State Department, and the Nuclear Regulatory Commission, as well as DHS components, including the Science and Technology Directorate, U.S. Customs and Border Protection, the Transportation Security Administration, and the U.S. Coast Guard. DNDO utilizes the combined interagency resources to improve the nuclear detection capability across the mission as support in the GNDA.

DNDO's principle offices are in the Washington, D.C. area with program functions being performed around the Nation at National laboratories and other Federal facilities.

B. Major Activities and Key Strategic Goals

DNDO's primary focus is on activities such as developing the GNDA, enhancing deterrence, supporting source security efforts, enabling detection of rad/nuc material, testing and evaluating rad/nuc detection systems, conducting R&D to improve detection capabilities, and determining the source of nuclear material through nuclear forensics. Specifically, DNDO funds, conducts, supports, assists, and encourages R&D that has a nexus to rad/nuc detection. DNDO supports applied research and focuses on cutting-edge, next generation technology that is not currently attracting commercial investment. Further, DNDO tests and evaluates these new technologies as well as commercial-off-the-shelf detection systems. DNDO also provides training, exercises, situational awareness, and other operational support activities to the user communities.

The goals of DNDO are:

- Goal 1: Lead USG efforts to further develop an enhanced GNDA through a layered defense-in-depth approach to the detection and interdiction of illicit rad/nuc materials.

- Goal 2: Strengthen the GNDA beyond U.S. borders through strategic collaboration with international partners.
- Goal 3: Strengthen the Nation's ability to detect and report rad/nuc threats at the border in conjunction with Federal, state, and local partners.
- Goal 4: Strengthen interior preventive detection and reporting capabilities to reduce the risk to large cities and critical infrastructure in coordination with state and local partners.
- Goal 5: Strengthen NTNF capabilities to enable deterrence and attribution of rad/nuc threats and attacks.
- Goal 6: Conduct and support a robust R&D program to develop solutions for the GNDA.
- Goal 7: Strengthen the foundation and infrastructure of the GNDA through continuously improving operational support and situational awareness.
- Goal 8: Continuously improve DNDO personnel, processes, and Enterprise Architecture, while optimizing the organizational structure.

In FY 2010, the President's Budget Request includes \$366 million for the activities of DNDO. The request provides for \$100 million and \$110.537 million for Systems Development and Transformational Research and Development, respectively. These two programs conduct all short- and long-term radiation detection R&D within the Department, including the Advanced Spectroscopic Portal program, the Cargo Advanced Automated Radiography Program, and Advanced Technology Demonstrations in Intelligent Personal Radiation Locators. These activities address the problems of detecting shielded and low emissions rad/nuc materials. To ensure that all technologies developed through these activities are fully characterized prior to deployment, the President's Budget Request includes \$32.4 million to develop and maintain a robust assessment capability, including developmental and operational test and evaluation, pilots, red teaming, and net assessments. As part of this effort, DNDO will conduct high-fidelity test campaigns in FY 2010 to assess the effectiveness of currently available handheld, mobile, and vehicle-based detection systems.

C. Resources Requested and Performance Impact

Major Changes within the Base level: The President's Budget Request of \$366 million is a decrease of \$148 million from FY 2009 enacted base level.

The Budget Request contains an increase over the FY 2009 enacted budget of \$7.2 million for Transformational Research and Development and \$2.8 million for NTNF for a total of \$10 million to base level. The Budget does not request additional funding for acquisition of equipment for FY 2010 that reflects a decrease of \$148 million to the base level. Additionally no funding is being requested for the Securing the Cities Initiative, having concluded the three year pilot in the New York City region.

Remaining budget will maintain the GNDA and provide for the continuation of DNDO's support of the Department's strategic mission and goals by serving as the primary organization within the Department to integrate efforts across DHS in combating the threat of nuclear attack, including all research, development, test, and evaluation of nuclear detection systems.

D. Performance Highlights, Resources, and Alignment to Strategic Goals

For each major program, the performance goal, alignment to DHS goals and objectives, total dollars and FTE, and main performance measure/s are shown below.

Performance Budget Highlights by Program

DNDO
2010 Congressional

Program: Domestic Nuclear Detection						
Performance Goal: Improve the Nations capability to detect and report unauthorized attempts to import, possess, store, develop, or transport radiological or nuclear material for use against the Nation.						
DHS strategic objectives supported and % allocation of activities: 2.1 - 100%						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
\$ Thousands	None	\$317,392	\$615,968	\$484,750	\$514,191	\$366,136
FTE	None	14	112	121	130	130

Performance Report Measures

Measure: Number of Advanced Technology Demonstrations transitioned to development or deployment in a fiscal year						
Description of Measure: As innovative new concepts for Domestic Nuclear Detection are identified and developed, a key step in the process is to test the new concept, device, or system in a field environment even if performance shortfalls are identified. The culmination of such developmental testing is the Advanced Technology Demonstration (ATD). This measure gauges the number of ATDs that result in a transition of radiation detection technology to full scale engineering development or deployment. The fact that the technology has matured to a point where a device/system can be evaluated in an ATD environment is a strong indicator of progress toward the long - term goal of providing enhanced radiation detection capabilities.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	0	1	1
Actual:	None	None	None	0	N/A	N/A

Measure: Number of Graduate Fellowship and academic research awards in nuclear forensics - related specialties.						
Description of Measure: This measure gauges the number of awards made under the Domestic Nuclear Detection program for Graduate Fellowship awards in nuclear forensics - related specialties, and academic research awards in nuclear detection and forensics. These awards ensure that appropriately trained technical personnel will continue to be available, maintaining and enhancing the Nation's "nuclear expertise pipeline" and increasing the deterrent effect of a robust nuclear defense capability.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	4	15	17
Actual:	None	None	None	13	N/A	N/A

Measure: Number of States and Urban Areas with an effective Preventive Radiological/Nuclear Detection program.						
Description of Measure: This measure identifies the number of States and Urban Area Security Initiative (UASI) Urban Areas having an effective Preventive Radiological/Nuclear Detection (PRND) program. An effective PRND program is considered in place if the State or the UASI Urban Area has included current contact information within the jurisdiction, that its radiological/nuclear detection protocols are in accordance with national guidance and are tied into the States Radiation Control Program notification protocols, and the State or UASI Urban Area has provided the locations of their existing radiation detection systems/hardware.						

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	8	10	16
Actual:	None	None	None	8	N/A	N/A

Measure: Percent of cargo, by volume, that passes through fixed radiation portal monitors at land and sea ports of entry

Description of Measure: The Domestic Nuclear Detection Office (DNDO) is responsible for acquiring all radiation detection equipment to be deployed to the Nation's ports of entry. Radiation portal monitors are one of the principle pieces of equipment used to meet this requirement. While Customs and Border Patrol (CBP) maintains the responsibility for operating the systems, this measure reflects the capability that DNDO provides to CBP in support of this mission.

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	90%	95%	98%	98%
Actual:	None	85%	94%	97%	N/A	N/A

Measure: Percent of cargo, by weight, that passes through radiation detection systems upon entering the Nation.

Description of Measure: This measure gauges the capacity of the radiation detection equipment deployed to the Nation's sea ports of entry, land border crossing ports of entry, international rail ports of entry, and international cargo aviation airports within the United States. It is expressed in terms of the percent (by weight) of the total cargo entering the Nation through all of these pathways that is scanned by radiation detection systems.

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	None	89.4%	91.4%	91.4%
Actual:	None	None	None	90.3%	N/A	N/A

Additional Measures

Measure: DNDO cost per person trained in radiological and nuclear preventive detection skills.

Description of Measure: Domestic Nuclear Detection Office (DNDO) is responsible for providing radiological and nuclear detection training to state and local law enforcement personnel along with first responders. This measure is intended to track the DNDO cost for training development and delivery per person trained in a given fiscal year.

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	\$7,500	\$2,500	\$1,800	\$1,700	\$1,600
Actual:	None	None	\$1,260	\$1,130	N/A	N/A

Measure: Number of individual Urban Area Security Designs completed for the Securing the Cities Program.

Description of Measure: This measure is one of several for informing the DNDO leadership of the reduction in risk to the interior layer of the global nuclear detection architecture. An Urban Area Security Design will consist of a strategy for encountering and identifying illicit radioactive or nuclear materials in or near high - risk urban areas or regions. The design will provide an acquisition plan with types, quantities, and placements of radiation/nuclear materials detectors, and describe interfaces to other Federal systems that collectively will enhance the security of the interior layer against a terrorist attack.

Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	None	0	0	1	0
Actual:	None	None	0	0	N/A	N/A

Measure: Number of personnel trained in radiological and nuclear preventive detection skills.						
Description of Measure: Domestic Nuclear Detection Office (DNDO) is responsible for providing radiological and nuclear detection training to state and local law enforcement personnel along with first responders. This measure is intended to specify the number of people who were trained in the DNDO sponsored preventive radiological and nuclear detection training program in a given fiscal year.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	300	1,200	1,700	3,000	3,500
Actual:	None	None	2041	5148	N/A	N/A

Measure: Number of tests conducted annually to assess system capability.						
Description of Measure: Each year the Test and Evaluation provides the infrastructure and institutional experience necessary to conduct independent evaluations of developed technologies. The evaluations serve to provide program managers with the information to evaluate prototype systems prior to technology transitions or acquisition/deployment decisions.						
Fiscal Year:	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target:	None	2	2	2	2	2
Actual:	None	None	3	4	N/A	N/A

E. Digest Tables by Future Year Homeland Security Program (FYHSP) Program

Digest of FY2010 Budget Estimates by Activity and FYHSP Program (dollars in thousands)						
FYHSP Program	FY2008 Revised Enacted		FY2009 Enacted		FY2010 Request	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Domestic Nuclear Detection						
Management and Administration	121.000	31500.000	130.000	37500.000	130.000	39599.000
Research, Development and Operations	0.000	323500.000	0.000	323200.000	0.000	326537.000
Systems Acquisitions	0.000	129750.000	0.000	153491.000	0.000	0.000
Total Budget Authority	121.000	484750.000	130.000	514191.000	130.000	366136.000

Department of Homeland Security

Working Capital Fund



Fiscal Year 2010
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I. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security Working Capital Fund

Summary of FY 2010 Budget Estimates by Program/Project Activity (Dollars in Thousands)

Program/Project Activity	FY 2008 Actuals		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Fee for Service Activity	311	\$362,702	322	\$411,560	322	\$673,533	---	\$261,973	---	\$253,294	---	\$8,679
Tri-Bureau Service Activity	2	59,978	2	60,060	2	37,977	---	(22,083)	---	(23,287)	---	1,204
Government-Wide Mandated Service Activity	3	26,578	6	37,093	8	37,747	2	654	2	(98)	---	752
DHS Crosscutting Activity	1	12,778	4	13,380	4	16,363	---	2,983	---	2,709	---	274
WCF Management Activity	6	901	8	1,280	8	1,316	---	36	---	---	---	36
Total Enacted Appropriations and Budget Estimates	323	\$462,937	342	\$523,373	344	\$766,936	2	\$243,563	2	\$232,618	---	\$10,945

Department of Homeland Security

Working Capital Fund



Fiscal Year 2010
Congressional Justification

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BUDGET REQUEST AND SUPPORTING INFORMATION

Working Capital Fund

I. Working Capital Fund Overview

A. Mission Statement for the Working Capital Fund (WCF):

To provide cost-effective support services throughout DHS, the WCF provides a mechanism for shared service costs to be distributed and recouped, and facilitates the delivery and oversight of shared services.

The WCF supports selected services, activities, and programs that benefit more than one DHS organizational component. Furthermore, the WCF supports the funding for government-wide initiatives as well as DHS crosscutting initiatives approved by OMB and Congress. The goal of the Under Secretary for Management is to maintain and operate a fund that promotes economy, efficiency, and accountability and to apply best practices from the public and private sectors for improving organizational performance, operational efficiencies, and ensure full cost recovery of goods and services for selected DHS agency-wide programs, activities, and services.

B. Budget Activities:

The key WCF activities are organized under the five activity categories listed below:

Fee for Service Activity

DHS WCF activity managers provide or coordinate delivery of a specific service or benefit to DHS components. The benefit/cost for providing the WCF activity is tangible and is directly linked to a component's use of services or products. These activities may include subscription-type services such as providing access to electronic services, for example the Library of Congress' FEDLINK. WCF activities earn revenue from the provision of services, and have characteristics typical of a business enterprise. The costs for operating the "business" are reimbursed by billing customers for the provision of goods and services, through rates that are pre-approved by the CFO and reviewed by component customers. Each fee for service activity is expected to recover its operational costs, usually at a much lower cost as the components benefit from economies of scale. Examples include: IT services, human resource services, procurement operations, and financial management services.

Tri-Bureau Service Activity

The WCF Tri-Bureau Service activity provides IT support such as data center services provided by the Department of Justice (DOJ) to WCF customers.

Government-wide Service Activity

Government-wide activities are Administration sponsored initiatives that are managed by a designated Federal department, to improve overall government performance. Other departments are assessed for the cost of supporting the activity. The activities should also provide a direct benefit to participating components.

DHS Crosscutting Activity

The DHS crosscutting activities are department-wide programs managed by a single office that yield some benefit, such as Strategic Sourcing, to all DHS components. The actual costs of the programs are recouped by redistributing the costs to the components based on their share of the discretionary budget, staffing or some other fair and equitable pro-rata basis.

WCF Management Activity

The WCF Management Activity includes funding for the staff that develops WCF policy and procedures, formulates and executes the WCF budget and negotiates issues between activity managers and customers.

C. Budget Request Summary:

The DHS WCF operating requirements for FY 2010 are estimated to be \$766,936,000 in reimbursable authority and 344 FTE. This is an increase of \$243,564,000 and 2 FTE over FY 2009 Enacted.

In FY 2010, the WCF will continue all services and activities from FY 2009, with the exception of the Tri-Bureau Human Resources (HR) activity. The FY 2010 increase is attributable to several program changes, including:

- an increase of \$253,294,000 for approved Fee for Services Activities,
- an increase of \$200,000,000 for the new Data Center Consolidation activity;
- an increase of \$2,709,000 million for DHS Cross-Cutting Activities; and
- an offset of \$23,287,000 from the Tri-Bureau Service Activities.

- **Fee for Service Activity; Program Changes: \$253.3 million over FY 2009 Enacted**
 - GSA Rent; \$8.3 million – The FY 2010 budget increase includes GSA occupancy agreement updates, Federal Protective Service (FPS) rate increases, and rent for additional space that will be required in FY 2010.
 - Financial Statement Audit; \$669,000 – The FY 2010 amount includes an increase in contract costs and OIG travel oversight cost for audit services.
 - Finance and Accounting Shared Services; \$3.1 million – The additional resources requested in FY 2010 reflect higher than anticipated costs being incurred by the service provider.
 - National Finance Center (NFC) Payroll and Reporting; \$3.5 million - The FY 2010 request includes O&M costs for NFC payroll and EmpowHR personnel systems. The funding increase will support deployment of EmpowHR to additional DHS components such as the Federal Emergency Management Agency (FEMA), Immigration and Customs Enforcement (ICE), and Citizenship and Immigration Services (CIS) in FY 2010.
 - Headquarters (HQ) Human Capital Services; \$5.3 million - The HQ Service center will continue to provide the full range of personnel operational support to DHS HQ components (excluding the Office of the Inspector General) and eventually expand that service through functional integration to other DHS components. The increase of \$5.3 million is in line with the reprogramming increase that occurred in FY 2008.
 - Internal Control Audit; \$2.7 million – The additional funding for FY 2010 reflects additional audit procedures anticipated due to implementation of DHS corrective actions.
 - Flexible Spending Plan; \$0.5 million - The FY 2010 request reflects the funding required to support the proportional increase in administrative fees associated with increased employee participation in flexible spending account programs.
 - National Capital Region (NCR) IT Services; \$5.2 million - The increase in funding will cover the purchase and installation of additional network hardware and software to augment network capabilities and increase network utility for users.
 - Microsoft Enterprise Software Licenses; \$24.4 million - The FY 2010 increase for this activity is significantly higher than previous years due to the expiration of the current Microsoft contract that uses 2003 prices. The increase to many components' assessments are offset by the fact that they are currently paying for these services outside of the WCF, and for FY 2010 these charges are being brought into the fund.
 - Data Center Consolidation; \$200.0 million - The DHS Office of the Chief Information Officer (OCIO) has established two enterprise DHS data centers to provide large-scale, physically secure, scalable, mission critical data center computing facilities and services for DHS. Operation as a WCF activity will allow a dramatic reduction in the overhead required to manage data center consolidation, and will enable greater transparency and more effective management of department-wide data center migration and consolidation efforts.

- Program Offsets, reduction of \$325,000 in Fee for Service Activities.
 - Reduction of \$11,000 for the Bankcard Program
 - Reduction of \$107,000 for Fedlink (Consolidated Subscription)
 - Reduction of \$166,000 for Procurement Operations
 - Reduction of \$41,000 for the DHS Executive Leadership Development)

- **Tri-Bureau Service Activity; Program Changes: \$(23.3) million from FY 2009 Enacted**
 - Tri-Bureau HR Services; \$(23.3) million - In FY 2010, a program change is requested to remove the HR Services activity from the Working Capital Fund at the request of both the service provider and customers.

- **Government-wide Mandated Service Activity; Program Changes: (\$98,000) decrease and 2 additional FTE from FY 2009 Enacted**
 - USAJOBS (Recruitment One-Stop); \$67,000 – The increase includes increases for maintenance of USAJOBS, which is to operate on a fully reimbursable basis.
 - e-Training; \$127,000 – The increase in FY 2010 accounts for an expected stabilization of licensing support costs and an increase in dependency on centralized custom courseware development being managed by the ADL PMF. Two additional FTE are requested to support this effort in FY 2010.
 - IT Infrastructure Line of Business (IT LoB); \$157,000 - This funding will help define DHS Enterprise Architecture technical targets and continue network and data center consolidation.
 - IAE Loans and Grants; \$192,000 – The increase in funds will allow the activity to facilitate the tracking and management of loans and grants in the FFATA portal by assigning them a unique DUNS number.
 - Financial Management Line of Business; \$140,000 – The increase in funding is to support financial management system standardization and consolidation efforts.
 - Program Offsets; \$(781,000) in Government-wide Mandated Activities are due to reductions by OMB in the e-government amounts:
 - Decrease of \$145,000 to Interagency Council Funding
 - Decrease of \$636,000 to the E-Gov Integrated Acquisition Environment

- **DHS Crosscutting Activity; Program Changes: \$2.7 million over FY 2009 Enacted**
 - Chief Procurement Office Shared Reporting; \$442,000 – The increase in FY 2010 is required to support enterprise activities resulting from expanded workload and requirements of a growing acquisition workforce.
 - Capital Planning and Investment Control; \$2.3 million – The increase in FY 2010 is to fund

improvements to DHS's integrated program management and reporting capability, the System for Management Analysis and Resource Tracking (SMART).

- Program Offsets; \$(27,000) in DHS Crosscutting Activities:
 - Decrease of \$27,000 to Strategic Sourcing

- **WCF Management Activity; Program Changes: \$36,000 over FY 2009 Enacted**

The Working Capital Fund (WCF) Management Activity requests \$36,000 to cover pay and program base adjustment over FY 2009. This will enable the WCF to ensure compliance with Congressional guidance and provide oversight to the increased number of WCF activities. The WCF will continue to improve cost methodologies in determining customer assessments for products and services received.

II. Summary of FY 2010 Budget Estimates by Program/Project Activity (PPA)

Department of Homeland Security
Working Capital Fund
 Summary of FY 2010 Budget Estimates by Program/Project Activity
 (Dollars in Thousands)

Program/Project Activity	FY 2008 Actuals		FY 2009 Enacted		FY 2010 Request		Increase (+) or Decrease (-) For FY 2010					
							Total Changes		Program Changes		Adjustments-to-Base	
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Total Enacted Appropriations and Budget Estimates	323	\$462,937	342	\$523,373	344	\$766,936	2	\$243,563	2	\$232,618	---	\$10,945

III. Current Services Program Description by PPA

Department of Homeland Security
Working Capital Fund
Program Performance Justification
(Dollars in thousands)

PPA: Fee for Service Activities

	Perm Pos	FTE	Amount
2008 Actual	311	311	362,702
2009 Enacted	322	322	411,560
2010 Adjustments-to-Base	8,679
2010 Current Services	322	322	420,239
Program Change	253,294
2010 Request	322	322	673,533
Total Change 2009-2010	261,973

Working Capital Fund requests \$673.5 million for Fee for Service activities. This is an increase of \$262.0 million over FY 2009 Enacted.

CURRENT SERVICES PROGRAM DESCRIPTION:

Fee For Service Activity

GSA Rent – Fee for Service Activity

Description of Service: GSA charges rent to over 100 Federal agencies, which is deposited into the Federal Buildings Fund and used to operate the government's buildings and pay rent to private sector for lease space. GSA provides workspace and related services for over 100 Federal client agencies serving more than one million workers through the Public Buildings Service (PBS). Whenever possible, client agencies are located in existing Federal-owned space. If suitable space in the Federal inventory is not available, PBS acquires leased space in privately owned buildings.

GSA also provides related real estate services including the operation and maintenance of buildings and out-leasing programs. GSA's Computer Integrated Facility Management program uses cutting-edge technology to look at a building's life cycle. Real estate services provided to clients appear in Federal agencies' monthly electronic rent bills. GSA has simplified these bills so agencies have a clearer understanding of the costs they are charged for their workspace and services.

Cost Allocation Methodology: GSA rents costs are allocated based on the amount of actual occupied space for each organizational element which is divided by the total occupied in square footage in the WCF-managed portfolio. This percentage is then multiplied by the projected annual bill to determine the Component's annual rent assessment. Occupied square footage is measured using floor plate drawings in CAD.

Full Time Equivalent (FTE): This activity requires 5 FTEs.

FEDLINK (Library of Congress) – Fee for Service Activity

Description of Service: FEDLINK is an “Ask a Librarian” initiative which is a cooperative Federal library project implemented and funded by the DHS Management Directorate. The project expands library services to workforce desktops using interactive chat, email or phone. Librarians from 25 Federal agencies (including DHS staff librarians) answer questions, search databases and send materials directly to DHS staff, detailees, and contractors.

Cost Allocation Methodology: The cost allocation methodology is the unit contract costs multiplied by the number of users each component requested.

Full Time Equivalent (FTE): This activity requires 4 FTEs.

Financial Management (Finance & Accounting Shared Services) – Fee for Service Activity

Description of Service: The Office of the DHS Chief Financial Officer (OCFO) gives authorization for financial systems in the Department of Homeland Security and sponsors, sets policy, and manages the development, implementation, operation and maintenance of the departmental financial management systems and related business processes. The OCFO has determined that it is in the best interest of the Department to obtain selected financial management services from the Office of Financial Management, U.S. Immigration and Customs Enforcement (ICE OFM) and Federal Law Enforcement Training Center (FLETC), on a reimbursable basis. ICE OFM and FLETC provide financial management services in support of the following components:

- ICE OFM
 - Departmental Operations, including the immediate offices of the Secretary, the Directorate for Management, etc.
 - Office of Health Affairs
 - Directorate for Science and Technology
 - National Protection and Programs Directorate
 - U.S. Citizenship and Immigration Services
- FLETC OFM
 - Directorate for Operations Coordination and Intelligence and Analysis

ICE OFM formulates and disseminates financial management policies, procedures, standards and maintains overarching internal controls in conjunction with the DHS OCFO. The DHS OCFO and ICE OFM assist DHS HQ components in the implementation, if needed. The activities with respect to this function include:

- Oversee the development and maintenance of OFM policies, standards, and procedures for serviced groups to ensure compliance, uniformity, and consistency with Federal Financial and Accounting regulations, guidelines, rules, and standards.
- Create and submit updates to be posted on the OFM intranet website.
- Ensure necessary continuation of operations plans are prepared, viable, and in place in the event of required use.
- Monitor, adjust, and execute shared services agreements including the development/refinement of cost methodologies.

- Channel customer service requirements to service owners through formalized meetings, memorandums, issues papers, and other communication mechanisms.
- Establish points-of-contacts to support customer liaison and service requirements, and participate in customer meetings.
- Conduct periodic reviews of internal business practices to identify means in order to improve operations in terms of effectiveness and efficiency.
- Create new Federal Financial Management System transaction codes and process changes to the general ledger.
- Manage travel card services by processing new travel card applications; establishing hierarchies, maintaining user profiles, handling disputes, increasing limits, replacing cards, and contacting delinquent card holders.

Cost Allocation Methodology: The cost allocation methodology for this activity is based on the historical cost of providing seven categories of financial support to each participating component. The seven categories of financial support services include the following: (1) financial reports, (2) obligations and payment processing, (3) system usage, (4) receipts, (5) payroll, (6) overhead, and (7) travel and cash management services.

Full Time Equivalent (FTE): This activity requires no FTE.

Financial Statement Audit – Fee for Service Activity

Description of Service: The DHS Inspector General awards a contract to an independent Certified Public Accounting firm to perform a financial statement audit functions. The costs include travel and incidental costs associated with the performance of the audit as permitted by the contract maintained by the Office of the Inspector General (OIG) as the Contracting Officer's Technical Representative (COTR). Award will be made under a GSA schedule contract.

The Financial Statement Auditor is selected through contracting procedures by the OIG (with the Bureau of Public Debt (BPD) acting as the procurement office) and must stay independent from the DHS components that are being audited. The auditor selected commences work immediately and entrance conferences are held within a short time after award of the financial statement audit contract.

The Office of the Chief Financial Officer (OCFO) coordinates and prepares the DHS consolidated financial statements and in this role acts as primary liaison for the auditors. All DHS departmental CFOs coordinate with the Director of Financial Management in the preparation of financial statements and completion of the audit.

The Office of the Inspector General became the COTR for the Financial Statement Audit contract in FY 2005. The WCF funds will be used to support the departmental financial statement audits with the OIG having the following responsibilities:

- Contracting with an independent public accounting firm to perform the FY 2008 DHS financial statement audit.
- Providing oversight of the contract auditor

- Providing estimated cost information that allows the OCFO to properly budget for audit costs
- Notify the OCFO of any potential cost overruns and the related reasons
- Review and approve invoices for payment. The OIG charges no fee to the WCF for these services.

Cost Allocation Methodology: The cost allocation methodology is the sum of the estimated auditor's billable hours multiplied by the hourly rate plus travel and incidental costs.

Full Time Equivalent (FTE): This activity requires no FTE.

Internal Control Audit - Fee for Service Activity

Description of Service: The contract includes time and materials for internal control audit services with the auditor providing the services and billing for hours worked at billing rates commensurate with the audit position being billed. The costs include travel and incidental costs associated with the performance of the audit as permitted by the contract maintained by the OIG as the COTR. Award will be made under a GSA schedule contract.

The Internal Control Auditor is selected through contracting procedures by the OIG (with the Bureau of Public Debt (BPD) acting as the procurement office) and must stay independent from the DHS components that are being audited. The auditor selected commences work immediately and entrance conferences are held within a short time after award of the financial statement audit contract.

The Office of the Chief Financial Officer (OCFO) coordinates the assessment process to support management's assertion and in this role acts as primary liaison for the auditors. All DHS departmental CFOs coordinate with the Director of Financial Management in the preparation of and completion of the internal audit.

Cost Allocation Methodology: The cost allocation methodology is the estimated auditor's billable hours per component multiplied by the hourly rate plus travel and incidental costs.

Full Time Equivalent (FTE): This activity requires no FTE.

Financial Management – Fee for Service Activity

Description of Service: The Departmental Operations Branch (DOB) within the Budget Division is a line of business under WCF that provides financial management and budget support to the Office of the Secretary and Executive Management, Under Secretary for Management, Office of the Chief Financial Officer, Office of the Chief Information Officer, and the Office of Health Affairs. It is estimated that DOB processes approximately 100 to 150 procurement requests per month. Procurement requests may vary in complexity and dollar value, ranging from \$25 to over \$1 million for one request.

This funding provides the personnel and materials to perform the following budget execution activities:

- Processing of procurement requests
- Commitment and obligation of funds
- Processing of travel authorizations and vouchers
- Reconciling a centrally billed travel account
- Set up and coordination of purchase cards
- Periodic purchase card reporting and review
- Invoice processing and certification
- Reconciliation of accounting records and financial data in FFMS
- Development of status of funds reporting
- Financial reporting as required or needed for special requests
- Periodic review of payroll data to ensure accurate reporting

Cost Allocation Methodology: The cost allocation methodology is a pro-rata share based on the percent of each office within Departmental Operations' adjusted total budget divided by the total Departmental Operations' adjusted total budget multiplied by total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires 13 FTE.

Bankcard Program - Fee for Service Activity

Description of Service: DHS has selected the U. S. Coast Guard (USCG) as the servicing agent to provide for a centralized invoicing and payment system for components within DHS. The Finance Center (FINCEN) has developed and implemented a system that supports the receipt of daily invoices for all of DHS from US Bank. This system assures payment of those invoices within one business day of receipt, and provides transmission of an electronic file containing transaction data to each component's accounting system.

Cost Allocation Methodology: The cost allocation methodology for this activity is based on the percent of each component's number of Bankcard transactions processed divided by the total number of Bankcard transactions processed for all participating components multiplied by total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires no FTE.

Treasury Information Executive Repository (TIER) – Fee for Service Activity

Description of Service: The DHS OCFO is responsible for creating the Department-wide financial statements. As part of this process, two software packages are used to process the work. These two products are the Treasury Information Executive Repository (TIER) and CFO Vision Software. The DHS use of TIER and CFO Vision has benefited the entire Department by the cost and resource savings involved in being able to produce financial statements in a timely manner. This has been a benefit especially with the accelerated timeframes for producing the Annual Financial Report.

Cost Allocation Methodology: The cost allocation methodology for this activity is average cost equally distributed to the organization element.

Full Time Equivalent (FTE): This activity requires no FTE.

National Finance Center (NFC) Payroll/Services and Reporting – Fee for Service Activity

Description of Service: Department of Agriculture/National Finance Center (NFC) provides Payroll/Personnel services utilizing their legacy mainframe systems (payroll) and EmpowHR PeopleSoft application (personnel). In addition, NFC provides Payroll/Personnel policy support and benefits reconciliation, tax reporting, and payroll problem resolution. All DHS Components will migrate to the enterprise DHS personnel system, EmpowHR, by FY 2010.

Cost Allocation Methodology: Allocation methodology for the components assumes the total cost times the transaction % - which is the components' percentage of the population serviced.

Full Time Equivalent (FTE): This activity requires no FTE.

HQ Human Capital (HC) Services -Fee for Service Activity

Description of Service: The HC Services team provides coordination and oversight support for outsourced services supporting HQ Human Capital operational needs. The team ensures that the personnel processes for HQ's managers/employees and service providers (excluding the OIG), runs efficiently and effectively. Examples of services provided include: Staffing and Recruitment; Position Classification/Position Management; Performance Management; Payroll and Personnel Action Processing; Employee and Labor Relations Support; Retirements and Benefits Support; Time and Attendance Support.

The HC Services Team provides coordinated and prioritized services to all DHS customers; ensures timely and effective recruitment of staff; effectively manages the "on-board" staffing process (which includes security clearances and collaboration with the Personnel Security Office), quality personnel staffing services; and, efficient and effective facilitation of staff exiting out of DHS HQ.

Cost Allocation Methodology: The cost allocation methodology is a pro-rata share based on the percent of each component's number of FTE divided by the total number of participating component's FTE multiplied by total estimated cost of the activity.

Full Time Equivalent: This activity requires 4 FTEs.

Human Capital Business Systems (HCBS) – Fee for Service Activity

Description of Service: The mission of the HCBS is to design, develop, acquire, implement, maintain and support DHS enterprise-wide HC business systems. The system capabilities meet the requirements specified by the user-community and provide services in a timely, user-sensitive and cost-effective manner.

As an example of the HCBS enterprise approach, two enterprise systems have been acquired; a PeopleSoft HRMS and a web based Time and Attendance (T&A) system. Both systems are

hosted at the NFC which already supports the DHS payroll system.¹ This yields a DHS leveraged cost effective approach where three integrated systems are supported by one service provider. The HCBS unit managed the acquisition process utilizing component participation through requirements gathering and vendor negotiations. In the past, several individual government entities purchased these systems “on their own”, but none have been able to match the competitive pricing that DHS secured via the HCBS enterprise approach.

HCBS continues its enterprise acquisition strategies on behalf of all of DHS components, avoiding considerable duplicative costs if DHS components proceed independently. In addition to the T&A system mentioned above, this includes additional enterprise HR services and applications; web-based Performance Management (or “e-Performance”); Employee/Labor Relations Case tracking; the Reward system for market-based pay analysis; Pay Tools/Utilities to assist with new pay cluster and band determinations; and an e-Classification/e-Recruitment enterprise system. In each case the components are supported by the HCBS unit in a collaborative and leveraged approach.

Cost Allocation Methodology: DHS population serviced assumes billing based on the "average number of employees paid" - which is consistent with NFC billing. HCBS is only charging O&M costs to the WCF. Full IT costs, including design/implementation, software purchases, etc. are offset with appropriated HRIT funds.

It is important to note that for HRIT Systems; only those components that are benefiting from specific systems are being charged in the year that they benefit.

Full Time Equivalent: This activity requires 24 FTE.

Flexible Spending Accounts (FSA) Administrative Costs – Fee for Service Activity

Description of Service: FSAs are employee-funded accounts that used by the employee account holder to pay for medical expenses that are tax deductible, but not reimbursed by any other source, as well as eligible dependent care costs. Contributions to the accounts come from an employee's pre-taxed salary; the government does not make a contribution. There is a fee that is paid to the administrator of these accounts. The law now requires that agencies pay these fees on behalf of their employees.

The costs for this program are charged back based on actual invoices received in October and March of each calendar year. The March bill assesses a fee for employees of record as of January 1 of the calendar year. The October bill makes an adjustment for any new employees who have entered the program since January 1. The Human Capital Business Office will manage the invoicing process with the FSA provider and charge the direct cost of the fees to the component based upon actual invoices received from the vendor.

Generally, the Department saves enough money in reduced payroll tax to cover administrative fees. We believe administering the costs of these services through the WCF provides for greater

¹ O&M costs for the PeopleSoft HRMS were included in the NFC Payroll/Reporting section and are charged only to TSA, Coast Guard, HQ and FLETC in FY 2009. It has not yet been determined which additional Component's will participate in and fund this NFC modernized system.

efficiencies through centralized management.

Cost Allocation Methodology: The allocation methodology for the component assumes the total cost times the transaction percentage - which is the component's percentage of the population serviced (FTEs).

Full Time Equivalent (FTE): This activity requires no FTE.

DHS Executive Leadership Development – Fee for Service Activity

Description of Service: A well executed Executive Leadership Program is a key element in sustaining a “One DHS” culture. For FY 2010, at a minimum the Executive Leadership Curriculum will consist of two DHS-wide leadership development activities: the Secretary's Senior Leadership Conference and the Senior Executive Service Candidate Development Program (SES-CDP).

The Secretary's Senior Leadership Conference is important as change management starts with top leadership. The purpose of this conference is to:

- Provide an opportunity for the Secretary to meet with DHS executives and for those executives to interact with each other;
- Broaden the perspective of DHS leadership by actively creating a forum for in-depth dialogue and discussion for cross-cutting Departmental issues;
- Allow executives to learn about both key DHS-wide and component-specific strategic and tactical initiatives for the coming year, which is predicated on strategic linkage of resources, performance and results;
- Provide perspective from the White House, Congress, and others on issues important to DHS.

The DHS Senior Executive Service Candidate Development Program serves as a corner stone for sustaining a corporate leadership identity as directed in the DHS Strategic Plan; contributes to meeting our succession planning goals; and creates a high-quality, SES leadership cadre. Most cabinet level agencies have a corporate level succession planning program.

This centralized program complements and enhances the strengths of existing component Leadership development initiatives across the Department and further facilitates succession planning opportunities. It provides the opportunity for participants to take advantage of developmental/rotational opportunities in other DHS components, thereby increasing participant's “corporate” DHS knowledge and experience. In addition, components benefit from these rotational assignments by having a senior staff person working with them on real issues and offering different perspectives and/or business experiences.

Cost Allocation Methodology: The costs are allocated based on the percentage of SES slots a component has relative to the total DHS SES (or SES equivalent) population excluding military. The allocation methodology for the components is the total cost divided by the total SES/ES population serviced and then multiplied by the Component percentage of the SES/ES

population.

Full Time Equivalent: This activity requires 2 FTE.

HQ Executive Leadership Development/General Workforce Training – Fee for Service Activity

Description of Service: The HQ ELDP provides executive level training to close potential competency gaps in our DHS Headquarters leadership. Programs to support Executive Leadership are provided through the following programs: The Treasury Executive Institute (TEI); the SES Forum; and, the Individual Executive Development Training and General HQ Workforce training. In addition to TEI and the SES forum, training opportunities could include attending courses in the Management Development Center (Shepardstown, WVA) or the Federal Executive Institute.

Cost Allocation Methodology: This allocation excludes the OIG, per request. The allocation methodology for the components is the total cost divided by the total population serviced and then multiplied by the component's percentage of the population.

Full Time Equivalent (FTE): This activity requires no FTE.

HQ Employee Assistance Program (EAP) — Fee for Service Activity

Description of Service: The EAP program includes short term counseling for employees and family members, critical incident stress debriefing, peer support programs, short term counseling, management consultations, information and referral to community resources for mental health providers, mental health education training, and peer trauma team support. EAP assistance enables employees to achieve and maintain balance in their lives, increasing job performance, satisfaction, and morale. The development of a Peer Support Program will enhance management's ability to provide assistance in traumatic and critical incidents – both on the local and national level to our employees, and to the public.

The goal of the EAP program is in support of DHS ongoing commitment to ensure effective recruitment, development, compensation, succession management and leadership of a diverse workforce to provide optimal service at a reasonable cost. The EAP is mandated under 5 U.S.C. 7904, 42 U.S.C. 290dd-1(a), and 42 U.S.C. 290ee-1(a).

Cost Allocation Methodology: The cost allocation methodology for this activity is the total cost of the EAP program divided by the population serviced.

Full Time Equivalent (FTE): This activity requires no FTE.

CIO/DHS Infrastructure Transformation Program – Fee for Service Activity

Description of Service: The DHS Consolidated IT Infrastructure serves the majority of employees of the Department since its establishment on March 1, 2003. Since the IT infrastructure provides the foundation for effective operations of DHS systems and

applications, including information sharing across components, a reliable and robust infrastructure is critical to the success of the DHS mission. From a business perspective, the goal of the IT infrastructure transformation is for the Department to be able to share data from any point in DHS to any decision maker.

The program seeks to create a robust platform on which to quickly launch new capabilities. For example, when DHS was created the department supported numerous legacy IT programs such as 15 separate targeting systems, 14 alerts and warnings systems, and a handful of identification and credentialing systems across 32 DHS run data centers, seven wide area networks, and multiple local area networks with overlapping system circuitry. These data centers contained over 12,000 servers. Contrasting acquisition strategies and IT infrastructure policies among components further complicated the DHS environment and the ultimate goal of moving to one DHS-wide IT infrastructure in a consolidated IT data center operational environment.

The Infrastructure Transformation Program (ITP) has been chartered by the CIO Council as a DHS Level 1 investment with the following project domain initiatives included in the scope of the transformation effort to provide the following services: Network, Email, Helpdesk, Data Center, Desktop, Site, Voice, Video, and Wireless.

ITP resides within the IT Services Office (ITSO) of the DHS CIO. ITP is managed by the ITSO Enterprise Services Division (ESD) and is led by the Director of ESD and a CIO Council member executive sponsor. Furthermore, ITP is supported by a senior executive steering group of CIOs, which is staffed by a team of technical experts hired by the Department HQ from the components, several components' working group members, and contractor support.

Cost Allocation Methodology: The FY 2010 cost allocation is based on the components' contribution percentages to the Consolidated IT Infrastructure FY 2009 OMB Exhibit 300.

Full Time Equivalent (FTE): This activity requires 10 FTE.

National Capital Region Infrastructure Operations (NCRIO) – Fee for Service Activity

Description of Service: The NCRIO serves the DHS Headquarters, the Department's components, and select field offices of the department's major components for network and internet/intranet access; infrastructure transformation and support; management and delivery of desktop computing applications and equipment, email, wireless communications, video (VTC), voice (phone) and messaging; communications security; and IT operations disaster planning and mitigation to ensure continuous operations. The NCRIO manages and maintains all deployed applications for full functionality and continuous availability on all DHS systems, as well as full functionality of file and data storage and retrieval, printing, and remote access. The NCRIO coordinates management and delivery of these services with build-out of new facilities and provides customer service through a 24/7 help desk.

In providing these services, the NCRIO adheres to and follows all applicable executive orders, presidential directives, other Federal and DHS laws, Federal orders management policies, handbooks, guidelines, processes, and procedures. The NCRIO continually monitors vendors' performance and technology to ensure that DHS HQ IT infrastructure services conform to

specified standards for reliability, readiness, sustainability, supportability, availability, stability, security, flexibility, responsiveness and cost effectiveness. The NCRIO tracks workload data by functional service area to identify trends and statistical variations, and provide technical, logistical and financial forecasts for future years. The NCRIO conducts baseline assessments of its existing systems and infrastructure against industry standards for items such as configuration and performance metrics. Using the results of baseline evaluations, the NCRIO maintains a program for the improvement of information technology services.

The NCRIO resides within the IT Services Office (ITSO) of the DHS CIO. NCRIO is managed by the ITSO Headquarters Services Division (HSD). NCRIO is led by the Director of HSD. Cost and activity based analyses are conducted, and projections validated independent of NCRIO management by the ITSO Business Services Division (BSD). Senior executive management of the DHS HQ Directorate Components forms a review group to identify and resolve customer service issues in monthly meetings with the DHS CIO.

Cost Allocation Methodology: The FY 2010 WCF submission is allocated among the participating organizational components: Undersecretary for Management (USM), Offices of the Secretary and Executive Management (OSEM) Under Secretary for National Protection and Programs, Domestic Nuclear Detection Office (DNDO), Science and Technology (S&T), and Operations Coordination & Intelligence and Analysis.

Full Time Equivalent (FTE): This activity requires 9 FTE.

Software Enterprise Licenses – Fee for Service Activity

Description of Service: This program offers a centralized tool that facilitates the compliance and oversight responsibilities of the Chief Information Security Officer (CISO) and the Office of Inspector General. The Department continues to pursue opportunities to benefit from economies of scale, moving from component or office specific software licenses to larger enterprise licenses for common services.

Microsoft: In the spirit of the Federal Acquisition Streamlining Act (FASA), DHS and Dell Marketing, L.P. entered into a single blanket purchase agreement (BPA) to establish a DHS-wide Microsoft Enterprise Agreement to standardize office automation and communication applications across the component agencies' existing IT environments. The account provides for the funding and management of the Microsoft Enterprise Agreement awarded June 2003, which provides enterprise access to the Microsoft suite of products. The FY 2010 costs for this activity will be significantly higher than previous years due to the expiration of the current Microsoft contract that uses 2003 prices. This contract will be renegotiated in FY 2009, and the increase to many components' assessments will be offset by the fact that they are currently paying for these services outside of the WCF, and for FY 2010 these charges are being brought into the fund. Before FY 2010 the costs included in the WCF were only based on the 2003 base requirements and amortized over a period of five years; when the new contract is negotiated in FY 2009, a new base will be applied that will allow for the purchase of additional licenses. The products include the software needed for individual desktops, laptops, and server platforms, such as MS Office, MS Project, MS Visio, MS Advanced Server, etc. This agreement is utilized by all of DHS. The request reflects the contractual obligations of each of the components.

Cost Allocation Methodology: The cost allocation methodology is the unit contract costs multiplied by the number of sites or licenses requested by each component.

Full Time Equivalent (FTE): This activity requires 1 FTE.

Procurement Operations – Fee for Service Activity

Description of Service: The DHS Office of Procurement Operations (OPO) provides full service acquisition support to the Office of the Secretary and Executive Management, the Under Secretary for Management, Science and Technology, U.S. Citizenship and Immigration Services, and the US Visit Program Office. In addition, the OPO provides acquisition services for department-wide acquisition initiatives identified by both the Chief Information Officer and the various commodity councils within DHS. Services provided include acquisition planning, training, execution, and administrative services.

Cost Allocation Methodology: The cost allocation methodology for this WCF activity is based on 1.53 percent of the obligated dollars of contracts under \$50,000.

Full Time Equivalent (FTE): This activity requires 250 FTE.

PPA: Tri-Bureau Services Activities

	Perm Pos	FTE	Amount
2008 Actual	2	2	59,978
2009 Enacted	2	2	60,060
2010 Adjustments-to-Base	0	0	1,204
2010 Current Services	2	2	61,264
2010 Program Change	0	0	(23,287)
2010 Request	2	2	37,977
Total Change 2009-2010	0	0	(22,083)

Working Capital Fund requests \$38.0 million for Tri-Bureau Services, which is a decrease of \$22.1 million from FY 2009 Enacted.

CURRENT SERVICES PROGRAM DESCRIPTION:

Tri-Bureau Service Activity

IT Services from Department of Justice (DOJ) – Tri-Bureau Service Activity

Description of Service: The Department of Justice (DOJ) MOU Working Group performed an analysis that clarified IT services that DHS requires from DOJ and their associated costs. The working group defined the specific IT service requirements of each component currently using DOJ as the provider: ICE, HQ Office of Policy, USCIS, and US Visit. The working group is preparing migration plans to transfer services to the Enterprise Data Center.

DOJ provides the following data center services:

- Application hosting OS/390 platform for more than 40 applications
- Application hosting on AIX Unix platform for more than 25 applications
- Housing of DHS servers
- Separate raised-floor computer room space and utilities

Cost Allocation Methodology: The cost allocation methodology is based on the actual usage as determined by DOJ.

Full Time Equivalent (FTE): This activity requires two FTE.

PPA: Government-wide Mandated Services Activities

	Perm Pos	FTE	Amount
2008 Actual	3	3	26,578
2009 Enacted	6	6	37,093
2010 Adjustments-to-Base	752
2010 Current Services	6	6	37,845
2010 Program Change	2	2	(98)
2010 Request	8	8	37,747
Total Change 2009-2010	2	2	654

Working Capital Fund requests \$37.7 million for Government-wide Mandated Services. This is an increase of 2 FTE over FY 2009 Enacted, and an increase of \$654,000. FY 2010 contributions and FFS costs are identical to those of FY 2009, but are subject to change, as redistributions to meet changes in resource demands are assessed.

CURRENT SERVICES PROGRAM DESCRIPTION:

Government-wide Service Activity

Interagency Council Funding - Government-wide Service activity

Description of Service: GSA provides oversight and administers the Interagency Council funds in consultation with the Chief Financial Officers Council, the Chief Information Officers Council, the Federal Acquisition Council and the Chief Human Capital Officers Council.

- **Chief Financial Officers (CFO) Council Funding Supports the Following Activities:**
 - Federal Audit Clearing House (FAC)
 - Grants Streamlining
- **Chief Information Officers (CIO) Council Funding Supports the Following Activities:**
 - A \$2 million contract to support the Portfolio Management Office for the ongoing e-government initiatives efforts.
 - Federal Enterprise Architecture (FEA) — the FEA PMO will continue their efforts to identify and develop collaboration and consolidation opportunities across Federal agencies.

- **Federal Acquisition Council (FAC) Funding Request Supports the Following Activities:**

- The Federal Competitive Sourcing Database (FCSD) is intended to facilitate comprehensive, consistent, and timely reporting of government actions related to competitive sourcing.
- Acquisition Workforce Competency Development and Training - Agencies use the Acquisition Career Management Information System (ACMIS) database which provides workforce training data and OPM data to make strategic workforce decisions affect the agency training and certification requirements.
- Government-wide Performance Measures for Socio-Economic Goals - Small business success is currently measured by meeting established statutory goals.
- Procurement Center Representatives (PCRs) Online - In order to obtain the appropriate level of contributory review, and move the procurement along in a timely fashion, it would facilitate the requirement if the agencies and SBA used an online workload tool.
- The Service Acquisition Reform Act (SARA), Acquisition Advisory Panel and Report to Congress - Section 1423 of SARA requires the Administrator of OMB/Office of Federal Procurement Policy to establish an advisory panel of recognized experts in acquisition law and policy to review laws and regulations regarding the use of commercial practices, performance-based contracting, the performance of acquisition functions across agency lines of responsibility, and the use of government-wide contracts.
- Acquisition Center of Excellence - SARA mandates the development and maintenance of a Center of Excellence in Contracting for Services.

- **Chief Human Capital Officers Council (CHCO) Funding Request Supports the Following Activities:**

- CHCO Website - A critical component in advancing the government-wide goals of this management innovation has been the development and maintenance of a high-quality, component rich Web content delivery system. The creation of this site has provided a vehicle for sharing and exchanging information of interest to the Federal human resource management community. The system provides a forum for the exchange of information among members of the Council in both a public and private manner.

Cost Allocation Methodology: The cost allocation methodology for this activity is pro-rata share based on the percent of each participating component's adjusted total budget divided by DHS's total adjusted budget (excluding grant funding) multiplied by the total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires no FTE.

USAJOBS (formerly Recruitment One-Stop)-Government-wide Service activity

Description of Service: The USAJOBS initiative is a government-wide initiative led by the Office of Personnel Management (OPM). All agencies fund their portion of this program (based on employment levels). Regulations contained in 5 CFR Parts 330, 333, and 335 implement section 4 of Public Law 1054-52 and authorizes OPM to charge fees to agencies in order to pay the cost of providing Federal employment information and services.

USAJOBS Federal Employment Information System delivers state-of-the-art on-line recruitment services to job seekers, simplifying the process of locating and applying for Federal jobs. It delivers a number of job seeker focused features including intuitive job searching; clean, concise, understandable and attractive job announcements; on-line resume submission; applicant data-mining; and on-line feedback on status and eligibility.

Managing Partner: OPM

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each component's Full Time Civilian Equivalent (FTE) divided by total DHS civilian FTE multiplied by the total estimated cost of the activity. This activity only benefits civilian personnel; therefore, military FTE is not included in the cost allocation methodology.

Full Time Equivalent (FTE): This activity requires no FTE.

e-Training – Government-wide Service Activity

Description of Service: Provides enterprise approach to leveraging technology to support learning and development programs, initiatives, and capabilities. This includes an enterprise architecture approach to the modernization and reduction in complexity of DHS Learning Management Systems (LMS'), building enhanced capability through tools such as web conferencing, and closing existing and future gaps in structured learning opportunities by providing every DHS employee access to over 3,000 online courses and 12,000 online books. Government-wide accomplishments derived from this activity are:

- Centralized procurement of primary DHS LMS' in use, providing greater visibility to CFO's, CIO's, and all DHS management regarding costs.
- Consistent, standardized delivery of all legislatively mandated training to all DHS employees (and contractors where appropriate) Launched IT security courses mapped to The Government Information Security Reform Act (GISRA) and The National Institute of Standards and Technology requirements.
- Providing 21st Century approach to training in critical areas such as Emergency Medical Technician training by assisting in the coordination of DHS Modeling and Simulation activity in regards to training.
- Compliance with OPM and OMB requirements for reporting Enterprise Human Resources Integration (EHRI) training data for all DHS Federal civilian employees.

Managing Partner: OPM

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each component's Full Time Equivalent (FTE) divided by DHS's total FTE (excluding military) multiplied by total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires 8 FTEs.

Enterprise HR Integration (EHRI) – Government-wide Service Activity

Description of Service: EHRI is a collaborative e-Government initiative designed to transform the way Federal HR Specialists and Managers access human resource information and the way all Federal employees access their personnel file information. When fully implemented, EHRI will replace the current paper based Official Personnel Folder (OPF) with an electronic employee record for all Executive Branch employees, resulting in a comprehensive electronic personnel data repository covering the entire life cycle of Federal employment. In addition to streamlining personnel management actions, EHRI will provide HR managers and specialists with powerful workforce analytic and planning capabilities.

Managing Partner: OPM

Cost Allocation Methodology: Costs for EHRI's products and services will be recovered by EHRI from all agencies on an equitable basis related to the size and usage of each participating agency. Charges to each agency will be established by distributing total EHRI costs to all clients on the basis of the number of OPFs or on the basis of actual cost, depending on the service.

Full Time Equivalent (FTE): This activity requires no FTE.

Business Gateway - Government-wide Service Activity

Description of Service: Business Gateway reduces the burden on businesses by making it easy to find, understand, and comply with relevant laws and regulations at all levels of government. The Business Gateway will be the cross agency portal for businesses that integrates the content and functionality of number of Federal business web sites (e.g., Business.gov, Businesslaw.gov, SBA.gov). The goals of Business Gateway are as follows:

- Develop a catalog of Federal forms for Business.gov.
- Expand harmonized miner reporting (Mine.gov) to include additional Federal agencies and additional states.
- Develop the Business Gateway portal into the Federal cross-agency portal for businesses, integrating the content and functionality of SBA.gov, BusinessLaw.gov, Business.gov and related sites into one comprehensive site: Business.gov.

Managing Partner: Small Business Administration (SBA)

Cost Allocation Methodology: The cost allocation methodology for this activity is pro-rata share based on the percent of each participating component's adjusted total budget divided by DHS's total adjusted budget (excluding grant funding) multiplied by the total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires no FTE.

e-Rulemaking – Government-wide Service Activity

Description of Service: e-Rulemaking is a collaborative, interagency activity designed to

establish a common, automated and integrated approach to managing the Federal government's rulemaking function. The activity consolidates rulemaking systems at the various departments and agencies and is centrally managed through a web-based environment offering such as one-stop access, search capabilities, and public commenting. e-Rulemaking activities include:

- Expanding public understanding of the rulemaking process
- Improving the quality of Federal rulemaking decisions
- Increasing the amount, breadth, and ease of citizen and intergovernmental participation in rulemaking
- Administering Regulations.gov, a cross-agency, front-end Web application that posts and allows comments on proposed Federal agency rules
- Writing memoranda to the President's Management Council (PMC), directing agencies to include a link to Regulations.gov on agency homepages and in the synopsis of the notice of any regulatory action requesting public comment
- Posting the dockets for the Department of Housing and Urban Development, USDA's Animal and Plant Health Inspection Service, a portion of DHS, and Office of Personnel Management rulemaking on EPA's on-line system as a proof-of-concept.

Managing Partner: Environmental Protection Agency

Cost Allocation Methodology: The cost allocation methodology for this activity is pro-rata share based on the percent of each participating Component's adjusted total budget divided by DHS's total adjusted budget (excluding grant funding) multiplied by the total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires no FTE.

Case Management Line of Business – Government-wide Service Activity

Description of Service: Case Management Line of Business is one of the lines of business with the goal of supporting the expansion of Electronic Government. The goal of the effort is to identify opportunities to reduce the cost of government and improve services to citizens through business performance improvements. The Case Management Line of Business activity will ensure that DHS is aligned to the e-Gov Case Management Line of Business, currently owned by the Department of Justice. This activity will align budget submissions, rationalize the DHS case management portfolio, and guide development of business process, technical requirements, data governance and interoperability and information sharing in close conjunction with the DHS OCIO and mission areas.

Managing Partner: Department of Justice

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each component's Law Enforcement Full Time Equivalent (FTE) divided by DHS's total Law Enforcement FTE multiplied by total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires no FTE.

e-Grants – Government-wide Service Activity

Description of Service: e-Grants creates a single portal for all Federal grant customers to find, apply and manage grants on-line. The Grants.gov Storefront provides electronic functionality for applicant's grantees, and reduces the paper-based processes that currently challenge the Federal grants environment. The initiative is designed to reduce existing inefficiencies, meet e-Gov goals, and provide benefits to both citizens and the government. Specifically, the initiative enables the government to meet many of the streamlining activities required by Public Law (PL) 106-107, and called for in the Federal Financial Assistance Management Improvement Act, such as deploying a unified search/find capability for grant opportunities, standard data sets, and a common mechanism and processes for applying for Federal grants funds.

Managing Partner: Department of Health and Human Services

Cost Allocation Methodology: The cost allocation methodology is a pro-rata share based on the percent of each organization element's grant funding divided by DHS's total grant funding multiplied by total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires no FTE.

e-Authentication – Government-wide Service Activity

Description of Service: The e-Authentication activity was implemented to minimize the burden on obtaining services online for businesses, the public and government by providing a secure infrastructure for on-line transactions, eliminating the need for separate processes to verify identity and electronic signatures. The goal of the e-Authentication Initiative is to provide trusted and secure standards-based authentication architecture to support the 24 government-wide e-Gov initiatives. e-Authentication's distributed architecture will also allow citizens and businesses to use non-government issued credentials to conduct transactions with the government.

Managing Partner: General Services Administration

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each component's Full Time Equivalent (FTE) divided by DHS's total FTE multiplied by total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires no FTE.

Human Resources Line of Business (HRLoB) – Government-wide Service Activity

Description of Service: HRLoB has been launched to drive rapid and transformational improvements in the delivery of human resources services across government agencies. HRLoB has been tasked to consider business benefits and impacts and then propose a model that improves strategic management of human capital, is effective and efficient, and improves customer service.

Managing Partner: Office of Personnel Management

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each component's Full Time Civilian Equivalent (FTE) divided by DHS's total Civilian FTE multiplied by the total estimated cost of the activity. This activity only benefits civilian personnel; therefore, military FTE is not included in the cost allocation methodology.

Full Time Equivalent (FTE): This activity requires no FTE.

e-Gov Benefits – Government-wide Service Activity

Description of Service: The GovBenefits.gov website provides a single point of access for citizens to locate and determine eligibility for government benefits and services. The site now offers links to 1,000 benefit and assistance programs. These programs improve the ability of government agencies to access performance and pinpoint redundant services, which creates opportunities for more efficient resource allocation.

Managing Partner: Department of Labor

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each component's Full Time Civilian Equivalent (FTE) divided by DHS's total Civilian FTE multiplied by total estimated cost of the activity. This activity only benefits civilian personnel; therefore, military FTE is not included in the cost allocation methodology.

Full Time Equivalent (FTE): This activity requires no FTE.

e-Travel– Government-wide Service Activity

Description of Service: This activity provides a government-wide, web-based service that applies world-class travel management practices to consolidate Federal travel, minimize cost, and produce superior customer satisfaction. From travel planning and authorization to reimbursement, the e-Travel initiative will leverage administrative, financial, and information technology best practices to realize significant cost savings and improved employee productivity.

Managing Partner: General Services Administration

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each Component's Full Time Equivalent (FTE), divided by DHS's total FTE and multiplied by total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires no FTE

Geospatial Line of Business– Government-wide Service Activity

Description of Service: The Geospatial LoB is designed to further refine the opportunities for optimizing and consolidating Federal geospatial-related investments to reduce the cost of government and, at the same time, improve services to citizens. Cross-agency coordination of geospatial activities can identify, consolidate, and reduce or eliminate redundant geospatial

investments. The Geospatial Line of Business (LoB) will result in a more coordinated approach to producing, maintaining, and using geospatial data, and will ensure sustainable participation from Federal partners to establish a collaborative model for geospatial-related activities and investments.

Managing Partner: Department of Interior

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each participating component's adjusted total budget divided by DHS's adjusted total budget (excluding grant funding) multiplied by total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires no FTE.

e-Gov Integrated Acquisition Environment Loans And Grants– Government-wide Service Activity

Description of Service: The Federal Funding Accountability and Transparency Act of 2006 (FFATA) requires OMB to “ensure the existence and operation of a single searchable website, accessible by the public at no cost to access” that includes information on each Federal award. The law specifically requires a unique identifier for the entity receiving the award and of the parent entity of the recipient, should the entity be owned by another entity. Since contracts (and some grants) already require Data Universal Numbering System (DUNS) numbers, a decision was made to leverage this to cover loans and the remainder of the grants. This will allow those areas to feed information into the FFATA portal.

Managing Partner: General Services Administration

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each Component's Full Time Equivalent (FTE), divided by DHS' total FTE and multiplied by total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires no FTE.

IT Infrastructure Line of Business– Government-wide Service Activity

Description of Service: The IT Infrastructure LoB will identify the opportunities for IT infrastructure consolidation and optimization, and develop government-wide common solutions. This LoB will define specific common performance measures for service levels and costs, identify best practices, and develop guidance for transition plans within agencies and/or across agencies. Consolidation and optimization of IT infrastructure represents a significant opportunity to realize future cost savings by taking a more coordinated approach to spending on commodity IT infrastructure. IT infrastructure consolidation and optimization case studies also demonstrate agencies could improve IT service levels and, when relieved of the burden of managing these non-core functions, can concentrate more on mission priorities and results.

Managing Partner: Office of Management and Budget

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each participating Component's adjusted total budget divided by DHS' adjusted total budget (excluding grant funding) multiplied by total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires no FTE.

Budget Formulation and Execution Line of Business– Government-wide Service Activity

Description of Service: The focus of the Budget Formulation and Execution Line of Business (BFE LoB) is to build a “budget of the future” by promoting information sharing across government agency budget offices and building a “community of practice.” With this collaboration, the budget community can start to identify best practices for all aspects of budget formulation and execution. The BFE LoB strives to find solutions that link budget formulation, execution, planning, performance, and financial information. Areas of particular interest include technology, budget performance integration, data collection and tracking, financial management integration, and human capital.

Managing Partner: Department of Education

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each participating Component's adjusted total budget divided by DHS' adjusted total budget (excluding grant funding) multiplied by total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires no FTE.

Financial Management Line of Business– Government-wide Service Activity

Description of Service: The Financial Management Line of Business (FMLoB) goals are to define, analyze, and implement options that will enhance cost savings in the financial management systems, provide for standardization of business processes and data models, promote seamless data exchange between Federal agencies, and strengthen internal controls through integration of core financial and subsidiary systems. The FMLoB's current objective is to improve the cost, quality, and performance of financial management (FM) reducing the number of noncompliant systems by leveraging common standards, shared service solutions, and implementing other government-wide reforms that foster efficiencies in Federal financial operations.

Managing Partner: General Services Administration (GSA)

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each participating Component's adjusted total budget, divided by DHS' adjusted total budget (excluding grant funding) and multiplied by total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires no FTE.

e-Gov Integrated Acquisition Environment – Government-wide Service Activity

Description of Service: The Integrated Acquisition Environment activity is a secure business environment that facilitates and supports cost-effective acquisition of goods and services in support of mission performance. The goals for the Integrated Acquisition Environment activity are achieved thru four major business areas: Business partner Network (BPN), Acquisition Information Reporting (AIR), e-Marketplace, and Standard Transactions. IAE is achieving its goal of streamlining the intricate system of process threats that is needed to buy and track over \$400 billion in goods and services annually.

Managing Partner: General Service Administration

Cost Allocation Methodology: The cost allocation methodology is a pro-rata share based on the percent of each component's measurement of three contract acquisition variables divided by the total sum of all component measurements of the same three variables multiplied by total estimated cost of the activity. The three contract acquisition variables measured for each component's is as follows: (1) the number of personnel providing contractor support, (2) number of contracts processed and (3) the dollar volume of contracts processed.

Full Time Equivalent (FTE): This activity requires no FTE.

e-Gov Disaster Management – Government-wide Service Activity

Description of Service: Disaster Management is part of the e-Gov Act of 2002, Title II, and Section 214 "Enhancing Crisis Management Through Advanced Information Technology" and is described in OMB M-03-18, "Implementation Guidance for the e-Government Act of 2002." This initiative, which will support disaster assistance and "all hazards" response, is a joint effort involving 10 other Federal agencies that support disaster management. This initiative also supports many of the goals of the Initial National Response Plan dated October 2003.

The scope of the project covers all Federal agencies that are involved in disaster recovery, as well as state, local and tribal disaster recovery organizations and individuals. The value of this program is its contribution to improving disaster preparedness and its potential to reduce property damage and loss of life.

Managing Partners: FEMA and CIO

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each component's level of participation in Disaster Management divided by the total sum of all component levels of participation in Disaster Management multiplied by total estimated cost of the activity. Levels of participation include measuring the active participation of sixteen elements of Disaster Management defined by Disaster Management e-Government Initiative Program Office, EP&R/FEMA. The sixteen elements of Disaster Management include the following: (1) transportation, (2) communications, (3) public works and engineering, (4) firefighting/incident command system, (5) information and planning, (6) mass care, (7) resource support, (8) health and medical services, (9) search and rescue, (10) hazardous materials, (11) food, (12) energy, (13) warnings and alerts, (14) research and development, (15) emergency/domestic preparedness, and (16) disaster relief. The sixteen elements are the cost drivers for each component's assessment and because many components

are involved in various activities at different levels of participation, the cost for this activity is fairly uniform across the components.

Full Time Equivalent (FTE): This activity requires no FTE.

PPA: DHS Cross-Cutting Activities

	Perm Pos	FTE	Amount
2008 Actual	1	1	12,778
2009 Enacted	4	4	13,380
2010 Adjustments-to-Base	0	0	274
2010 Current Services	4	4	13,654
2010 Program Change	0	0	2,709
2010 Request	4	4	16,363
Total Change 2009-2010	0	0	2,983

Working Capital Fund requests \$16.4 million for DHS Cross-Cutting activities. This is an increase of \$3.0 million over FY 2009 Enacted.

CURRENT SERVICES PROGRAM DESCRIPTION:

Department of Homeland Security Crosscutting Activity

Capital Planning & Investment Control (CPIC) – DHS Crosscutting Activity

Description of Service: Capital Planning and Investment Control (CPIC) is run jointly by the CFO (Program Analysis & Evaluation), CPO Acquisition Program Management Division (APMD) and the CIO (Portfolio Management) to carry out the Department’s responsibilities for the quality and performance of its investment projects. A CPIC process is required to comply with the budget preparation guidance provided by OMB Circular A-11, Preparing, Submitting and Executing the Budget, and the management guidance provided by OMB Circular A-130, Management of Federal Information Resources, under the legislative authorities and requirements in the Clinger-Cohen Act and the Homeland Security Act. Project management offices throughout the components prepare business cases to demonstrate to OMB that they are on-track and ready to effectively use the additional funding requested.

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each participating component’s Exhibits 300 total divided by the total DHS Exhibit 300’s multiplied by the total estimated cost of the activity. Consolidated 300’s will be distributed back to Components based on ½ point for managing partners and with remainder spread by contributing component in equal shares.

Full Time Equivalent (FTE): This activity requires no FTE.

Ready Campaign – DHS Crosscutting Activity

Description of Service: The DHS “Be Ready” campaign and Ready.gov web site helps citizens make a kit of emergency supplies; make a plan of what to do in an emergency, and be informed of biological, chemical, explosion, nuclear blast and radiation threats.

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each participating component’s adjusted total budget divided by DHS’s adjusted total budget (excluding grant funding) multiplied by the total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires no FTE

Strategic Sourcing – DHS Crosscutting Activity

Description of Service: DHS has established Strategic Sourcing Group (SSG) to implement a department-wide approach to acquiring goods and services. The SSG has established commodity councils that are working to identify the department’s needs for each commodity and developing more efficient purchasing mechanisms to address those needs. The total number of commodity councils established thus far is 16 covering such commodities as weapons and ammunition, uniforms, electricity, office supplies, airport services, and copiers.

Cost Allocation Methodology: The cost allocation methodology is a pro-rata share based on the percent of each component’s measurement of three contract acquisition variables divided by the total sum of all component measurements of the same three variables multiplied by total estimated cost of the activity. The three contract acquisition variables measured for each component is as follows: (1) the number of personnel providing contractor support, (2) number of contracts processed and (3) the dollar volume of contracts processed.

Full Time Equivalent (FTE): This activity requires no FTE.

Chief Procurement Office Shared Reporting – DHS Crosscutting Activity

Description of Services: The DHS Shared Reporting - CPO system, known otherwise as the Homeland Security Contract Information System (HSCIS), is the acquisition data feeder system to the Federal Procurement Data System - Next Generation (FPDS-NG) that is required by statute. This data source is the primary source of all acquisition data for the Federal government, used by U.S. agencies, governments around the world, the public, and the commercial world for planning marketing opportunities with the American government related to its \$3.1 trillion annual acquisition budget. DHS uses HSCIS to provide data to FPDS-NG and to monitor acquisition data.

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each participating component’s adjusted total budget by DHS’ adjusted total budget (excluding grant funding) multiplied by total estimated cost of activity.

Full Time Equivalent (FTE): This activity requires 4 FTE.

PPA: WCF Management Activity

	Perm Pos	FTE	Amount
2008 Actual	6	6	901
2009 Enacted	8	8	1,280
2010 Adjustments-to-Base	0	0	36
2010 Current Services	8	8	1,316
2010 Program Change	0	0	0
2010 Request	8	8	1,316
Total Change 2009-2010	0	0	36

Working Capital Fund requests \$1.3 million for this activity. This is an increase of \$36,000 over FY 2009 Enacted.

CURRENT SERVICES PROGRAM DESCRIPTION:

WCF Management Activity

Working Capital Fund Operations – WCF Management Activity

Description of Service: The Working Capital Fund Operations provides policy, procedures, budget formulation, execution and customer resolution services in managing the WCF. Services are provided to the activity managers as well as customer Components across DHS.

Budget Formulation Services:

- Oversee all budgets, make recommendations on all aspects of the WCF, and perform or direct all duties and responsibilities of financial management.
- Provide direction and assistance to program managers in the development of operating plans, budgets, and supporting documents relating to use of the WCF.
- In coordination with the Director, Budget Staff, make recommendations on operating plans, rate structures and activities to be supported by the fund.

Budget Execution Services:

- Review financial reports for conformance with program and financial plans, and inform senior management and program officials of trends and changes required in the financial plan.

Cost Allocation Methodology: The cost allocation methodology for this activity is a pro-rata share based on the percent of each component’s WCF assessment amount divided by the total WCF assessment multiplied by total estimated cost of the activity.

Full Time Equivalent (FTE): This activity requires 8 FTE to oversee all budgetary functions of the Working Capital Fund.

IV. Program Justification of Changes

**Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)**

Program Increase 1: DHS Rent Consolidation

PPA: Fee-For-Service Activity

Program Increase: Positions 0 FTE 0 Dollars \$8,324

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							5	5	\$67,282
Program Increase							0	0	\$8,324
Budget Request	5	5	\$40,299	5	5	\$65,957	5	5	\$75,606

Description of Item

The General Services Administration (GSA) provides workspace and related services for over 100 Federal client agencies serving more than one million workers through the Public Buildings Service (PBS). GSA also provides related real estate services including the operation and maintenance of buildings and out-leasing programs. GSA’s Computer Integrated Facility Management Program uses cutting edge technology to look at the buildings life cycle. Real estate services provided to clients appear in Federal agencies monthly electronic rent bills.

The Department has established a clearing account to expedite the payment of GSA rent billings for the Department of Homeland Security, excluding the major components. The monthly bills include all GSA-controlled space that the Department occupies throughout the United States, including parking spaces allotted to the Department.

Justification

The FY 2010 budget increase includes GSA occupancy agreement updates, Federal Protective Service (FPS) rate increases, and rent for additional space that will be required in FY 2010.

Impact on Performance (Relationship of Increase to Strategic Goals)

These facilities improve the delivery of support services to each DHS component while reducing the cost of operations. The centralization of GSA Rent services for the Departmental Management and Operations is critical to the mission of the Department.

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Increase 2: Financial Statement Audit

PPA: Fee-For-Service Activity

Program Increase: Positions 0 FTE 0 Dollars \$669

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$14,883
Program Increase							0	0	\$669
Budget Request	0	0	\$13,212	0	0	\$14,591	0	0	\$15,552

Description of Item

DHS awards a contract to an independent Certified Public Accounting (CPA) firm to perform financial statement audit functions. The contract includes time and material for audit services with the auditor providing the services and billing the hours worked at billing rates commensurate with the audit position being billed. The cost include travel and incidental costs associated with the performance of the audit as permitted by the contract maintained by the Office of the Inspector General (OIG) as the Contracting Officer Technical Representative (COTR).

Justification

In FY 2010, the Financial Statement Audit activity requests a funding increase of \$669,000 in contractor cost and for travel oversight costs for the OIG staff. The amount includes an increase for time and material costs for audit services. These services includes a Full Scope audit cost for Customs and Border Protection (CBP), Federal Law Enforcement Training Center (FLETC) Transportation Security Administration (TSA), Immigration and Customs Enforcement (ICE), and Citizenship and Immigration Services (CIS).

Impact on Performance (Relationship of Increase to Strategic Goals)

If this request is not approved, the enhancement of \$669,000 will impact DHS components requesting Stand-Alone Full Scope audits in FY 2010. The components include CBP, FLETC, TSA, ICE and CIS.

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Increase 3: Finance and Accounting Shared Services

PPA: Fee-For-Service Activity

Program Increase: Positions 0 FTE 0 Dollars \$3,144

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$26,941
Program Increase							0	0	\$3,144
Budget Request	0	0	\$29,176	0	0	\$26,413	0	0	\$30,085

Description of Item

ICE and FLETC’s Office of Financial Management provide a variety of financial shared services for various DHS components on a reimbursable basis. The types of financial services provided include financial reports, obligations and payment processing, system usage, receipts, payroll, overhead, and travel and cash management services.

Justification

The \$3.1 million increase reflects higher than anticipated costs being incurred by the service provider to support the DHS components. These higher costs are being distributed across DHS components based on Activity Based Costing results from previous years and additional services provided to support eTravel.

Impact on Performance (Relationship of Increase to Strategic Goals)

The Department requested a total of \$29.2 million for this activity in FY 2008, as part of a reprogramming effort that reflected higher costs for this activity. The requested increase from FY 2009 will cover the increased support costs of this activity in FY 2010.

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Increase 4: Internal Control Audit

PPA: Fee-For-Service Activity

Program Increase: Positions 0 FTE 0 Dollars \$2,668

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$2,267
Program Increase							0	0	\$2,668
Budget Request	0	0	\$1,129	0	0	\$2,223	0	0	\$4,935

Description of Item

The DHS Financial Accountability Act requires an audit opinion on the Department’s Internal Controls over Financial Reporting. Due to the extent of material weaknesses, the Department’s Inspector General conducts performance audits to assess the effectiveness of DHS corrective actions in effort to comply with the Act. The Internal Control Auditor is selected through contracting procedures by the OIG and must stay independent from the DHS components that are being audited. The auditor selected commences work immediately and entrance conferences are held within a short time after award of the financial statement audit contract.

Justification

The increase from \$2.3 million to \$5.0 million reflects additional audit procedures anticipated due to implementation of DHS corrective actions. For example, as DHS executes corrective actions and continues to make progress on resolving material weakness conditions, the auditors are required to perform additional work to validate the effectiveness of internal controls over financial reporting to implement the internal control audit provision of the DHS Financial Accountability Act.

Impact on Performance (Relationship of Increase to Strategic Goals)

The Office of the Chief Financial Officer coordinates the management’s assessment process to support management’s assertion and act as primary liaison for the auditors. This additional funding is required in order to enable the Department to coordinate the preparation of and completion of the internal audit.

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Increase 5: NFC Payroll Services & Reporting
PPA: Fee-for-Service Activity
Program Increase: Positions 0 FTE 0 Dollars \$3,470

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$32,991
Program Increase							0	0	\$3,470
Budget Request	0	0	\$30,710	0	0	\$32,344	0	0	\$36,461

Description of Item

Department of Agriculture/National Finance Center (NFC) provides Payroll/Personnel services utilizing their legacy mainframe systems (payroll) and EmpowHR PeopleSoft application (personnel). In addition, NFC provides Payroll/Personnel policy support and benefits reconciliation, tax reporting, and payroll problem resolution. All DHS Components will migrate to the enterprise DHS personnel system, EmpowHR, by FY 2010.

Justification

Fundamental to the HCBS mission is reducing costs by consolidating the number and variety of DHS Human Resource systems maintained. Specifically, costs are reduced by centralizing and simplifying training, licensing fees; reducing errors associated with complex interfaces due to redundant and disparate systems; and by retiring older less productive/efficient systems with modern and more flexible systems. This enterprise approach directly supports the DHS Secretary’s priority to strengthen DHS Core Management, Policy and Operational Agenda; and the Human Resources Line of Business (HRLoB) and other “good government” practices.

There are several authorities that support the HCBS mission such as: 1) The Homeland Security Act of 2002 calling for the establishment of a new HR system for DHS that is flexible and contemporary; and 2) The e-Government Act of 2003 calling for the use by the government of web-based Internet applications and other information technologies, combined with processes that implement these technologies, to bring about improvements in government operations that may include effectiveness, efficiency, service quality, or transformation. It also calls for the adoption of innovative information technology, including the appropriate use of commercial best practices, as well as the use of electronic signatures. In addition to the mandated Acts, the business case that resulted from the DHS HRIT Council research provides authority to Human Capital Business Systems to consolidate and modernize the 144+ disparate systems.

This request includes O&M costs for NFC payroll and EmpowHR personnel systems. As part of its mission to consolidate and modernize its numerous payroll/personnel systems, DHS chose EmpowHR

under the the Human Resources Line of Business (HRLoB) as an OMB approved personnel system. EmpowHR is run by the National Finance Center (NFC). After DHS completed its payroll system consolidation which consolidated eight payroll systems into one, DHS started consolidating its personnel systems. As the DHS enterprise standard, EmpowHR is currently in use by TSA, DHS HQ, USCG, and FLETC. The increase in FY 2010 supports the CIS, ICE, and FEMA.

Impact on Performance (Relationship of Increase to Strategic Goals)

The activity directly supports the Secretary's goal to Strengthen DHS Operations and Management, as well as, the Human Capital Operational Plan, specifically in the areas of Talent Management, Culture of Performance, Learning and Development and Service Excellence. The government is looking at increasing effectiveness from a business perspective and with an enterprise-wide view. Based on the ePayroll Business Case, the best decision for the government is to achieve savings and economies associated with rapid consolidation of Providers while leveraging key technology investment. The goal is to interface payroll systems with customer administrative systems, while increasing interoperability and reducing overall cost. This decision, made from a government-wide rather than agency perspective, will move us toward the objective of a standard architecture and final Shared Service Provider solution.

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Increase 6: HQ Human Capital Service Center

PPA: Fee-For-Service Activity

Program Increase: Positions 0 FTE 0 Dollars \$5,314

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							4	4	\$9,009
Program Increase							0	0	\$5,314
Budget Request	4	4	\$13,915	4	4	\$8,825	4	4	\$14,324

Description of Item

The HQ Service Center provides coordination and oversight support for outsourced services supporting HQ Human Capital operational needs. The team ensures that the personnel processes for HQ’s managers/employees and service providers runs efficiently and effectively. Examples of services: Staffing and Recruitment; Position Classification/Position Management; Performance Management; Payroll and Personnel Action Processing; Employee and Labor Relations Support; Retirements and Benefits Support; Time and Attendance Support. It is imperative that we continue providing full-time, Federal employee oversight of these services.

Justification

In FY 2010, the estimated HQ population is almost 4,200 and assumes “full-service” capacity and the increased funding request will provide continued operational oversight of all contracted services as well as provide more effective focus on customer support. The increase of \$5.314 million over FY2009 is in line with the reprogramming increase that was approved for FY 2008.

The HQ Service center will continue to provide the full range of personnel operational support to DHS HQ components (excluding the OIG) and eventually expand that service through functional integration to other DHS components.

Impact on Performance (Relationship of Increase to Strategic Goals)

The funding is necessary for the HC Service Center will to provide coordinated and prioritized personal staffing services; ensure timely and effective recruitment of staff; effectively manage the “on-board” staffing process (which includes security clearances and collaboration with the Personnel Security Office).

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Increase 7: Flexible Spending Account Plan Fees (FSA FEDS)

PPA: Fee-For-Service Activity

Program Increase: Positions 0 FTE 0 Dollars \$496

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$1,632
Program Increase							0	0	\$496
Budget Request	0	0	\$1,362	0	0	\$1,600	0	0	\$2,128

Description of Item

The purpose of this WCF activity is to pay fees associated with the administration of FSAFEDS. FSAFEDS is the Federal government’s Flexible Spending Account (FSA) Program designed to allow Federal employees to set aside pre-tax funds from their pay to cover health and dependent care costs not covered by any other source. Employees elect to participate in the program within 60 days of entry on duty or each year during the Federal Benefits Open Season. Once a DHS employee elects to participate in the Program, FSAFEDS receive allotments from the employee’s pay and places those allotments into an account where the funds are held. The employee then files a claim against those funds for reimbursement of incurred costs associated with health and/or dependent care.

FSAFEDS is managed by The Office of Personnel Management, with additional support of a contractor (SHPS, Inc.). This activity reimburses OPM and the vendor for administrative fees as mandated by The National Defense Authorization Act of 2004 (P.L. 108-136), which requires that agencies pay the administrative fees associated with employee participation in flexible spending account programs.

Justification

In recent years, employee participation in FSAFEDS has reflected a gradual and continual growth. In FY 2007, DHS participated at a 6 percent rate, and in FY 2008, DHS participated at a 9 percent rate. Based on this growth, the FY 2010 request shows a gradual increase in the DHS-wide participation rate. This increase is based on OPM data, which indicate that mature organizations participate at a minimum 20 percent rate across the board. For this submission, the projected rate of growth is predicated on reaching a 20 percent DHS-wide participation rate in FY 2014.

Impact on Performance (Relationship of Increase to Strategic Goals)

The Flexible Spend Plan Account administrative fees are a mandatory payment. The payment program supports the Department’s goal to Strengthen and unify DHS operations and management.

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Increase 8: Microsoft Enterprise Software Licenses

PPA: Fee-For-Service Activity

Program Increase: Positions 0 FTE 0 Dollars \$24,381

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							1	1	\$22,093
Program Increase							0	0	\$24,381
Budget Request	1	1	\$21,129	1	1	\$21,658	1	1	\$46,474

Description of Item

This activity provides for the funding and management of the Microsoft Enterprise Software License Agreement which provides enterprise access to the Microsoft suite of products.

The licenses cover the software needed for the individual desktop, laptop, and server platforms, such MS Office, MS Project, MS Visio, MS Advanced Server, etc. The enterprise agreement is utilized by all of DHS.

Justification

The FY 2010 costs are significantly higher than previous years due to the expiration of the initial contract that was based on 2003 Microsoft prices. In addition, the FY 2010 license costs are higher because they are based on the base requirements applied at the beginning of the contract in 2003, plus all of the true-up requirements that have been made by components since that time. Before FY 2010 the costs included in the WCF were merely based on the 2003 base requirements and amortized over a period of five years. When the new contract is negotiated in 2009, a new base will be applied.

The base requirements referred to are those that were provided by DHS components to develop the minimum requirements used in negotiations with Microsoft to secure enterprise pricing discounts. These represent DHS's requirements at the time of contract award (June 2003). True-up requirements are any Microsoft requirements above and beyond the original base requirement. All current and future purchases under this vehicle will be facilitated via the true up mechanism, which allows for the purchase of additional licenses above the base requirement. True up costs (as indicated on the DHS Microsoft EA Product/Price List) are updated each year and include the costs for licenses and Software Assurance (maintenance) through the remaining term of the contract.

Impact on Performance (Relationship of Increase to Strategic Goals)

This activity helps the agency to fulfill Federal Acquisition Streamlining Act (FASA) requirements. It also helps to ensure legal licensing of all DHS Microsoft servers deployed throughout the enterprise. In addition, it implements governance over the contract vehicle through which Microsoft licenses are purchased by DHS component organizations.

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Increase 9: National Capital Region Infrastructure Operations

PPA: Fee-For-Service Activity

Program Increase: Positions 0 FTE 0 Dollars \$5,154

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							9	9	\$116,161
Program Increase							0	0	\$5,154
Budget Request	9	9	\$93,635	9	9	\$113,868	9	9	\$121,315

Description of Item

The NCRIO serves the majority of DHS Headquarters users for network, email, internet, intranet, and telecom infrastructure, as well as all end user desktop computing, telecom, and wireless services. NCRIO's Program Management Office (PMO) coordinates management and deployment of infrastructure resources along with build-out of new facilities and provides continuous operations, help desk, vendor management, financial management, and technology evaluation.

Justification

With the growth in user demand that has been experienced in FY 2008 and FY 2009, the DHS WCF continues to realize an increased need for network storage and connectivity. The increase in funding will cover the purchase and installation of additional network hardware and software to augment network capabilities and increase network utility for the users. Operational network features such as network storage capacity and connectivity will be enhanced. This initiative will result in strengthened operations and management of the DHS network

Impact on Performance (Relationship of Increase to Strategic Goals)

Network enhancements such as storage capacity and improved response time, will help in reaching the DHS object of improved IT performance for the system users. These enhancements for the betterment of the user experience are another example of how this item supports the DHS strategic goal to Strengthen and unify DHS Operations and Management.

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Increase 10: USAJOBS (formerly Recruitment One-Stop)

PPA: Government-wide Mandated Service Activity

Program Increase: Positions 0 FTE 0 Dollars \$67

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FT E	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$1,124
Program Increase							0	0	\$67
Budget Request	0	0	\$1,101	0	0	\$1,102	0	0	\$1,191

Description of Item

OPM’s USAJOBS Program Office has increased the content and navigation of Veterans-focused resources; incorporated a new one-stop information center; successfully implemented e-Authentication for Federal HR users; provided a more robust and meaningful online application status tracking mechanism for job seekers; added graphics to announcements and incorporated an applicant survey to provide feedback to agencies about the application process. This program operates on a fully reimbursable basis to pay the cost of providing Federal employment information and services.

In prior years, OPM’s fee assessment was based on the number of Competitive Service employees within a given agency. Effective October 1, 2007, in accordance with CFR Title 5, Volume 1, Part 317.501(b)(2), those organizations with Executive Resource Service/Senior Executive Service positions which are required to be posted on USAJOBS must now pay a USAJOBS fee. In addition, similar per-capita staff and SES fees will be charged to excepted-service agencies which voluntarily elect to use USAJOBS. The DHS fee was calculated based upon the Department’s total “on-board” employment levels for competitive, excepted service, and ERS positions.

Justification

USAJOBS Federal Employment Information System delivers state-of-the-art on-line recruitment services to job seekers including intuitive job searching, on-line resume submission, applicant data-mining, and on-line feedback on status and eligibility. The additional funds support the USAJOBS system to deliver state-of-the-art on-line recruitment services to job seekers. OPM plans for USAJOBS is to complete the migration of agency job search engines, enhance website tools, and expand agency implementation of integrated job application and status tracking. Since the majority of Federal government job announcements are posted via USAJOBS, and most job-seekers are aware of this tool, DHS will continue to be a user of this system.

Impact on Performance (Relationship of Increase to Strategic Goals)

Access to USAJOBS supports the DHS Strategic Goal to Strengthen and unify operations and management, as well as the DHS Human Capital Operations Plan goal to “Hire and Retain a Talented and Diverse Workforce.” USAJOB is a well-known tool for Federal job seekers, and continued use of this valuable system will support DHS’ efforts to promote DHS as the workplace of choice.

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Increase 11: e-Training

PPA: Government-wide Mandated Service Activity

Program Increase: Positions 2 FTE 2 Dollars \$127

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							6	6	\$13,594
Program Increase							2	2	\$127
Budget Request	3	3	\$5,701	6	6	\$13,318	8	8	\$13,721

Description of Item

e-Training is focused on strengthening and unifying DHS operations and management by taking an earned value approach to Information Technology Portfolio Management (IT PfM) in support of employee learning and development (L&D). Through consolidated systems and aligned business processes, the Advanced Distributed Learning Program Management Function (ADL PMF) within the Office of the Chief Human Capital Officer (OCHCO) serves to eliminate Department redundancies while increasing overall access to the highest quality ADL products and services. e-Training directly supports several government-wide initiatives as explained below. This activity benefits the Federal government, the Department, and the individual employee by:

- Reducing redundancies and achieving economies of scale in the purchase, deployment, and management of ADL technology infrastructure (e.g., Learning Management Systems (LMS), Learning Content Management Systems (LCMS) and/or other Information Technology (IT) hardware/software for Human Capital Performance Support (HCPS) tools), and the consolidation and/or sharing of hardware/software;
- Reducing redundancies and achieving economies of scale in the purchase and/or development of e-Learning courses and content (e.g., commercial-off-the-shelf (COTS) or custom-developed content to meet specific agency needs);
- Leveraging components of existing learning systems (e.g., LMS, LCMS, IT hardware, or HCPS tools) where clear value propositions exist;
- Offering user-friendly, one-stop access to a robust and high-quality learning environment;
- Encouraging ADL investments as part of a strategic, systematic, and continuous development of DHS human capital; and
- Fostering communication between Federal Human Resources Development (HRD) practitioners government-wide to identify, prioritize and develop solutions to issues of interest within the community, and to share best practices and resources where synergies are evident.

Justification

The increase in FY 2010 requests accounts for an expected stabilization of licensing support costs and an increase in dependency on centralized custom courseware development being managed by the ADL PMF. An additional two FTE are requested to manage this effort in FY 2010.

e-Training directly supports the Department's strategic human capital management activity as defined in the Homeland Security Act (HR 5005), Title XIII, Section 1304 and academic training as described in Section 1331; both the Office of Personnel Management's e-Training and Enterprise Human Resource Integration initiatives; and, specifically, Katrina Lessons Learned Recommendation 115.²

Impact on Performance (Relationship of Increase to Strategic Goals)

The implementation of e-Training fulfills the following critical goals:

- The DHS Human Capital Operations Plan (HCOP) and the DHS Learning and Development Strategic Plan for Fiscal Years 2006-2010 (specifically Goal 4, Strategy 2, Tactic 1 which is to implement the recommendations of the ADL Enterprise Architecture Study).
- Serving is a key enabling IT component to the DHS Chief Learning Officer's Strategy for establishing a Homeland Security University System.
- Further leveraging simplicity through reductions in Department-wide Information Technology (IT) infrastructure and redundancies in DHS-wide training needs.
- Direct support of Department Information Technology Portfolio Management goals

Benefits to be derived from e-Training include:

- Increased functionality through automation of the SF-182 process
- Automated Enterprise Human Resources Integration (EHRI) reporting of training to OPM
- Access to professional development, required training, and other enterprise content
- Anticipated integration of competency management capabilities
- Enterprise-leveraged course procurement (i.e., increased buying power)
- Enterprise-leveraged course management. Preliminary analysis showed approximately 75 percent in cost savings through enterprise licensing of commercial-off-the-shelf (COTS) courseware versus contracting by individual Components.

² Katrina Lessons Learned Recommendation 115: DHS should provide training, technical, and other assistance in support of other departments' and agencies' homeland security professional development programs. DHS should expand its use of innovative techniques and technologies to enhance the quality and dissemination of homeland security education and training. This may include the use of distance learning programs and interactive computer methodologies. DHS must expand its efforts to promote awareness and implementation of the NIMS and the NRP throughout Federal, State, and local governments, and private sector.

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Increase 12: IT Infrastructure Line of Business

PPA: Government-wide Mandated Service Activity

Program Increase: Positions 0 FTE 0 Dollars \$ 157

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$163
Program Increase							0	0	\$157
Budget Request		0	0	0	0	\$160	0	0	\$320

Description of Item

The IT Infrastructure Line of Business (ITI LoB) creates an effective and efficient IT infrastructure enabling government-wide customer-centric services. The first goal of the ITI LoB is to establish a contract for developing infrastructure best practices. DHS has an established enterprise program—the Infrastructure Transformation Program (ITP)—that manages the transformation, consolidation and optimization of infrastructure services across DHS.

Justification

The additional funds will define DHS Enterprise Architecture technical targets; continue network and data center consolidation; further implement DHS Management Directive MD 0007.1, Information Technology Integration and Management, and establish governance around enterprise configuration management.

Impact on Performance (Relationship of Increase to Strategic Goals)

This activity aims to achieve an Enterprise-wide IT infrastructure by leveraging existing capabilities within the components. Optimization of IT infrastructure represents a significant opportunity to realize future cost savings by taking a more coordinated approach to spending on commodity IT infrastructure. IT infrastructure optimization case studies also demonstrate agencies could improve IT service levels and, when relieved of the burden of managing these non-core functions, can concentrate more on mission priorities and results.

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Increase 13: Financial Management Line of Business

PPA: Government-wide Mandated Service Activity

Program Increase: Positions 0 FTE 0 Dollars \$ 140

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level				0	0		0	0	\$146
Program Increase							0	0	\$140
Budget Request		0	\$143	0	0	\$143	0	0	\$286

Description of Item

The objective of the Financial Management LoB activity is to improve the cost, quality, and performance of financial management by implementing government-wide reforms that foster efficiencies in Federal financial operations.

Justification

The increase in funding is needed to support financial management system standardization efforts and to improve the implementation of FM consolidation.

Impact on Performance (Relationship of Increase to Strategic Goals)

An increase in funding will allow this activity to address transformation possibilities earlier thus gaining all of the benefits of standardization, consolidation and optimization sooner. This will ultimately lead to less costly implementation of systems and will ease the standardization and consolidation process.

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Increase 14: IAE Loans and Grants

PPA: Government-wide Mandated Service Activity

Program Increase: Positions 0 FTE 0 Dollars \$ 192

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level				0	0		0	0	\$0
Program Increase							0	0	\$192
Budget Request		0	\$190	0	0	0	0	0	\$192

Description of Item

The Federal Funding Accountability and Transparency Act of 2006 (FFATA) requires OMB to “ensure the existence and operation of a single searchable website, accessible by the public at no cost to access” that includes information on each Federal award. The law specifically requires a unique identifier for the entity receiving the award and of the parent entity of the recipient, should the entity be owned by another entity. Since contracts (and some grants) already require Data Universal Numbering System (DUNS) numbers, a decision was made to leverage this to include loans and the remainder of the grants.

Justification

This activity allows loan and grant information to feed information into the FFATA portal, and the Integrated Acquisition Environment (IAE) activity has been expanded for this purpose. OMB initiated funding requests for each agency to reimburse IAE for this additional cost. This activity is a required agency activity mandated by the e-Government Act of 2002.

Impact on Performance (Relationship of Increase to Strategic Goals)

In addition to tracking loans and grants via DUNS numbers, this activity supports the grants management process by supporting the effort to provide business and linkage data seamlessly, resulting in higher quality data that are provided via real-time updates. This will result in a more integrated business process for buyers and sellers that will promote competition, transparency and integrity.

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Increase 15: Capital Planning and Investment Control

PPA: DHS Crosscutting Activity

Program Increase: Positions 0 FTE 0 Dollars \$2,294

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$5,403
Program Increase							0	0	\$2,294
Budget Request	0	0	\$5,193	0	0	\$5,297	0	0	\$7,697

Description of Item

CPIC is run jointly by the OCFO, OCIO, and OCPO to assist the Department in carrying out its responsibilities for the quality and performance of its investment projects by providing support services and training for the Project Management Offices throughout the Department's components. The Project Management Offices are required to prepare business cases to demonstrate to OMB that they are on-track and ready to effectively use the additional funding that they are requesting in the DHS budget submission. This Activity provides services to support these efforts, including automated tools to assist with portfolio analyses, document preparation, document review and scoring, formal training, informational briefings, and remedial coaching to improve business case quality. It supports the Project Management Offices in preparing decision packages for DHS investment review boards at key decision points in their projects' life cycle.

Justification

The CIO is leading an effort to improve DHS's integrated program management and reporting capability, the System for Management Analysis and Resource Tracking (SMART). SMART will realize incremental improvements to the existing DHS CPIC architecture; establish interfaces to target DHS financial, acquisition, asset management, enterprise architecture, and human resources systems, and deploy an enterprise wide Business Intelligence solution to provide comprehensive program management analysis and forecasting capability for decision support services across the Department.

The budget increase of \$2.3 million in FY 2010 will enhance the CPIC periodic reporting function by integrating planning, budgeting and performance reporting at the project level on a monthly basis with corresponding financial, acquisition, asset management, DHS Enterprise Architecture (EA), and human resources information. SMART will provide centralized management information services for components to manage programs and investments down to the project level and for DHS to track corresponding performance metrics at monthly intervals for tracking performance trends such as Earned Value Management (EVM) and identifying risks for early mitigation and resolution. Consolidation within SMART will save time for users by streamlining the DHS status reporting and review processes. It will improve the quality, standardization, and consistency of program performance data across the entire department as the program managers entering corresponding

performance data will have a personal stake in the quality of the data. SMART will provide integration of DHS business information and provide implementation of analytic tools that support better tracking of program performance and better decision making by senior leadership in line with the EA. The budget increase will fund:

- Component Level Reporting roll out;
- Rollout of a workflow and Project Asset Library to store and route all required documentation for review and approval;
- Integration of project performance data with target financial, acquisition, asset management, and human resources systems of records; and
- Hardware software and support services to maintain the SMART architecture

Impact on Performance (Relationship of Increase to Strategic Goals)

The increase will progressively improve the number of DHS investments that perform within a 10 percent variance and reduce investment cost, schedule, and performance variances accordingly. It will also reduce overlap and duplication of investments; reduce reporting burdens on Components while improving data and information quality; increase alignment of DHS planning with program execution, and improve DHS Security Posture and information sharing capabilities.

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Increase 16: CPO Shared Reporting

PPA: DHS Crosscutting Services

Program Increase: Positions 0 FTE 0 Dollars \$442

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							4	4	\$4,825
Program Increase							0	0	\$442
Budget Request	1	1	\$4,400	4	4	\$4,724	4	4	\$5,267

Description of Item

The DHS Shared Reporting–CPO system is the acquisition data feeder system to the Federal Procurement Data System that is required by statute. This data source is the primary source of all acquisition data for the Federal government, used by U.S. agencies, governments around the world, the public, and the commercial world for planning marketing opportunities with the American government related to its annual acquisition budget. Without CPO Shared Reporting, DHS would not be postured to efficiently and effectively provide data, nor secure extensive reports from DHS acquisition data for Congress, the IG, GAO, and DHS management.

Justification

The increase in funding is required to support enterprise activities resulting from expanded workload and requirements of a growing acquisition workforce. A major tasking of the Acquisition Systems Branch (ASB) is to lead the long-term critical initiative to achieve comprehensive acquisition processes and data management through progressive consolidation and standardization. The Enterprise PRISM Instance is the cornerstone of this initiative and as the number of users increase, so do operations and maintenance costs. A related, but new project in FY 2010, involves establishing a contract management system for classified procurements. Due to the very nature of the project, costs are higher than those of a non-classified system. Another new project is Enterprise Reporting. Interest in DHS programs and the contracts that support them continues to grow. A system is required to provide enterprise data and metrics to quickly respond to inquiries and as a management tool to support information sharing to enable better business decisions.

Impact on Performance (Relationship of Increase to Strategic Goals)

The increase in funding will enable the ASB to continue to provide the wide-ranging acquisition systems and tools and personnel to support the contracting mission of the Department and to ultimately further the Department’s ability to more effectively support response and recovery activities.

The implementation of this WCF activity fulfills the following critical goals:

- Supports the Secretary’s goal to Strengthen and Unify DHS Operations and Management.

- Supports the Chief Procurement Officer's goals to make good business deals; perform effective contract administration; and to build and sustain the DHS acquisition workforce.
- Supports the ASB mission to provide the DHS acquisition workforce with e-Acquisition systems and tools which leverage investment costs and promote competition, transparency, integrity and standardization.

Benefits to be derived from CPO Shared Reporting WCF activity include:

- Cost avoidance and elimination and reduction in duplicative systems and tools across the Department.
- Provides the acquisition workforce with systems and tools to support and reinforce business processes and standards which facilitate efficient and effective acquisition of goods and services.

Department of Homeland Security
Working Capital Fund
Justification of Program Changes
(Dollars in Thousands)

Program Increase 17: Data Center Consolidation

PPA: Fee-for-Service Activity

Program Increase: Positions 0 FTE 0 Dollars \$ 200,000

	FY 2008 Actual			FY 2009 Enacted			FY 2010 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							0	0	\$0
Program Increase							0	0	\$0
Budget Request		0	0	0	0	0	0	0	\$200,000

Description of Item

The DHS Office of the Chief Information Officer (OCIO) has established two enterprise DHS data centers to provide large-scale, physically secure, scalable, mission critical data center computing facilities and services for DHS. Currently, DHS is undergoing efforts to migrate disparate component systems and applications from legacy data centers to the two enterprise DHS data centers. The two DHS centers address the need for greater efficiency, improved security posture and the rapid movement of information within the Department. With the two enterprise data centers, DHS has established the capabilities to integrate, consolidate, and transform the individual component Infrastructures into a single, world-class IT infrastructure capable of supporting the significant demands required of an organization of more than 200,000 employees along with the information sharing requirement of Federal, State, local and tribal business partners.

Justification

The Data Center Consolidation WCF activity will provide the vehicle by which to manage the funding for the migration efforts to the DHS enterprise facilities. Operation as a DHS WCF activity will allow dramatic reduction in overhead required to manage data center consolidation. The WCF will allow DHS to act as a single bill payer to the Data Center service providers, and will dramatically reduce necessary procurement activities. The consolidation into a WCF activity will also allow for greater transparency and more effective management of the goods and services being provided to the Department. By allowing for the central management of the contracts between Data Center providers, the Data Center Consolidation activity enables components to focus their resources on their missions, rather than contracting and administrative support for acquiring data center services.

Impact on Performance (Relationship of Increase to Strategic Goals)

The Enterprise Data Centers WCF Supports the DHS goal of “One Infrastructure” and “One DHS.”. The proposed Enterprise Data Centers WCF activity aligns with Goal Five of the DHS Strategic Goals, “Strengthen and Unify DHS Operations and Management” and Goal One of the DHS IT Strategic Plan, “Optimizing IT Infrastructure.”

V. Exhibits and Other Supporting Materials

A. Justification of Proposed Legislative Language

**Department of Homeland Security
Working Capital Fund
Justification of Proposed Changes in Department of Homeland Security
Appropriation Language**

SEC. 504. The Department of Homeland Security Working Capital Fund, established pursuant to section 403 of Public Law 103-356 (31 U.S.C. 501 note), shall continue operations as a permanent working capital fund for fiscal year [2009] **2010**. Provided, That none of the funds appropriated or otherwise made available to the Department of Homeland Security may be used to make payments to the Working Capital Fund, except for the activities and amounts allowed in the President's fiscal year [2009] **2010** budget: Provided further, That funds provided to the Working Capital Fund shall be available for obligation until expended to carry out the purposes of the Working Capital Fund: Provided further, That all departmental components shall be charged only for direct usage of each Working Capital Fund service: Provided further, That funds provided to the Working Capital Fund shall be used only for purposes consistent with the contributing component: Provided further, That such fund shall be paid in advance or reimbursed at rates which will return the full cost of each service: Provided further, That the Working Capital Fund shall be subject to the requirements of section 503 of this Act.

Explanation of Changes:

To extend the current language for the Working Capital Fund into FY 2010.

B. FY 2009 to FY 2010 Budget Change

**Department of Homeland Security
Working Capital Fund
FY 2009 to FY 2010 Budget Change
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2008 Actuals	323	323	\$462,937
2009 Enacted	342	342	523,373
Adjustments-to-Base			
Increases			
Annualization of 2009 pay raise.....	---	---	308
2010 pay increase.....	---	---	1,019
Program Base Adjustment.....	---	---	9,618
Total Increases	---	---	10,945
Total Adjustments-to-Base	---	---	10,945
2010 Current Services	342	342	534,318
Program Changes			
Program Increases/(Decreases)			
Fee for Service Activity	---	---	253,294
Tri-Bureau Service Activity	---	---	(23,287)
Government-Wide Mandated Service Activity	2	2	(98)
DHS Crosscutting Activity	---	---	2,709
WCF Management Activity	---	---	---
Total Program Changes	2	2	232,618
2010 Request	344	344	766,936
2009 to 2010 Total Change	2	2	243,564

C. Summary of Requirements

Department of Homeland Security
Working Capital Fund
 Summary of Requirements
 (Dollars in Thousands)

	2010 Request		
	Perm. Pos.	FTE	Amount
FY 2008 Actual	323	323	\$462,937
2009 Enacted	342	342	523,373
Adjustments-to-Base (See "FY 2009 to FY 2010 Budget Change" for details)			
Transfers	---	---	---
Increases	---	---	10,945
Decreases	---	---	---
Total Adjustments-to-Base	---	---	10,945
2010 Current Services	342	342	534,318
Program Changes (See "FY 2009 to FY 2010 Budget Change" for details)	2	2	232,618
2010 Total Request	344	344	766,936
2009 to 2010 Total Change	2	2	243,564

Estimates by Program/Project Activity	2009 Enacted			2010 Adjustments-to-Base			2010 Program Change			2010 Request			2009 to 2010 Total Change		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
1 Fee for Service Activity	322	322	\$411,560	---	---	\$8,679	---	---	\$253,294	322	322	\$673,533	---	---	\$261,973
2 Tri-Bureau Service Activity	2	2	60,060	---	---	1,204	---	---	(23,287)	2	2	37,977	---	---	(22,083)
3 Government-Wide Mandated Service Activity	6	6	37,093	---	---	752	2	2	(98)	8	8	37,747	2	2	654
4 DHS Crosscutting Activity	4	4	13,380	---	---	274	---	---	2,709	4	4	16,363	---	---	2,983
5 WCF Management Activity	8	8	1,280	---	---	36	---	---	---	8	8	1,316	---	---	36
Total	342	342	\$523,373	---	---	\$10,945	2	2	\$232,618	344	344	\$766,936	2	2	\$243,564

D. Summary of Reimbursable Resources

Not Applicable to the Working Capital Fund

E. Summary of Requirements By Object Class

Department of Homeland Security
Working Capital Fund
 Summary of Requirements by Object Class
 (Dollars in Thousands)

Object Classes	FY 2008 Actual	2009 Enacted	2010 Request	2009 - 2010 Change
11.1 Total FTE & personnel compensation	\$24,697	\$32,291	\$33,563	\$1,272
11.3 Other than full-time permanent	178	---	\$0	---
11.5 Other Personnel Compensation	913	556	\$607	51
11.8 Special Service Pay	---	---	\$0	---
12.1 Benefits	6,107	9,618	\$10,113	495
13.0 Benefits - former	---	---	\$0	---
Total, Personnel Comp. & Benefits	\$31,895	\$42,465	\$44,283	\$1,818
Other Object Classes:				
21.0 Travel	240	321	\$329	8
22.0 Transportation of things	28	3	\$3	0
23.1 GSA rent	2,529	57,679	\$65,344	7,665
23.2 Other rent	62	12,042	\$12,112	71
23.3 Communications, utilities, & other misc. charges	14,259	10,757	\$20,337	9,579
24.0 Printing and reproduction	189	88	\$89	2
25.1 Advisory and assistance services	53,107	9,741	\$13,444	3,703
25.2 Other services	22,952	159,232	\$365,631	206,399
25.3 Purchases of goods & svcs. from Gov't accounts	155,434	72,713	\$57,077	(15,636)
25.4 Operation & maintenance of facilities	75	12,623	\$0	(12,623)
25.5 Research and development contracts	---	---	\$0	---
25.6 Medical care	33	---	\$0	---
25.7 Operation and maintenance of equipment	99,814	95,299	\$109,108	13,809
25.8 Subsistence and support of persons	---	---	\$0	---
26.0 Supplies and materials	1,023	1,163	\$1,186	23
31.0 Equipment	81,247	49,159	\$77,993	28,834
41.0 Grants/Subsidies/Contributions	---	88	\$0	(88)
Total, Other Object Classes	\$431,042	\$480,907	\$722,653	\$241,746
Total, Direct Obligations	\$462,937	\$523,373	\$766,936	\$243,564
Unobligated balance, start of year	---	---	---	
Unobligated balance, end of year	---	---	---	
Recoveries of prior year obligations	---	---	---	
Total requirements	\$462,937	\$523,373	\$766,936	

F. Permanent Positions by Grade

**Department of Homeland Security
Working Capital Fund
Permanent Positions by Grade**

Grades and Salary Ranges	2008	2009	2010	2009 to 2010
	Actual Pos.	Enacted Pos.	Request Pos.	Change Total
Total, SES	1	1	1	---
Total, EX	---	---	---	---
GS-15	62	63	92	29
GS-14	164	175	102	(73)
GS-13	69	68	46	(22)
GS-12	13	17	38	21
GS-11	7	10	34	24
GS-10	---	---	---	---
GS-9	6	6	28	22
GS-8	---	---	---	---
GS-7	---	1	3	2
GS-6	---	1	---	(1)
GS-5	---	---	---	---
GS-4	---	---	---	---
GS-3	---	---	---	---
GS-2	---	---	---	---
Other Graded Positions	---	---	---	---
Ungraded Positions	1	---	---	---
Total Permanent Positions	323	342	344	2
Unfilled Positions EOY	---	---	---	---
Total Perm. Employment EOY	---	---	---	---
FTE	323	342	344	2
Headquarters	323	342	344	2
U.S. Field	---	---	---	---
Foreign Field	---	---	---	---
Total Permanent Positions	323	342	344	2
Average ES Salary	\$ 135,773	\$ 137,552	\$ 139,600	\$ 2,048
Average GS Salary	\$ 121,325	\$ 106,331	\$ 100,844	\$ (5,487)
Average GS Grade	13.74	13.74	13.15	(0.59)

G. Capital Investment and Construction Initiative Listing

Not Applicable to the Working Capital Fund

H. PPA Budget Justifications

Not Applicable to the Working Capital Fund

I. Changes In FTE

Department of Homeland Security
Working Capital Fund
Changes in Full-Time Equivalents

	FY 2008	FY 2009	FY 2010
Base: Year-end Actual from Prior Year	278	323	342
INCREASES			
Increase #1:			
Description: Fee For Service Activities	41	11	0
Increase #2:			
Description: Tri-Bureau Activities	2	2	0
Increase #3:			
Description: Government-Wide Activities	2	3	2
Increase #4:			
Description: DHS Cross Cutting Activities	0	3	0
Sub-Total Increases	45	19	2
DECREASES			
Decrease #1:			
Description: N/A			
Sub-Total Decreases	0	0	0
Year-end Actual/Estimated FTEs	323	342	344
Net Change from prior year base to Budget Year Estimate:	45	19	2

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity
1. Program/Project Activity (dollars in thousands)

Fee for Service Activity	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Delta FY 2009 - FY 2010	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
GSA RENT	5	40,299	5	65,957	5	75,606	-	9,649
FEDLINK/(Library of Congress)	3	10,869	4	11,085	4	11,203	-	119
Financial Management (Finance & Acctg Shared Services)	-	29,176	-	26,413	-	30,085	-	3,672
Financial Statement Audit	-	13,212	-	14,591	-	15,552	-	961
Internal Control Audit	-	1,129	-	2,223	-	4,935	-	2,712
Financial Management	4	3,338	13	4,170	13	4,267	-	97
Bankcard Program	-	527	-	532	-	532	-	-
TIER	-	561	-	708	-	722	-	14
NFC Payroll Services & Reporting	-	30,710	-	32,344	-	36,461	-	4,117
HQ Human Capital	4	13,915	4	8,825	4	14,324	-	5,498
HCBS/Payroll Service Ops	24	7,227	24	7,618	24	7,809	-	191
Flexible Spending Plan	-	1,362	-	1,600	-	2,128	-	528
DHS Executive Leadership Development/Secretary's Leadership Conference	-	892	2	992	2	973	-	(19)
HQ Executive Leadership Development (TEI; SES FORUM and General Workforce Trng)	1	292	-	300	-	306	-	6
Employee Assistance Program	-	38	-	60	-	61	-	1
CIO/DHS Infrastructure Transf Pgm	10	50,455	10	51,602	10	52,649	-	1,047
NCR Infrastructure Operations	9	93,635	9	113,868	9	121,315	-	7,448
- Software Enterprise Licenses - Microsoft	1	21,129	1	21,658	1	46,474	-	24,816
Procurement Operations	250	43,935	250	47,016	250	48,131	-	1,115
Data Center Consolidation						200,000		200,000
Sub-Total	311	362,702	322	411,560	322	673,533	-	261,973
	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Delta FY 2009 - FY 2010	
Tri-Bureau Service Activity	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Tri-bureau Human Resources Shared Services	-	22,859	-	22,831	-		-	(22,831)
IT Services from DOJ	2	37,119	2	37,230	2	37,977	-	748
Sub-Total	2	59,978	2	60,060	2	37,977	-	(22,083)

	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Delta FY 2009 - FY 2010	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Government-wide Mandated Service Activity								
Interagency Council Funding	-	555	-	731	-	600	-	(131)
Recruitment One-Stop	-	1,101	-	1,102	-	1,191	-	90
e-Training	3	5,701	6	13,318	8	13,721	2	403
Enterprise HR Integration	-	2,724	-	3,689	-	3,763	-	74
Business Gateway	-	435	-	108	-	110	-	2
e-Rulemaking	-	735	-	750	-	765	-	15
e-Travel	-	-	-	567	-	578	-	11
Case Management Line of Business	-	-	-	515	-	525	-	10
e-Grants.gov	-	596	-	607	-	620	-	12
e-Authentication	-	-	-	65	-	66	-	1
Human Resources Line of Business	-	261	-	261	-	266	-	5
e-govBenefits	-	134	-	379	-	387	-	8
Financial Management Line of Business	-	143	-	143	-	286	-	143
Geospatial Line of Business	-	-	-	64	-	65	-	1
IT Infrastructure Line of Business	-	-	-	160	-	320	-	160
Budget Formulation and Execution LoB	-	-	-	95	-	97	-	2
IAE Loans & Grants	-	190	-	-	-	192	-	192
e-gov.Integrated Acquisition Environment	-	1,733	-	2,271	-	1,680	-	(590)
e-gov. Disaster Management (DisasterHelp.gov)	-	12,270	-	12,270	-	12,515	-	245
Sub-Total	3	26,578	6	37,093	8	37,747	2	654
	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Delta FY 2009 - FY 2010	
DHS Crosscutting Activity	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Capital Planning and Investment Control (CPIC)	-	5,193	-	5,297	-	7,697	-	2,400
Ready Campaign (Ready.gov)	-	619	-	631	-	644	-	13
Strategic Sourcing	-	2,566	-	2,728	-	2,755	-	27
CPO Shared Reporting	1	4,400	4	4,724	4	5,267	-	543
Sub-Total	1	12,778	4	13,380	4	16,363	-	2,983
	FY 2008 Actual		FY 2009 Enacted		FY 2010 Request		Delta FY 2009 - FY 2010	
Working Capital Fund Operations	6	901	8	1,280	8	1,316	-	36
Sub-Total	6	901	8	1,280	8	1,316	-	36
Grand Totals	323	462,937	342	523,373	344	766,936	2	243,564

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity
2. FY 2008 Summary of Assessments

Fee for Service Activities	CBP	FLETC	ICE	TSA	FEMA	NPPD
GSA RENT	0	0	0	0	0	3,023,936
Consolidated Subscriptions (Library of Congress)	2,829,880	180,830	2,311,309	460,563	252,765	44,504
Financial Management (Finance & Acctg Shared Services)	0	0	0	0	0	3,235,598
Financial Statement Audit	2,683,754	716,753	1,661,128	1,592,798	2,980,937	52,574
Financial Management (DOB)	0	0	0	0	0	0
Bankcard Program	232,283	10,296	101,421	74,419	45,052	2,800
TIER	40,086	40,086	40,086	40,086	40,086	40,086
Internal Control Audit	0	0	108,590	154,561	210,066	0
NFC Payroll Services & Reporting	8,342,041	211,165	3,072,513	12,413,401	1,711,581	63,309
HQ Human Capital Services	0	0	0	0	213,127	2,248,359
(HCBS) Payroll Service Ops	2,316,058	50,040	833,048	2,393,434	317,278	25,951
Flexible Spending Plan	363,973	14,871	197,733	324,288	72,316	6,491
DHS EXEC. LEAD. (SES CDP, Sec Conf)	119,945	10,240	62,899	219,412	85,571	22,098
HQ Executive Lead. Dev (TEI, SES Forum, Gen. Wkfrce Trng)	0	0	0	0	0	38,318
Employee Assistance Program	0	0	0	0	0	6,664
CIO/DHS Infrastructure Transf Pgm	13,269,696	353,186	4,288,685	8,880,101	2,320,935	252,276
NCR Infrastructure Operations	0	0	0	0	7,972,748	16,310,177
Software Enterprise Licenses - Microsoft	5,208,061	342,904	3,054,380	2,149,406	1,322,644	22,507
SMARTCARD	0	0	0	0	0	0
Procurement Operations	0	0	0	0	1,321,547	8,244,226
Board of Contract Appeals	0	0	0	0	0	0
Sub-Total	35,405,777	1,930,371	15,731,792	28,702,469	18,866,653	33,639,874
Tri-Bureau Activities	CBP	FLETC	ICE	TSA	FEMA	NPPD
Tri-Bureau Human Recourses Shared Services	0	0	15,160,608	0	0	0
Data Center Services from DOJ	0	0	17,473,027	0	0	0
Sub-Total	0	0	32,633,635	0	0	0
Government-wide Mandated Service Activities	CBP	FLETC	ICE	TSA	FEMA	NPPD
Interagency Council Funding	176,362	4,595	70,250	219,535	10,893	2,383
Recruitment One-Stop	352,840	7,623	126,911	364,627	48,336	3,953
e-Training	992,580	305,462	1,066,106	1,353,691	727,439	30,340
Enterprise HR Integration (EHR)	872,890	18,860	313,964	902,051	119,577	9,780
Business Gateway	126,650	3,790	60,052	53,387	9,619	8,422
e-Rulemaking	213,995	6,404	101,467	90,205	16,252	14,231
e-Travel	0	0	0	0	0	0
Case Management Line of Business	0	0	0	0	0	0
e-Grants.gov	0	0	1,023	20,803	509,739	0
e-Authentication	24	1	8	26	3	0
Human Resources Line of Business	83,587	1,806	30,065	86,380	11,451	937
e-govBenefits	43,061	930	15,488	44,507	5,899	573
Financial Management Line of Business	41,591	1,245	19,722	17,533	3,159	2,766
e-gov.Integrated Acquisition Environment	193,134	49,534	178,646	109,103	385,101	0
e-gov. Disaster Management (DisasterHelp.gov)	1,015,976	0	1,015,976	1,055,052	5,444,882	0
IAE Loans & Grants	19,643	4,920	18,161	11,626	39,535	0
Sub-Total	4,132,333	405,170	3,017,839	4,328,526	7,331,885	73,385
DHS Crosscutting Activities	CBP	FLETC	ICE	TSA	FEMA	NPPD
Capital Planning and Investment Control (CPIC)	867,307	56,647	210,282	797,785	505,106	604,238
Ready Campaign (Ready.gov)	179,788	5,380	85,248	75,786	13,654	11,956
Strategic Sourcing	757,055	179,640	282,292	923,864	25,663	0
CPO Shared Reporting	101,891	468,606	1,062,961	60,039	1,180,186	0
Sub-Total	1,906,041	710,273	1,640,783	1,857,474	1,724,609	616,194
WCF Management Activity	CBP	FLETC	ICE	TSA	FEMA	NPPD
Working Capital Fund Operations	75,072	4,841	112,785	65,981	23,461	75,957
Sub-Total	75,072	4,841	112,785	65,981	23,461	75,957
Totals	CBP	FLETC	ICE	TSA	FEMA	NPPD
FY08 WCF Actual Total	41,519,223	3,050,655	53,136,834	34,954,450	27,946,608	34,405,410

Fee for Service Activities	OHA	Operations Coord & Intel & Analysis	OIG	S&T	DNDO	USCG
GSA RENT	2,083,738	7,687,258	0	949,437	2,893,025	0
Consolidated Subscriptions (Library of Congress)	3,459	288,688	109,784	257,829	85,472	513,372
Financial Management (Finance & Acctg Shared Services)	339,362	1,297,000	0	4,217,969	0	0
Financial Statement Audit	97,774	40,963	48,887	28,634	0	2,651,700
Financial Management (DOB)	110,800	0	0	0	0	0
Bankcard Program	0	2,306	0	2,734	0	0
TIER	0	40,087	40,086	40,086	0	40,086
Internal Control Audit	40,000	0	0	40,000	0	242,816
NFC Payroll Services & Reporting	0	53,710	92,515	30,429	1,225	1,438,128
HQ Human Capital Services (HCBS) Payroll Service Ops	214,319	1,815,370	0	1,657,150	520,734	0
Flexible Spending Plan	0	24,710	26,285	18,175	5,772	311,314
DHS EXEC. LEAD. (SES CDP, Sec Conf)	3,501	21,942	14,627	46,808	13,165	17,553
HQ Executive Lead. Dev (TEI, SES Forum, Gen. Wkfrce Trng)	4,258	35,479	0	45,414	12,773	0
Employee Assistance Program	590	6,232	0	4,584	1,456	0
CIO/DHS Infrastructure Transf Pgm	0	1,160,468	302,731	1,110,013	0	6,861,896
NCR Infrastructure Operations	2,178,216	20,733,345	0	12,871,273	3,863,485	0
Software Enterprise Licenses - Microsoft	1,084	39,252	111,040	199,454	0	5,756,310
SMARTCARD	0	0	0	0	0	0
Procurement Operations	298,480	3,481,458	0	10,430,427	4,328,682	0
Board of Contract Appeals	0	0	0	0	0	0
Sub-Total	5,377,919	36,728,268	763,305	31,959,105	11,728,388	17,930,010
Tri-Bureau Activities	OHA	Operations Coord & Intel & Analysis	OIG	S&T	DNDO	USCG
Tri-Bureau Human Recourses Shared Services	0	0	0	0	0	0
Data Center Services from DOJ	0	0	0	0	0	0
Sub-Total	0	0	0	0	0	0
Government-wide Mandated Service Activities	OHA	Operations Coord & Intel & Analysis	OIG	S&T	DNDO	USCG
Interagency Council Funding	215	2,269	2,413	1,669	530	28,584
Recruitment One-Stop	356	3,765	4,004	2,769	879	47,427
e-Training	4,802	21,969	10,598	20,332	757	203,828
Enterprise HR Integration (EHR)	881	9,313	9,906	6,850	2,175	117,330
Business Gateway	1,699	4,534	1,428	11,513	8,096	104,775
e-Rulemaking	2,871	7,661	2,413	19,454	13,679	177,037
e-Travel	0	0	0	0	0	0
Case Management Line of Business	0	0	0	0	0	0
e-Grants.gov	51,140	3,403	0	2,164	0	6,653
e-Authentication	0	0	0	0	0	3
Human Resources Line of Business	84	892	949	656	208	11,235
e-govBenefits	43	459	489	338	107	5,788
Financial Management Line of Business	558	1,489	469	3,781	2,659	34,410
e-gov.Integrated Acquisition Environment	0	0	0	0	0	491,723
e-gov. Disaster Management (DisasterHelp.gov)	299,291	625,216	0	195,380	0	1,797,495
IAE Loans & Grants	0	0	0	0	0	63,185
Sub-Total	361,940	680,970	32,669	264,906	29,090	3,089,473
DHS Crosscutting Activities	OHA	Operations Coord & Intel & Analysis	OIG	S&T	DNDO	USCG
Capital Planning and Investment Control (CPIC)	0	135,611	3,433	137,756	85,830	650,587
Ready Campaign (Ready.gov)	2,412	6,436	2,027	16,344	11,492	148,738
Strategic Sourcing	0	0	6,416	5,133	0	102,652
CPO Shared Reporting	0	0	0	0	0	237,467
Sub-Total	2,412	142,047	11,876	159,233	97,322	1,139,444
WCF Management Activity	OHA	Operations Coord & Intel & Analysis	OIG	S&T	DNDO	USCG
Working Capital Fund Operations	8,005	82,602	1,281	60,032	20,947	42,390
Sub-Total	8,005	82,602	1,281	60,032	20,947	42,390
Totals	OHA	Operations Coord & Intel & Analysis	OIG	S&T	DNDO	USCG
FY08 WCF Actual Total	5,750,276	37,633,887	809,131	32,443,276	11,875,747	22,201,317

Fee for Service Activities	USCIS	USSS	US VISIT	USM/OSEM	Chief Financial Officer	Chief Information Officer	Total
GSA RENT	0	0	0	18,816,620	584,419	4,260,482	40,298,915
Consolidated Subscriptions (Library of Congress)	2,021,072	174,637	15,472	1,220,537	93,433	5,713	10,869,319
Financial Management (Finance & Acctg Shared Services)	11,922,492	0	2,993,232	3,567,740	178,838	1,423,613	29,175,844
Financial Statement Audit	447,785	117,969	52,574	18,216	1,204	18,402	13,212,052
Financial Management (DOB)	0	0	0	2,733,798	280,389	212,553	3,337,540
Bankcard Program	30,265	17,379	656	6,999	0	0	526,610
TIER	40,086	40,086	40,086	0	0	40,087	561,206
Internal Control Audit	21,274	0	0	40,000	272,000	0	1,129,307
NFC Payroll Services & Reporting	1,775,706	1,320,292	17,563	141,114	12,866	12,458	30,710,016
HQ Human Capital Services	0	0	351,802	6,082,795	588,027	223,540	13,915,223
(HCBS) Payroll Service Ops	511,097	319,614	4,866	56,719	5,916	4,484	7,227,099
Flexible Spending Plan	119,845	93,891	0	39,898	1,901	1,441	1,362,121
DHS EXEC. LEAD. (SES CDP, Sec Conf)	43,882	62,900	5,851	119,948	11,694	10,241	892,277
HQ Executive Lead. Dev (TEI, SES Forum, Gen. Wkfrce Trng)	0	0	8,515	126,307	9,933	11,353	292,350
Employee Assistance Program	0	0	1,228	14,593	1,492	1,131	37,970
CIO/DHS Infrastructure Transf Pgm	4,843,691	1,261,378	0	0	0	5,550,063	50,455,119
NCR Infrastructure Operations	0	0	0	8,767,754	702,983	20,235,002	93,634,983
Software Enterprise Licenses - Microsoft	1,862,852	1,052,966	0	0	0	6,334	21,129,194
SMARTCARD	0	0	0	0	0	0	0
Procurement Operations	1,195,897	0	4,517,071	2,977,873	889,828	6,249,280	43,934,769
Board of Contract Appeals	0	0	0	0	0	0	0
Sub-Total	24,835,944	4,461,112	8,008,916	44,730,911	3,675,010	38,226,090	362,701,914
Tri-Bureau Activities	USCIS	USSS	US VISIT	USM/OSEM	Chief Financial Officer	Chief Information Officer	Total
Tri-Bureau Human Recourses Shared Services	7,697,898	0	0	0	0	0	22,858,506
Data Center Services from DOJ	12,044,793	0	7,302,751	298,766	0	0	37,119,337
Sub-Total	19,742,691	0	7,302,751	298,766	0	0	59,977,843
Government-wide Mandated Service Activities	USCIS	USSS	US VISIT	USM/OSEM	Chief Financial Officer	Chief Information Officer	Total
Interagency Council Funding	1,117	29,345	447	3,899	543	412	555,461
Recruitment One-Stop	77,863	48,691	741	8,814	901	683	1,101,183
e-Training	729,151	153,072	5,555	66,017	4,737	4,245	5,700,681.00
Enterprise HR Integration (EHR)	192,625	120,458	1,834	21,811	2,229	1,690	2,724,224
Business Gateway	432	20,157	6,656	9,554	473	3,763	435,000
e-Rulemaking	730	34,058	11,247	16,140	798	6,358	735,000
e-Travel	0	0	0	0	0	0	0
Case Management Line of Business	0	0	0	0	0	0	0
e-Grants.gov	0	420	0	158	0	0	595,503
e-Authentication	5	3	0	0	0	0	73
Human Resources Line of Business	18,445	11,535	176	2,089	213	162	260,870
e-govBenefits	9,502	5,942	90	1,076	110	83	134,485
Financial Management Line of Business	142	6,620	2,186	3,137	155	1,235	142,857
e-gov.Integrated Acquisition Environment	53,746	29,608	0	241,975	0	0	1,732,570
e-gov. Disaster Management (DisasterHelp.gov)	507,988	273,532	0	39,076	0	0	12,269,864
IAE Loans & Grants	4,654	2,907	0	25,342	0	0	189,973
Sub-Total	1,596,400	736,348	28,932	439,088	10,159	18,631	26,577,744
DHS Crosscutting Activities	USCIS	USSS	US VISIT	USM/OSEM	Chief Financial Officer	Chief Information Officer	Total
Capital Planning and Investment Control (CPIC)	489,228	46,348	44,631	128,742	42,914	386,232	5,192,677
Ready Campaign (Ready.gov)	614	28,613	9,449	14,585	671	5,340	618,533
Strategic Sourcing	179,640	102,652	1,283	0	0	0	2,566,290
CPO Shared Reporting	122,431	14,369	0	1,152,205	0	0	4,400,155
Sub-Total	791,913	191,982	55,363	1,295,532	43,585	391,572	12,777,655
WCF Management Activity	USCIS	USSS	US VISIT	USM/OSEM	Chief Financial Officer	Chief Information Officer	Total
Working Capital Fund Operations	82,185	9,904	26,085	93,517	8,154	108,294	901,493
Sub-Total	82,185	9,904	26,085	93,517	8,154	108,294	901,493
Totals	USCIS	USSS	US VISIT	USM/OSEM	Chief Financial Officer	Chief Information Officer	Total
FY08 WCF Actual Total	47,049,133	5,399,346	15,422,047	46,857,814	3,736,908	38,744,587	462,936,649

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity
3. FY 2009 Summary of Assessments

Fee for Service Activity	CBP	FLETC	ICE	TSA	FEMA
GSA RENT	0	0	294,718	0	0
Consolidated Subscriptions (Library of Congress)	2,972,502	153,868	2,408,611	496,700	241,940
Financial Management (Finance & Acctg Shared Services)	0	0	0	0	0
Financial Statement Audit	2,530,376	769,977	1,748,977	1,585,516	2,233,610
Financial Management DOB	0	0	0	0	0
Bankcard Program	234,486	10,394	102,383	75,124	44,576
TIER	50,563	50,563	50,563	50,563	50,563
Internal Control Audit	48,760	0	280,900	279,840	415,520
NFC Payroll Services & Reporting	7,602,334	258,667	4,306,105	12,371,884	1,640,033
HQ Human Capital Services	0	0	0	0	0
(HCBS) Payroll Service Ops	2,937,144	63,461	1,056,443	1,582,847	402,360
Flexible Spending Plan	537,314	11,609	188,017	554,711	27,524
DHS EXEC. LEAD. (SES CDP, Sec Conf)	136,320	11,243	84,322	217,831	85,727
HQ Executive Lead. Dev (TEI, SES Forum, Gen. Wkfrce Trng)	0	0	0	0	0
Employee Assistance Program	0	0	0	0	0
CIO/DHS Infrastructure Transf Pgm	13,844,763	376,693	4,639,002	7,760,911	2,445,925
NCR Infrastructure Operations	0	0	0	0	0
Software Enterprise Licenses - Microsoft	5,338,454	351,488	3,130,851	2,203,219	1,355,759
Procurement Operations	0	0	0	0	0
Sub-Total	36,233,015	2,057,963	18,290,892	27,179,146	8,943,535
Tri-Bureau Service Activity	CBP	FLETC	ICE	TSA	FEMA
Tri-Bureau Human Resources Shared Services	0	0	16,713,186	0	0
Data Center Services from DOJ	0	0	22,653,972	0	0
Sub-Total	0	0	39,367,158	0	0
Government-wide Mandated Service Activity	CBP	FLETC	ICE	TSA	FEMA
Interagency Council Funding	226,733	4,898	106,546	82,575	14,878
Recruitment One-Stop	371,330	8,023	129,936	383,353	19,021
e-Training	4,494,323	97,105	1,572,657	4,639,842	230,219
Enterprise HR Integration (EHR)	1,238,916	26,768	433,522	1,279,030	63,463
Business Gateway	33,617	726	15,797	12,243	2,206
e-Rulemaking	232,685	5,027	109,343	84,743	15,268
e-Travel	181,432	3,920	65,258	187,494	24,854
Case Management Line of Business	197,954	0	254,328	0	0
e-Grants.gov	0	0	1,044	21,219	27,256
e-Authentication	21,830	472	7,639	22,536	1,118
Human Resources Line of Business	87,606	1,893	30,655	90,442	4,488
e-govBenefits	127,350	2,752	44,563	131,474	6,523
Financial Management Line of Business	44,407	959	20,867	16,173	2,914
Geospatial Line of Business	19,820	428	9,314	7,218	1,301
IT Infrastructure Line of Business	49,659	1,073	23,336	18,086	3,259
Budget Formulation and Execution Line of Business	29,485	637	13,856	10,738	1,935
e-gov.Integrated Acquisition Environment	225,724	62,194	236,643	220,764	508,257
e-gov. Disaster Management (DisasterHelp.gov)	1,015,987	0	1,015,987	1,055,064	2,618,121
Sub-Total	8,598,858	216,875	4,091,291	8,262,994	3,545,081
DHS Crosscutting Activity	CBP	FLETC	ICE	TSA	FEMA
Capital Planning and Investment Control (CPIC)	741,563	169,145	285,590	782,856	473,162
Ready Campaign (Ready.gov)	195,814	4,230	92,017	71,315	12,849
Strategic Sourcing	804,713	190,949	300,062	982,022	27,278
CPO Shared Reporting	72,971	222,918	994,914	70,928	1,456,876
Sub-Total	1,815,061	587,242	1,672,583	1,907,121	1,970,165
WCF Management Activity	CBP	FLETC	ICE	TSA	FEMA
Working Capital Fund Operations	112,139	6,955	159,657	89,651	35,125
Sub-Total	112,139	6,955	159,657	89,651	35,125
FY 2009 WCF Total	\$46,759,073	\$2,869,035	\$63,581,581	\$37,438,913	\$14,493,906

Fee for Service Activity	G & T	USFA	REPP	NPPD	OHA
GSA RENT	0	0	0	4,293,547	2,954,179
Consolidated Subscriptions (Library of Congress)	0	0	0	36,529	0
Financial Management (Finance & Acctg Shared Services)	0	0		2,912,038	305,425
Financial Statement Audit	0	0	0	69,709	0
Financial Management DOB	0	0	0	0	284,510
Bankcard Program	636	267		2,827	0
TIER	0	0	0	50,563	0
Internal Control Audit	0	0	0	0	0
NFC Payroll Services & Reporting	0	0	0	134,142	12,083
HQ Human Capital Services	0	0	0	1,529,332	137,752
(HCBS) Payroll Service Ops	0	0	0	33,162	2,987
Flexible Spending Plan	0	0	0	6,020	542
DHS EXEC. LEAD. (SES CDP, Sec Conf)	0	0	0	37,945	4,216
HQ Executive Lead. Dev (TEI, SES Forum, Gen. Wkfrce Trng)	0	0	0	39,320	4,369
Employee Assistance Program	0	0	0	10,342	932
CIO/DHS Infrastructure Transf Pgm	0	0	0	258,009	0
NCR Infrastructure Operations	0	8,875,391	0	19,328,629	4,437,695
Software Enterprise Licenses - Microsoft	0	0	0	23,070	1,111
Procurement Operations	0	0	0	9,983,718	1,176,529
Sub-Total	636	8,875,658	0	38,748,901	9,322,330
Tri-Bureau Service Activity	G & T	USFA	REPP	NPPD	OHA
Tri-Bureau Human Resources Shared Services	0	0	0	0	0
Data Center Services from DOJ	0	0	0	0	0
Sub-Total	0	0	0	0	0
Government-wide Mandated Service Activity	G & T	USFA	REPP	NPPD	OHA
Interagency Council Funding	0	0	0	13,027	2,628
Recruitment One-Stop	0	0	0	4,161	375
e-Training	0	0	0	50,358	4,536
Enterprise HR Integration (EHR)	0	0	0	13,882	1,250
Business Gateway	0	0	0	1,931	390
e-Rulemaking	0	0	0	13,370	2,697
e-Travel	0	0	0	2,414	183
Case Management Line of Business	0	0	0	0	0
e-Grants.gov	0	0	0	544,841	0
e-Authentication	0	0	0	245	22
Human Resources Line of Business	0	0	0	982	88
e-govBenefits	0	0	0	1,427	129
Financial Management Line of Business	0	0	0	2,551	515
Geospatial Line of Business	0	0	0	1,139	230
IT Infrastructure Line of Business	0	0	0	2,853	576
Budget Formulation and Execution Line of Business	0	0	0	1,694	342
e-gov.Integrated Acquisition Environment	0	0	0	0	0
e-gov. Disaster Management (DisasterHelp.gov)	0	0	0	3,126,115	0
Sub-Total	0	0	0	3,780,990	13,961
DHS Crosscutting Activity	G & T	USFA	REPP	NPPD	OHA
Capital Planning and Investment Control (CPIC)	0	0	0	688,193	0
Ready Campaign (Ready.gov)	0	0	0	11,251	2,270
Strategic Sourcing	0	0	0	0	0
CPO Shared Reporting	0	0	0	0	0
Sub-Total	0	0	0	699,444	2,270
WCF Management Activity	G & T	USFA	REPP	NPPD	OHA
Working Capital Fund Operations	10,814	2	41	109,032	12,018
Sub-Total	10,814	2	41	109,032	12,018
FY 2009 WCF Total	\$11,450	\$8,875,660	\$41	\$43,338,367	\$9,350,579

Fee for Service Activity	Operations Coord & Intel & Analysis	IG	S&T	DNDO	USCG
GSA RENT	12,270,755	1,800,000	3,823,991	4,081,992	0
Consolidated Subscriptions (Library of Congress)	307,234	112,132	278,057	87,290	527,094
Financial Management (Finance & Acctg Shared Services)	1,322,091	0	3,796,172	0	0
Financial Statement Audit	0	114,962	118,418	0	3,560,932
Financial Management DOB	0	0	0	0	0
Bankcard Program	2,329	0	2,759	0	0
TIER	50,563	50,563	50,563	0	50,563
Internal Control Audit	0	0	0	0	760,020
NFC Payroll Services & Reporting	127,731.00	86,278	93,949	29,837	1,609,210
HQ Human Capital Services	1,456,239	0	1,071,094	340,164	0
(HCBS) Payroll Service Ops	31,577	17,383	23,226	7,376	394,797
Flexible Spending Plan	5,733	6,098	4,217	1,339	72,223
DHS EXEC. LEAD. (SES CDP, Sec Conf)	35,134	16,864	44,972	12,648	19,675
HQ Executive Lead. Dev (TEL, SES Forum, Gen. Wkfrce Trng)	36,408	0	46,602	13,107	0
Employee Assistance Program	9,848	0	7,243	2,300	0
CIO/DHS Infrastructure Transf Pgm	36,121	314,771	1,274,564	0	7,606,105
NCR Infrastructure Operations	18,145,243	0	13,668,102	4,930,773	0
Software Enterprise Licenses - Microsoft	40,235	113,820	204,447	0	5,900,430
Procurement Operations	3,963,824	0	10,416,753	2,522,761	0
Sub-Total	37,841,064	2,632,870	34,925,129	12,029,588	20,501,049
Tri-Bureau Service Activity	Operations Coord & Intel & Analysis	IG	S&T	DNDO	USCG
Tri-Bureau Human Resources Shared Services	0	0	0	0	0
Data Center Services from DOJ	0	0	0	0	0
Sub-Total	0	0	0	0	0
Government-wide Mandated Service Activity	Operations Coord & Intel & Analysis	IG	S&T	DNDO	USCG
Interagency Council Funding	7,013	2,209	17,808	12,522	169,153
Recruitment One-Stop	3,962	0	2,914	925	49,912
e-Training	47,951	0	35,269	11,201	589,943
Enterprise HR Integration (EHR)	13,218	14,060	9,722	3,088	166,529
Business Gateway	1,041	327	2,640	1,857	25,080
e-Rulemaking	7,197	2,267	18,276	12,851	173,594
e-Travel	1,936	2,059	1,424	452	24,387
Case Management Line of Business	0	0	0	0	13,720
e-Grants.gov	3,471	0	2,207	0	6,786
e-Authentication	233	248	171	54	2,934
Human Resources Line of Business	935	994	687	218	11,776
e-govBenefits	1,359	1,445	999	317	17,118
Financial Management Line of Business	1,373	433	3,488	2,453	33,129
Geospatial Line of Business	613	193	1,557	1,095	14,787
IT Infrastructure Line of Business	1,536	484	3,900	2,743	37,048
Budget Formulation and Execution Line of Business	912	287	2,316	1,628	21,997
e-gov.Integrated Acquisition Environment	0	0	0	0	611,537
e-gov. Disaster Management (DisasterHelp.gov)	625,223	0	195,382	0	1,797,516
Sub-Total	717,973	25,006	298,760	51,405	3,766,947
DHS Crosscutting Activity	Operations Coord & Intel & Analysis	IG	S&T	DNDO	USCG
Capital Planning and Investment Control (CPIC)	163,467	3,974	172,035	154,847	576,393
Ready Campaign (Ready.gov)	6,056	1,908	15,380	10,815	146,087
Strategic Sourcing	0	6,820	5,456	0	109,114
CPO Shared Reporting	0	0	0	0	198,622
Sub-Total	169,523	12,702	192,871	165,662	1,030,216
WCF Management Activity	Operations Coord & Intel & Analysis	IG	S&T	DNDO	USCG
Working Capital Fund Operations	104,194	6,440	87,867	29,015	61,272
Sub-Total	104,194	6,440	87,867	29,015	61,272
FY 2009 WCF Total	\$38,832,754	\$2,677,018	\$35,504,627	\$12,275,669	\$25,359,484

Fee for Service Activity	USCIS	USSS	US VISIT	Office of the Undersecretary (USM)
GSA RENT	0	0	0	18,793,739
Consolidated Subscriptions (Library of Congress)	2,090,511	147,758	15,999	553,979
Financial Management (Finance & Acctg Shared Services)	10,730,242	0	2,693,908	2,062,386
Financial Statement Audit	900,294	114,111	0	508,470
Financial Management DOB	0	0	0	1,886,948
Bankcard Program	30,552	17,543	663	6,639
TIER	50,563	50,563	50,563	0
Internal Control Audit	0	0	0	0
NFC Payroll Services & Reporting	2,641,906	1,049,116	25,152	174,333
HQ Human Capital Services	0	0	286,750	1,940,565
(HCBS) Payroll Service Ops	648,154	324,217	6,218	41,635
Flexible Spending Plan	93,428	74,149	1,129	7,824
DHS EXEC. LEAD. (SES CDP, Sec Conf)	64,647	66,052	8,432	36,539
HQ Executive Lead. Dev (TEI, SES Forum, Gen. Wkfrce Trng)	0	0	8,738	37,864
Employee Assistance Program	0	0	1,939	13,441
CIO/DHS Infrastructure Transf Pgm	5,098,258	1,336,487	0	0
NCR Infrastructure Operations	0	0	0	13,929,502
Software Enterprise Licenses - Microsoft	1,909,491	1,079,328	0	0
Procurement Operations	2,625,875	0	3,778,770	2,863,015
Sub-Total	26,883,921	4,259,324	6,878,261	42,856,881
Tri-Bureau Service Activity	USCIS	USSS	US VISIT	Office of the Undersecretary (USM)
Tri-Bureau Human Resources Shared Services	6,117,444	0	0	0
Data Center Services from DOJ	10,774,736	0	2,898,517	0
Sub-Total	16,892,180	0	2,898,517	0
Government-wide Mandated Service Activity	USCIS	USSS	US VISIT	Office of the Undersecretary (USM)
Interagency Council Funding	4,056	35,857	8,078	13,586
Recruitment One-Stop	64,566	51,243	780	5,407
e-Training	781,469	620,213	9,442	65,170
Enterprise HR Integration (EHR)	215,421	170,969	2,603	18,044
Business Gateway	601	5,316	1,198	1,848
e-Rulemaking	4,162	36,798	8,290	13,943
e-Travel	40,038	25,038	381	2,645
Case Management Line of Business	0	48,998	0	0
e-Grants.gov	0	428	0	0
e-Authentication	3,796	3,012	46	320
Human Resources Line of Business	15,233	12,090	184	1,273
e-govBenefits	22,144	17,574	268	1,832
Financial Management Line of Business	794	7,023	1,582	2,444
Geospatial Line of Business	355	3,135	706	1,187
IT Infrastructure Line of Business	888	7,853	1,769	2,976
Budget Formulation and Execution Line of Business	527	4,663	1,051	1,766
e-gov.Integrated Acquisition Environment	63,030	37,142	0	305,229
e-gov. Disaster Management (DisasterHelp.gov)	507,994	273,535	0	39,076
Sub-Total	1,725,074	1,360,887	36,378	476,746
DHS Crosscutting Activity	USCIS	USSS	US VISIT	Office of the Undersecretary (USM)
Capital Planning and Investment Control (CPIC)	473,162	60,236	60,184	51,616
Ready Campaign (Ready.gov)	3,503	30,967	6,977	11,733
Strategic Sourcing	190,949	109,114	1,364	0
CPO Shared Reporting	117,785	12,037	0	1,576,949
Sub-Total	785,398	212,353	68,525	1,640,298
WCF Management Activity	USCIS	USSS	US VISIT	Office of the Undersecretary (USM)
Working Capital Fund Operations	125,164	13,892	35,649	95,980
Sub-Total	125,164	13,892	35,649	95,980
FY 2009 WCF Total	\$46,411,738	\$5,846,457	\$9,917,330	\$45,069,905

Fee for Service Activity	OSEM	Chief Financial Officer	Chief Information Officer	Total
GSA RENT	9,319,194	2,218,666	6,106,358	65,957,140
Consolidated Subscriptions (Library of Congress)	559,729	84,209	10,362	11,084,504
Financial Management (Finance & Acctg Shared Services)	695,916	211,472	1,683,393	26,413,043
Financial Statement Audit	90,029	27,358	217,776	14,590,514
Financial Management DOB	1,405,000	337,636	255,950	4,170,044
Bankcard Program	425	0	0	531,603
TIER	0	50,569	0	707,888
Internal Control Audit	0	437,780	0	2,222,820
NFC Payroll Services & Reporting	127,239	30,576	23,179	32,343,754
HQ Human Capital Services	1,450,616	348,598	264,260	8,825,369
(HCBS) Payroll Service Ops	31,455	7,559	5,730	7,617,730
Flexible Spending Plan	5,711	1,372	1,040	1,600,000
DHS EXEC. LEAD. (SES CDP, Sec Conf)	87,132	11,243	11,243	992,186
HQ Executive Lead. Dev (TEI, SES Forum, Gen. Wkfrce Trng)	90,291	11,650	11,650	300,000
Employee Assistance Program	9,810	2,357	1,787	60,000
CIO/DHS Infrastructure Transf Pgm	0	0	6,610,191	51,601,800
NCR Infrastructure Operations	5,187,173	1,005,878	24,359,224	113,867,609
Software Enterprise Licenses - Microsoft	0	0	6,492	21,658,196
Procurement Operations	492,347	1,333,125	7,859,283	47,016,000
Sub-Total	19,552,068	6,120,048	47,427,919	411,560,199
Tri-Bureau Service Activity	OSEM	Chief Financial Officer	Chief Information Officer	Total
Tri-Bureau Human Resources Shared Services	0	0	0	22,830,630
Data Center Services from DOJ	902,328	0	0	37,229,553
Sub-Total	902,328	0	0	60,060,183
Government-wide Mandated Service Activity	OSEM	Chief Financial Officer	Chief Information Officer	Total
Interagency Council Funding	2,405	731	5,819	730,522
Recruitment One-Stop	3,946	948	719	1,101,523
e-Training	47,764	11,479	8,701	13,317,642
Enterprise HR Integration (EHR)	13,165	3,164	2,399	3,689,213
Business Gateway	357	108	863	108,146
e-Rulemaking	2,468	750	5,971	749,700
e-Travel	1,928	463	351	566,657
Case Management Line of Business	0	0	0	515,000
e-Grants.gov	161	0	0	607,413
e-Authentication	230	53	41	65,000
Human Resources Line of Business	932	224	170	260,870
e-govBenefits	1,354	325	247	379,200
Financial Management Line of Business	472	143	1,137	142,857
Geospatial Line of Business	209	64	509	63,860
IT Infrastructure Line of Business	527	160	1,274	160,000
Budget Formulation and Execution Line of Business	314	95	757	95,000
e-gov.Integrated Acquisition Environment	0	0	0	2,270,520
e-gov. Disaster Management (DisasterHelp.gov)	0	0	0	12,270,000
Sub-Total	76,233	18,707	28,958	37,093,123
DHS Crosscutting Activity	OSEM	Chief Financial Officer	Chief Information Officer	Total
Capital Planning and Investment Control (CPIC)	0	64,829	375,608	5,296,860
Ready Campaign (Ready.gov)	2,079	628	5,025	630,904
Strategic Sourcing	0	0	0	2,727,840
CPO Shared Reporting	0	0	0	4,724,000
Sub-Total	2,079	65,457	380,633	13,379,604
WCF Management Activity	OSEM	Chief Financial Officer	Chief Information Officer	Total
Working Capital Fund Operations	46,742	14,233	123,717	1,279,599
Sub-Total	46,742	14,233	123,717	1,279,599
FY 2009 WCF Total	\$20,579,451	\$6,218,445	\$47,961,227	\$523,372,708

J. FY 2010 Schedule of Working Capital Fund by Program/Project Activity
4. FY 2010 Summary of Assessments

Fee for Service Activity	CBP	FLETC	ICE	TSA	FEMA
GSA RENT	0	0	0	0	0
Consolidated Subscriptions (Library of Congress)	3,011,010	193,103	2,457,504	491,820	269,920
Financial Management (Finance & Actg Shared Services)	0	0	0	0	0
Financial Statement Audit	2,714,622	692,174	2,763,162	2,083,224	3,136,822
Internal Control Audit	880,113	230,001	1,094,851	638,176	783,378
Financial Management (OFO)	0	0	0	0	0
Bankcard Program	125,151	4,923	47,588	41,220	14,449
TIER	51,575	51,575	51,575	51,575	51,575
NFC Payroll Services & Reporting	10,115,733	259,962	3,594,784	13,753,550	3,469,913
HQ Human Capital Services	0	0	0	0	214,764
(HCBS) Payroll Service Ops	2,501,000	54,037	899,567	2,584,549	342,609
Flexible Spending Plan	681,454	14,724	245,108	704,220	93,352
DHS EXEC. LEAD. (SES CDP, Sec Conf)	88,992	14,273	107,036	74,162	108,820
HQ Executive Lead. Dev (TEI, SES Forum, Gen. Wkfrce Trng)	0	0	0	0	0
Employee Assistance Program	0	0	0	0	0
CIO/DHS Infrastructure Transf Pgm	12,483,142	279,041	5,770,360	9,060,939	3,990,815
NCR Infrastructure Operations	0	0	0	0	0
Software Enterprise Licenses - Microsoft	10,635,646	493,938	3,530,093	11,354,273	3,113,969
Procurement Operations	0	0	0	0	1,326,316
Data Center Consolidation	38,650,000	6,000,000	33,850,000	11,400,000	7,900,000
Sub-Total	81,938,438	8,287,751	54,411,628	52,237,708	24,816,703
Tri-Bureau Service Activity	CBP	FLETC	ICE	TSA	FEMA
Data Center Services from DOJ	0	0	17,609,981	0	0
Sub-Total	0	0	17,609,981	0	0
Government-wide Mandated Service Activity	CBP	FLETC	ICE	TSA	FEMA
Interagency Council Funding	174,416	5,220	82,702	73,522	13,247
Recruitment One-Stop	381,408	8,241	137,186	394,151	52,249
e-Training	4,410,060	95,284	1,586,227	4,557,393	604,134
Enterprise HR Integration (EHR)	1,205,031	26,036	433,430	1,245,290	165,077
Business Gateway	32,067	960	15,205	13,517	2,435
e-Rulemaking	222,295	6,652	105,402	93,703	16,883
e-Travel	185,093	3,999	66,574	191,274	25,356
Case Management Line of Business	201,913	0	259,415	0	0
e-Grants.gov	0	0	1,065	21,644	583,538
e-Authentication	21,235	459	7,637	21,941	2,908
Human Resources Line of Business	85,210	1,841	30,648	88,054	11,673
e-govBenefits	123,856	2,676	44,551	127,999	16,968
Financial Management Line of Business	83,055	2,486	39,382	35,011	6,308
Geospatial LOB	18,935	567	8,978	7,982	1,438
IT Infrastructure LOB	93,024	2,784	44,107	39,212	7,065
Budget Formulation & Execution LOB	28,169	843	13,356	11,874	2,139
IAE Loans & Grants	61,444	1,328	22,100	63,497	9,235
e-gov.Integrated Acquisition Environment	202,209	53,998	226,397	148,547	207,592
e-gov. Disaster Management (DisasterHelp.gov)	1,036,307	0	1,036,307	1,076,165	5,859,120
Sub-Total	8,565,727	213,374	4,160,669	8,210,776	7,587,365
DHS Crosscutting Activity	CBP	FLETC	ICE	TSA	FEMA
Capital Planning and Investment Control (CPIC)	1,202,022	187,174	377,846	1,285,988	809,045
Ready Campaign (Ready.gov)	187,070	5,598	88,700	78,855	14,207
Strategic Sourcing	551,024	192,858	303,063	991,842	0
Competitive Sourcing	0	0	0	0	0
CPO Shared Reporting	406,560	252,616	961,035	298,669	811,312
Sub-Total	2,346,676	638,246	1,730,644	2,655,354	1,634,564
WCF Management Activity	CBP	FLETC	ICE	TSA	FEMA
Working Capital Fund Operations	117,765	7,226	160,133	94,292	58,886
Sub-Total	117,765	7,226	160,133	94,292	58,886
Continuing Activities Sub-Total	92,968,606	9,146,597	78,073,055	63,198,129	34,097,518

Fee for Service Activity	NPPD	Office of Health Affairs	Operations Coord & Intel & Analysis	IG	S&T
GSA RENT	16,897,235	2,379,612	8,910,461	0	7,694,944
Consolidated Subscriptions (Library of Congress)	47,524	3,694	308,280	117,234	275,328
Financial Management (Finance & Acctg Shared Services)	3,333,313	349,611	1,364,000	0	4,345,352
Financial Statement Audit	57,712	107,342	46,088	53,721	31,264
Internal Control Audit	0	0	0	0	0
Financial Management (OFO)	0	200,469	0	0	0
Bankcard Program	1,381	0	606	0	1,610
TIER	51,575	0	51,575	51,575	51,575
NFC Payroll Services & Reporting	77,008	5,841	61,749	121,189	45,418
HQ Human Capital Services	2,265,631	272,787	1,829,316	0	1,669,880
(HCBS) Payroll Service Ops	33,277	2,524	26,683	28,383	19,626
Flexible Spending Plan	9,067	688	7,271	7,734	5,348
DHS EXEC. LEAD. (SES CDP, Sec Conf)	48,167	5,354	44,599	21,409	57,087
HQ Executive Lead. Dev (TEI, SES Forum, Gen. Wkfrce Trng)	68,230	5,176	54,715	0	40,244
Employee Assistance Program	12,225	925	9,803	0	7,210
CIO/DHS Infrastructure Transf Pgm	4,396,214	0	821,329	273,776	742,355
NCR Infrastructure Operations	19,303,450	3,448,430	23,515,217	24,607	14,438,067
Software Enterprise Licenses - Microsoft	0	0	0	0	512,941
Procurement Operations	9,078,022	328,667	3,833,562	0	11,485,120
Data Center Consolidation	10,000,000	0	0	0	0
Sub-Total	65,680,031	7,111,120	40,885,254	699,628	41,423,369
Tri-Bureau Service Activity	NPPD	Office of Health Affairs	Operations Coord & Intel & Analysis	IG	S&T
Data Center Services from DOJ	0	0	0	0	0
Sub-Total	0	0	0	0	0
Government-wide Mandated Service Activity	NPPD	Office of Health Affairs	Operations Coord & Intel & Analysis	IG	S&T
Interagency Council Funding	11,599	2,340	6,244	1,967	15,856
Recruitment One-Stop	5,075	385	4,069	4,329	2,993
e-Training	58,678	4,451	47,052	0	34,608
Enterprise HR Integration (EHR)	16,034	1,216	12,857	13,676	9,456
Business Gateway	2,132	430	1,148	362	2,915
e-Rulemaking	14,783	2,982	7,958	2,506	20,208
e-Travel	2,463	187	1,975	2,101	1,452
Case Management Line of Business	0	0	0	0	0
e-Grants.gov	0	0	3,541	0	2,251
e-Authentication	282	21	227	241	167
Human Resources Line of Business	1,134	86	909	967	669
e-govBenefits	1,648	125	1,321	1,406	972
Financial Management Line of Business	5,523	1,114	2,973	936	7,550
Geospatial LOB	1,259	254	678	213	1,721
IT Infrastructure LOB	6,186	1,248	3,330	1,049	8,456
Budget Formulation & Execution LOB	1,873	378	1,008	318	2,561
IAE Loans & Grants	0	62	656	697	482
e-gov.Integrated Acquisition Environment	0	0	0	0	0
e-gov. Disaster Management (DisasterHelp.gov)	0	0	637,727	0	199,290
Sub-Total	128,669	15,279	733,673	30,768	311,607
DHS Crosscutting Activity	NPPD	Office of Health Affairs	Operations Coord & Intel & Analysis	IG	S&T
Capital Planning and Investment Control (CPIC)	548,401	87,464	284,259	12,245	201,168
Ready Campaign (Ready.gov)	12,440	2,510	6,697	2,109	17,006
Strategic Sourcing	0	0	0	0	137,756
Competitive Sourcing	0	0	0	0	0
CPO Shared Reporting	0	0	0	0	0
Sub-Total	560,841	89,974	290,956	14,354	355,930
WCF Management Activity	NPPD	Office of Health Affairs	Operations Coord & Intel & Analysis	IG	S&T
Working Capital Fund Operations	109,150	23,550	97,802	6,742	89,420
Sub-Total	109,150	23,550	97,802	6,742	89,420
Continuing Activities Sub-Total	66,478,691	7,239,923	42,007,686	751,492	42,180,326

Fee for Service Activity	DNDO	USCG	USCIS	USSS	US VISIT
GSA RENT	4,328,137	0	0	0	0
Consolidated Subscriptions (Library of Congress)	91,273	548,213	2,150,770	186,489	16,522
Financial Management (Finance & Acctg Shared Services)	0	0	12,282,551	0	3,083,628
Financial Statement Audit	0	2,970,398	707,536	65,594	57,712
Internal Control Audit	0	1,035,133	226,819	0	0
Financial Management (OFO)	0	0	0	0	0
Bankcard Program	66	266,536	14,248	9,429	186
TIER	0	51,575	51,574	51,574	51,574
NFC Payroll Services & Reporting	14,424	1,741,561	2,134,367	884,408	12,159
HQ Human Capital Services	524,734	0	0	0	354,505
(HCBS) Payroll Service Ops	6,233	336,172	551,907	345,136	5,254
Flexible Spending Plan	1,698	91,598	150,380	94,040	1,432
DHS EXEC. LEAD. (SES CDP, Sec Conf)	16,057	24,977	82,061	83,845	10,705
HQ Executive Lead. Dev (TEI, SES Forum, Gen. Wkfrce Trng)	12,781	0	0	0	10,774
Employee Assistance Program	2,290	0	0	0	1,930
CIO/DHS Infrastructure Transf Pgm	168,478	5,554,498	3,158,956	974,011	0
NCR Infrastructure Operations	5,524,574	0	0	0	150,604
Software Enterprise Licenses - Microsoft	0	9,467,164	2,921,496	2,116,701	0
Procurement Operations	4,766,470	0	1,200,213	0	4,973,913
Data Center Consolidation	0	22,400,000	11,000,000	0	0
Sub-Total	15,457,215	44,487,825	36,632,878	4,811,227	8,730,897
Tri-Bureau Service Activity	DNDO	USCG	USCIS	USSS	US VISIT
Data Center Services from DOJ	0	0	12,916,011	0	6,987,786
Sub-Total	0	0	12,916,011	0	6,987,786
Government-wide Mandated Service Activity	DNDO	USCG	USCIS	USSS	US VISIT
Interagency Council Funding	11,149	144,296	595	27,759	9,167
Recruitment One-Stop	951	51,267	84,167	52,634	801
e-Training	10,991	592,780	973,191	608,585	9,265
Enterprise HR Integration (EHR)	3,003	161,975	265,921	166,293	2,532
Business Gateway	2,050	26,529	109	5,103	1,685
e-Rulemaking	14,210	183,903	759	35,378	11,683
e-Travel	461	24,879	40,845	25,542	389
Case Management Line of Business	0	13,994	0	49,978	0
e-Grants.gov	0	6,921	0	437	0
e-Authentication	53	2,854	4,685	2,930	45
Human Resources Line of Business	212	11,453	18,804	11,759	179
e-govBenefits	309	16,649	27,333	17,093	260
Financial Management Line of Business	5,309	68,712	283	13,219	4,365
Geospatial LOB	1,210	15,665	65	3,014	995
IT Infrastructure LOB	5,946	76,958	317	14,805	4,889
Budget Formulation & Execution LOB	1,801	23,304	96	4,483	1,480
IAE Loans & Grants	153	8,259	13,559	8,479	129
e-gov.Integrated Acquisition Environment	0	516,176	50,419	34,019	0
e-gov. Disaster Management (DisasterHelp.gov)	0	1,833,466	518,154	279,006	0
Sub-Total	57,808	3,780,040	1,999,302	1,360,516	47,864
DHS Crosscutting Activity	DNDO	USCG	USCIS	USSS	US VISIT
Capital Planning and Investment Control (CPIC)	274,638	1,198,524	813,506	109,330	17,493
Ready Campaign (Ready.gov)	11,958	154,762	638	29,772	9,832
Strategic Sourcing	0	275,512	165,307	68,878	68,878
Competitive Sourcing	0	0	0	0	0
CPO Shared Reporting	0	1,037,821	180,948	144,833	0
Sub-Total	286,596	2,666,619	1,160,399	352,813	96,203
WCF Management Activity	DNDO	USCG	USCIS	USSS	US VISIT
Working Capital Fund Operations	30,917	63,869	116,890	14,725	24,977
Sub-Total	30,917	63,869	116,890	14,725	24,977
Continuing Activities Sub-Total	15,832,536	50,998,353	52,825,481	6,539,281	15,887,728

Fee for Service Activity	Offices of the Undersecretary (USM)	Chief Financial Officer	Chief Information Officer	Offices of the Secretary & Exec. Mgmt. (OSEM)	Total
GSA RENT	19,247,964	1,544,069	5,376,125	9,227,387	75,605,934
Consolidated Subscriptions (Library of Congress)	324,602	99,774	6,101	603,926	11,203,087
Financial Management (Finance & Acctg Shared Services)	2,865,417	181,729	1,713,945	565,236	30,084,781
Financial Statement Audit	22,362	2,058	31,455	8,400	15,551,646
Internal Control Audit	0	46,660	0	-	4,935,131
Financial Management (OFO)	1,982,121	348,312	235,549	1,501,000	4,267,451
Bankcard Program	2,262	-	0	1,948	531,603
TIER	0	51,574	0	-	722,046
NFC Payroll Services & Reporting	82,610	14,782	11,205	60,317	36,460,980
HQ Human Capital Services	3,224,934	592,544	525,257	2,849,381	14,323,733
(HCBS) Payroll Service Ops	34,464	6,388	4,842	26,064	7,808,715
Flexible Spending Plan	9,725	1,740	1,319	7,102	2,128,000
DHS EXEC. LEAD. (SES CDP, Sec Conf)	46,393	14,273	14,273	110,626	973,109
HQ Executive Lead. Dev (TEI, SES Forum, Gen. Wkfrce Trng)	39,083	13,098	9,929	51,970	306,000
Employee Assistance Program	13,115	2,347	1,779	9,576	61,200
CIO/DHS Infrastructure Transf Pgm	0	-	4,975,356	-	52,649,270
NCR Infrastructure Operations	15,782,374	2,821,273	25,783,790	10,522,798	121,315,184
Software Enterprise Licenses - Microsoft	0	-	2,327,691	-	46,473,912
Procurement Operations	2,998,091	1,035,776	6,881,313	223,989	48,131,454
Data Center Consolidation	0	-	58,800,000	-	200,000,000
Sub-Total	46,675,518	6,776,397	106,699,928	25,769,720	673,533,236
Tri-Bureau Service Activity	Offices of the Undersecretary (USM)	Chief Financial Officer	Chief Information Officer	Offices of the Sec. & Executive Mgmt. (OSEM)	Total
Data Center Services from DOJ	0	-	0	463,321	37,977,099
Sub-Total	0	0	0	463,321	37,977,099
Government-wide Mandated Service Activity	Offices of the Undersecretary (USM)	Chief Financial Officer	Chief Information Officer	Offices of the Sec. & Executive Mgmt. (OSEM)	Total
Interagency Council Funding	12,037	651	5,181	2,052	600,000
Recruitment One-Stop	5,445	974	738	3,975	1,191,038
e-Training	62,676	11,263	8,538	45,962	13,721,138
Enterprise HR Integration (EHR)	17,200	3,078	2,333	12,559	3,762,997
Business Gateway	2,211	120	953	378	110,309
e-Rulemaking	15,341	829	6,603	2,616	764,694
e-Travel	2,641	473	358	1,928	577,990
Case Management Line of Business	0	-	0	-	525,300
e-Grants.gov	0	-	0	164	619,561
e-Authentication	299	54	41	221	66,300
Human Resources Line of Business	1,218	218	165	888	266,087
e-govBenefits	1,770	316	240	1,292	386,784
Financial Management Line of Business	5,733	310	2,467	978	285,714
Geospatial LOB	1,305	71	562	225	65,137
IT Infrastructure LOB	6,421	347	2,763	1,093	320,000
Budget Formulation & Execution LOB	1,945	105	837	330	96,900
IAE Loans & Grants	876	157	120	640	191,873
e-gov.Integrated Acquisition Environment	240,836	-	0	-	1,680,193
e-gov. Disaster Management (DisasterHelp.gov)	39,858	-	0	-	12,515,400
Sub-Total	417,812	18,966	31,899	75,301	37,747,415
DHS Crosscutting Activity	Offices of the Undersecretary (USM)	Chief Financial Officer	Chief Information Officer	Offices of the Sec. & Executive Mgmt. (OSEM)	Total
Capital Planning and Investment Control (CPIC)	87,464	87,464	112,829	-	7,696,860
Ready Campaign (Ready.gov)	12,911	698	5,557	2,202	643,522
Strategic Sourcing	0	-	0	-	2,755,118
Competitive Sourcing	0	-	0	-	0
CPO Shared Reporting	1,173,546	-	0	-	5,267,340
Sub-Total	1,273,921	88,162	118,386	2,202	16,362,840
WCF Management Activity	Offices of the Undersecretary (USM)	Chief Financial Officer	Chief Information Officer	Offices of the Sec. & Executive Mgmt. (OSEM)	Total
Working Capital Fund Operations	112,896	15,661	120,793	50,151	1,315,846
Sub-Total	112,896	15,661	120,793	50,151	1,315,846
Continuing Activities Sub-Total	48,480,146	6,899,187	106,971,006	26,360,695	766,936,436